

Cyngor Sir CEREDIGION County Council

Report to:	Governance and Audit Committee
Date of meeting:	9th March 2023
Title:	Corporate Risk Register
Purpose of the report:	To update the Governance and Audit Committee on the Corporate Risk Register
Cabinet Portfolio and Cabinet Member	Councillor Bryan Davies, Leader of the Council and Cabinet Member for Policy, Performance, Partnerships and Democratic Services

Regular reports are provided to the Governance and Audit Committee regarding the Council's Corporate Risk Register to provide on-going information and assurance that risks identified by senior managers are managed appropriately. This reinforces the Governance and Audit Committee role of providing independent assurance to Council of the appropriate management of the Corporate Risk Register.

Appendix A contains the latest Corporate Risk Register.

As agreed at the 1.2.23 LG meeting, a new risk, R022: Recruitment and Retention has been added, with a risk score of 15.

R003: Corporate Improvement & Performance with an ongoing risk score of 6 has been de-escalated to a service risk as agreed at 8.2.23 LG meeting. The Council has successfully negotiated its first self -assessment and has set new well-being objectives. Business planning has been successfully re-established since Covid and the performance board meets regularly. Furthermore LG received positive feedback on the performance arrangements at a meeting with regulators on the 16th January 23.

The only risk to have changed score is R009: Information Management and Cyber Security Resilience. The National Cyber Security Centre has reported a 38% increase in the likelihood on Local Authorities and Health Boards in the UK and therefore the risk score has been revised to "probable" to reflect this.

A new mitigating action has been added to R005: Medium Term Financial Plan

All other risks have been reviewed and include revised RAG status of mitigating actions and updated commentary.

Recommendations (s): That Governance and Audit Committee note the updated Corporate Risk Register

Reason for decision: To ensure that the Council manages Corporate Risks appropriately in line with the Corporate Risk Strategy and Framework

Appendices: Appendix A – Corporate Risk Register

Corporate Lead Officer: Alun Williams (Corporate Leader Officer Policy, Performance and Public Protection)

Reporting Officer: Alun Williams (Corporate Leader Officer Policy, Performance and Public Protection)

Date: 9th March 2023

Corporate Risk Register





Governance and Audit Committee




Reviewed and updated by Leadership Group	8/2/2023
Last Monitored by Governance and Audit Committee	21/09/2022
To be presented to Governance and Audit Committee	9/3/2023

Corporate Risk Register




Contents and Summary

Risk Name	Owner	Risk Rating		
		Score	Status	Trend
R003: Corporate Improvement and Performance Management Arrangements	Diana Davies	6		
R004: Business Continuity and Civil Contingency	Diana Davies	15		
R005: Medium Term Financial Plan	Duncan Hall	20		
R006: Through Age Well-being Programme	James Starbuck	15		
R009: Information Management & Cyber Security Resilience	Arwyn Morris	12		
R015: Supporting Local Food Businesses, Maintain Safety	Carwen Evans	16		
R017: Safeguarding	Audrey Somerton-Edwards	15		
R018: Covid-19	Alun Williams	12		
R019: Climate Change and Coastal Erosion/Flooding	Russell Hughes-Pickering / Rhodri Llwyd	25		
R020: Ash Dieback	Rhodri Llwyd	20		
R021: Phosphates	Russell Hughes-Pickering	20		
R022: Recruitment and Retention	Geraint Edwards	15		

Risk Key

	Red	High Risk
	Amber	Medium Risk
	Green	Low Risk

Trend Key

	Risk score has increased
	No change to risk score
	Risk score has decreased

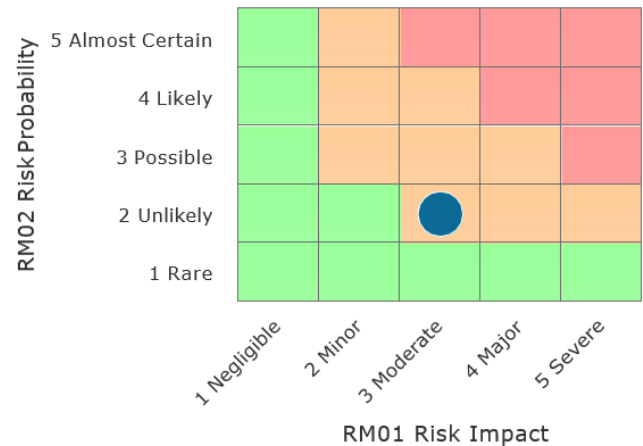
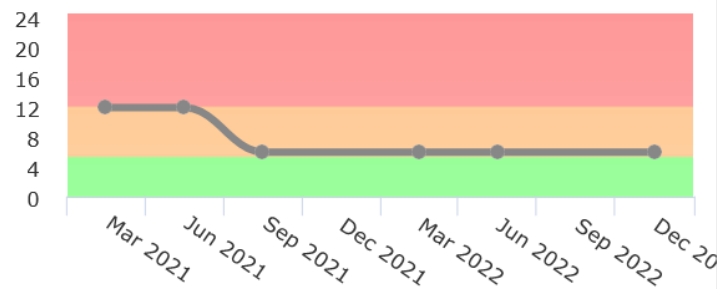
Corporate Risk R003 Corporate Improvement & Performance

Owner: CM Diana Davies

Description
Failure to ensure that Performance Management arrangements are fit for purpose to meet our future priority needs and failure to support the implementation of a new Corporate Performance Management System as required by the new Local Government Act will impact on our ability to use effective business intelligence in future decision-making processes.

Potential Consequence
The main consequences for the Council are reputational, political and poorer service delivery for citizens of the County. This could lead to poor regulatory reports, intervention, as well as a reduction in budget.

Evidence of Risk
Potential risks remain in terms of delivery and poorer service for customers, as services make savings. Good financial planning and corporate performance management arrangements are in place to mitigate those risks. The introduction of the new performance regime for principal councils increases the risk in terms of meeting the legislative requirements and the expectations of Welsh Government, particularly in the first year. This includes the need to focus on delivering and evidencing improved outcomes, and ensuring the Council undertakes robust engagement and consultation to ensure the voices of all of the statutory consultees are considered. However, considerable work has taken place across the organization to set up a robust process for conducting self-assessment and producing the Self-Assessment Report.



Mitigation Action	Due Date	Mar	Jun	Sept	Dec
R003T01: Ensure business and service plans are up to date	31 Mar 2023	★	★	★	★
R003T04: Develop and implement the Teifi performance system to prepare for the new self-assessment legislation	31 Dec 2022	●	●	●	●
R003T06: Implement self-assessment arrangements – Local Government & Elections (Wales) Act 2021	31 Dec 2022	●	●	●	●
R003T07: Re-introduce and continually review Performance Board arrangements	31 Mar 2023	★	★	★	★
R003T08: Publish updated Performance Management Policy Statement and Performance	31 Mar 2023		●	●	■

Comments (e.g., progress to

The Council's Business Planning and Performance processes are fully operational and delivering as they should. The Business Planning Process that has been implemented for the last two years, which features a more streamlined approach to setting objectives, tasks and measures and a centralised approach to recording the linkages between objectives and priorities is working well. Two Performance Board meetings have been held to consider performance during the 2022/23 financial year with the most recent in November. Training materials have been developed to support the use of the Teifi Performance System and ongoing support is provided by Performance and Research officers. The performance dashboards presented at the Performance Board meetings continue to be developed based on feedback to support the organisation in monitoring and scrutinising its progress. A significant amount of work has been undertaken to prepare the Annual Self-Assessment Report. The report has been approved/endorsed by Leadership Group, Governance and Audit Committee, Overview and Scrutiny Coordinating Committee, Cabinet and Council. The report will be published following the Governance and Audit Committee meeting in January 2023. As a result of the Self-Assessment, an Action Plan has been developed to monitor, track and report on the identified improvements that are required. The progress in delivering the Action Plan will be reported and monitored on an ongoing basis. A thorough review of the Self-Assessment process has been conducted and slight amendments and improvements will be implemented for the next cycle.

The Ceredigion County Council Corporate Strategy 2022-2027 has been prepared, approved, and published. The strategy focuses on four Corporate Well-being Objectives that outline the priorities for the organisation for the next 5 years. All Business Plans will link to the Objectives and steps within the strategy to ensure alignment and delivery of priorities in moving forward.

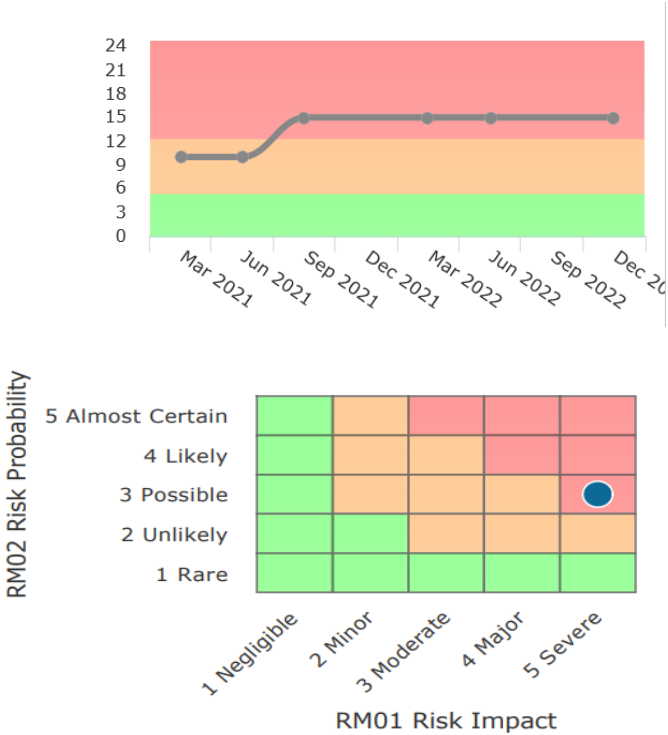
The Performance Management Policy Statement and Performance Management Framework will be finalised and taken through the democratic process in 2023/24. The new Self-Assessment process needed to be designed and implemented before the Performance Framework could be updated as it is a fundamental component of the document. Now that the first round of self-assessment is complete, the updated Framework will be pulled together and taken through the democratic process during 2023/24, bringing together the streamlined business planning process, the relaunched Performance Board, risk management, audit recommendations monitoring and self-assessment.

Corporate Risk R004 Business Continuity

Owner: CM Diana Davies

Description
Failure to have business resilience or dealing with emergency events is likely to significantly impact on the delivery of essential services and the lives of people in our communities.
Potential Consequence
There are several organisational and citizen risks associated with poor business continuity and civil contingency planning as services could be affected during incidents, and major incidents may have both immediate and long-term consequences including failure to deliver essential services, injury/fatalities, claims for compensation, property damage, negative media, and public inquiries.

Evidence of Risk
Ransomware attacks can be massively disruptive, requiring a significant amount of recovery time to re-enable critical services. These events can also be high profile in nature, with wide public and media interest. With most council services now being delivered digitally and remotely (as a consequence of Covid), this would have catastrophic consequence on our ability to operate. We have well-rehearsed and tested business continuity plans for scenarios such as building outages, floods, boiler or power failures, fuel shortages and other geographically limited incidents, such as for individual services and fairly limited timescales. Ransomware poses a special challenge, as all ICT would be disrupted for indefinite periods.



Mitigation Action	Due Date	Mar	Jun	Sep	Dec
R004T03: Ensure the internal authority wide business continuity planning meetings are effective	31 Mar 2023	★	★	★	★
R004T04: Develop, refine and test Business Continuity plans	31 Mar 2023	●	●	●	●
R004T05: Participate and contribute to Dyfed Powys LRF coordination groups & update Emergency Plans	31 Mar 2023	★	★	★	★
R004T06: Ensure the internal Cyber Resilience meetings are effective	31 Mar 2023	★	★	★	★
R004T07: Review Emergency Plans to ensure a response to Ransomware attack is incorporated	31 Mar 2023	●	●	●	●

Comments (e.g., Progress to Date)

The internal Emergency Business Continuity Management group (EBCMG) is meeting quarterly and is currently chaired by the Cabinet Portfolio holder and attended by the Council Leader. The group have recently discussed the risk of National Power Outage. Further consideration and actions will be given to this issue at the next meeting following a Dyfed Powys Local Resilience Forum Exercise in Mid-February at which numerous Council officers will participate. Following an internal audit review and recommendation, the EBCMG Terms of Reference have been amended to include roles and responsibilities of key individuals.

All services have current Business Continuity Plans which are continually revised in accordance with discussions and agreed actions from the EBCMG meetings. A working version of the Corporate Business Continuity Plan is also in use and is being updated in accordance to changes in the Services BCP's using the information provided by each Service.

The Local Authority is fully involved in the numerous LRF groups such as: Strategic Coordination Group, Coordination & Training Group, Business Continuity, Risk and Health Groups. LA Officers also Chair the Recovery and Cyber & Digital Infrastructure Groups. These meetings have assisted in updating the Recovery from a Major Incident guidance document and the CBRN emergency response plan. Both plans are due to be ratified by the LRF in the new year.

Monthly meetings of the Cyber Resilience group are being held. The meetings are well attended with a good agenda of items being discussed and solid actions being implemented. Highlight reporting is fed monthly to LG ensuring governance in place.

As a result of a Cyber-attack exercise, officers have put together some examples of mitigating actions for services to assist in developing their own planned response to a Cyber threat/incident in their Business Continuity Plans.

Corporate Risk R005 Medium Term Financial Plan

Owner: CLO Duncan Hall

Description

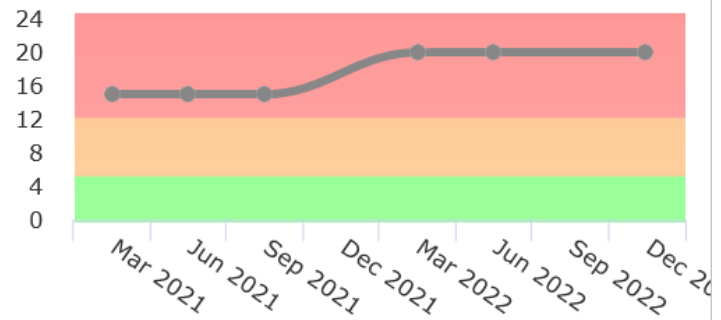
The reduction of core and external funding will lead to the reduction in service provision in some areas. Failure to adapt, implement identified savings and consider alternative models of service provision in line with the Medium-Term Financial Plan will affect future service delivery and the financial responsibilities of the Council.

Potential Consequence

- Risk of failing to meet statutory budget setting deadlines.
- Risk of service delivery impacted due to decreasing resources, short lead in times to service changes or failure to effectively prioritise spend in line with corporate priorities.
- Risk that savings plans identified are not achieved as planned.
- Risk that annual budget setting frustrates longer term planning

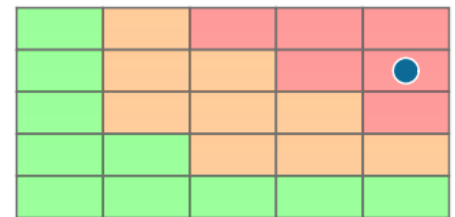
Evidence of Risk

The Medium-Term Financial Strategy (MTFS) and WG indicate high level funding indications for 2023/24 and 2024/25. The level of WG AEF funding has reduced over the years from c80% down to just above 70% of the revenue budget, placing a greater burden on funding raised through Council Tax. Latest MTFS update (March 2022) indicates a potential requirement to save c£15m by March 2025. Despite large amounts of additional one-off funding being received in 2020/21 and 2021/22 during COVID and a headline 8.9% settlement increase for 2022/23, the public sector outlook looks challenging based on indicative future WG funding levels announced at the time of the 2022/23 Local government Settlement. Cost pressure risks are growing, linked partly to current levels of Inflation (e.g., Staff pay awards for 2022/23 and beyond, Fuel, Energy & Food costs and associated Contractor / Provider inflation). The impact of the Cost of Living is now a key factor, which was given very close attention by Members during the 2022/23 Budget and Council Tax setting deliberations. A corporate Transformation Savings Programme remains in place to deliver savings to contribute towards the financial challenge and the new Through Age and Wellbeing Strategy is also now in the early stages of its implementation journey. These Programmes will need to deliver across the medium term, as well as continuing to take advantage of Invest to Save opportunities when they arise and using funds set aside for Boosting the Economy wisely. A solid track record exists of delivering Budgets and a positive year end Outturn position within the last few years. The Council's Balance sheet at 31/03/2022 is strong which contributes towards strong financial resilience. The risk was reduced during 2017/18 from 20 to 15 as the scale of budget savings required was decreasing, however the cost pressures now being forecast are higher than in the past.



RM02 Risk Probability

5 Almost Certain
4 Likely
3 Possible
2 Unlikely
1 Rare



1 Negligible 2 Minor 3 Moderate 4 Major 5 Severe

RM01 Risk Impact

Mitigation Action	Due Date	Mar	Jun	Sep	Dec
R005T01: Continue arrangements for financial management	31 Mar 2023	★	★	★	★
R005T03: Ensure that Transformation and service efficiency savings are developed and implemented	31 Mar 2023	★	●	●	★
R005T04: Update Medium Term Financial Plan to reflect WG 3.1% indicative level of funding for 24/25	30 Jun 2023				●

Comments (e.g., Progress to Date)

The current 22/23 in year position remains challenging due mainly to pay awards being agreed that are virtually double the level originally budgeted. In addition, the impact of inflation is being seen in multiple services (e.g. Fuel, Transport contracts, Materials). Various temporary mitigating actions are being taken to manage the in-year position and then the base budget is being realigned for 22/23 pay awards as part of the 23/24 Budget setting process.

The Provisional WG Local Government Finance Settlement was then received on 14/12/22, which provided an 8.1% funding increase (£9.6m) for 23/24. Despite this being an improved position, with £22.2m of Cost pressures (equivalent to an inflation rate of 13.4%), that still leaves £8.9m of Budget Savings to be found and some difficult Council Tax considerations for Members to deal with the remaining budget shortfall. A new approach to Budget Savings has been taken which includes a review of Corporate budget headings (£2.9m proposed) and a new multi-year Savings Programme called 'Doing things Differently: A Corporate approach' implemented (£3.1m proposed). Considerable challenges lie ahead, with WG indicating an average 24/25 Local Government Finance Settlement funding of only 3.1% (which would provide an additional £4m). Union pay submissions for 23/24 are also still elevated at 12.7% for general staff, although negotiations are only just commencing. These and other factors will be reflected in an updated Medium Term Financial Plan and the outcome will result in a considerable medium term financial challenge.

Corporate Risk R006 Through Age Well-being Programme

Owner: Corporate Director James Starbuck

Description

The Through Age Well-being Programme has been established and developed to transform the way the Council will deliver Social Care services. This aligns with the requirements of the Social Services and Wellbeing Act SSWBA. SSWBA provides the legal framework for improving the well-being of people who need care and support, and carers who need support, and for transforming social services in Wales.

The programme will therefore oversee the development of services and transformation of Social care. Failure to achieve this will risk that the authority will fail to meet its statutory and legislative requirements and the challenges faced with the increasing pressure on social care budgets.

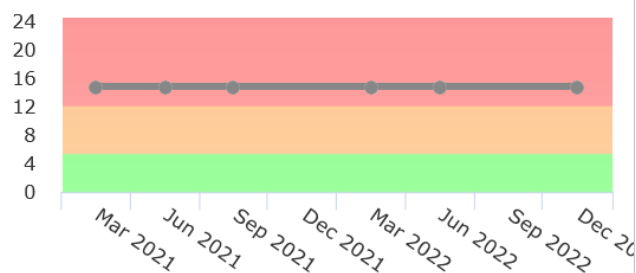
The Through Age Wellbeing Programme is now progressing to develop and implement service arrangements and staffing structure to support the emphasis on early intervention and prevention services. Risks and opportunities that may arise from the rebalancing of services will need to be managed.

Potential Consequence

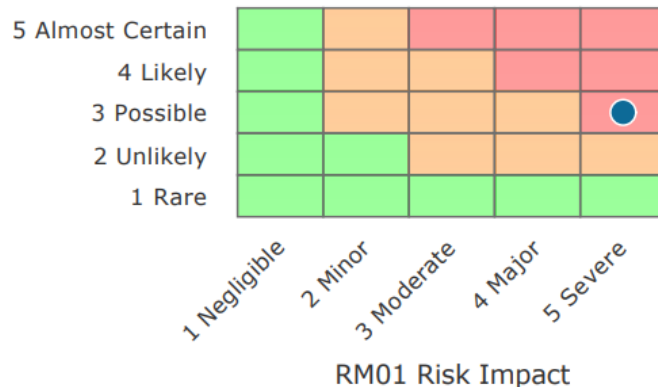
- Inability to deliver safe and effective services across all ages
- Missed opportunities to develop resilient and caring communities
- Continued increase in expenditure in delivering high cost services
- Inability to meet rising demand for services
- Not meeting statutory duties and legislative requirements

Evidence of Risk

- Continued pressure on social care budgets
- Increase in numbers of individuals in receipt of statutory services for planned care and support
- Need to provide prevention and early intervention services in line with legislation
- Prolonged period of 'Managing change process' impacting on the workforce
- Difficulties in retaining and recruitment of staff



RM02 Risk Probability



RM01 Risk Impact

Mitigation Action	Due Date	Mar	Jun	Sept	Dec
R006T01: Progress to be reported on the implementation of new service model to the project board.	31 Sep 2023	★	★	★	★
R006T03: Ensure HR/workforce programs in place in line with managing change	31 Mar 2023	★	★	★	★
R006T05: Regular scrutiny of budgets and financial implications to implementation of the new model.	31 Mar 2023	★	★	★	★
R006T07: TAW Communications to be agreed and implemented	30 Sep 2023		★	★	★

Comments (e.g., progress to

Continued progress with the TAW Action Plan and with the specific workstreams. Majority of restructuring is complete and is now embedded as part of the model. Final component (Direct Services) is progressing with consultation with service stakeholders due to take place in Q1 of 2023/24.

Whilst the TAW model is reducing the likelihood of risk this is being countered by the demand upon services which continues to grow. Importantly, Officers continue to maintain a safe service. Recruitment across all staff teams is very challenging, reflecting the national picture in Wales and across the UK. Recruitment and retention therefore remains a key focus and we continue to train new social workers each year and are exploring opportunities to develop local educational courses with HE partners in the County. Senior Officers monitor progress through the TAW Programme Board monthly in addition to all key Officers meeting weekly.

Corporate Risk R009 Information Management & Cyber Security Resilience

Owner: CLO Arwyn Morris

Description

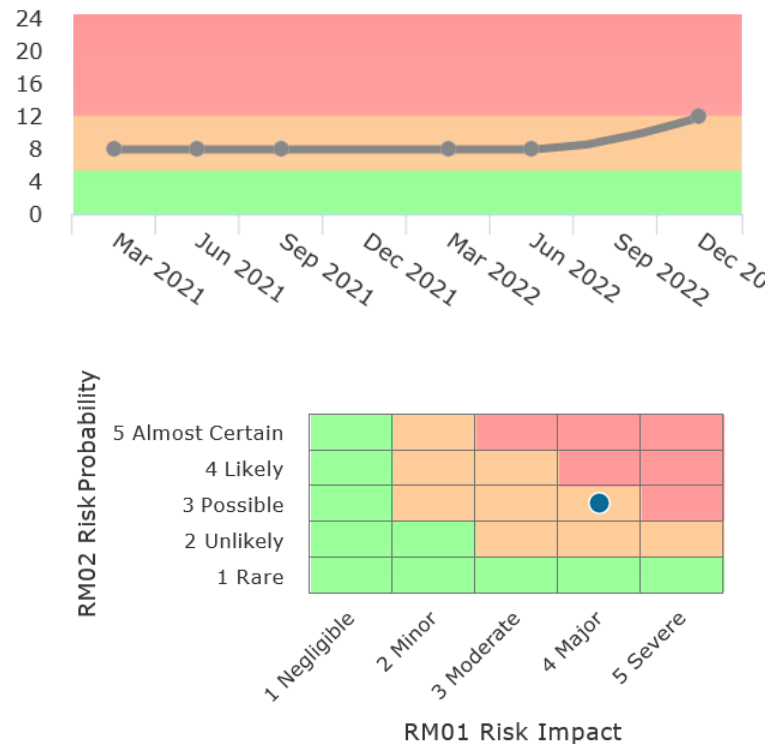
Failure to ensure that we have effective information and ICT, security and compliance in place, will impact on the Authorities ability to adapt to change, improve services and communicate effectively with citizens and other users of Council services.

Potential Consequence

Not having robust Cyber Security will impact on all service delivery with limited or no access to information systems that are key for business delivery. Inadequate Information Management processes and staffing awareness to manage personal data could result in data misuse/loss that could result in not complying with the General Data Protection Regulation and can cause distress to the person(s) data that has been mismanaged. Failure to manage all data within the law will result in a potential large fine from the ICO and reputational damage to the Authority. Digital services delivery will increase the demand for ICT services and potential cyber-attacks and must be sufficiently resourced in both staffing and infrastructure costs.

Evidence of Risk

- No major incidents from external cyber threats have been reported and minor attacks have been managed with no loss of service
- Continue to patch all ICT infrastructures to the required level and achieved PSN accreditation.
- No major data loss reported to the ICO.
- Continue to provide information awareness courses and proactively working with service areas to ensure that their data is appropriate and saved securely.
- Staffs have attended Cyber training to ensure that we maintain good level of security against increased levels of external attack risks.
- Compliance to GDPR is achieved and maintaining Privacy Notices and ensuring consent where required.



Mitigation Action	Due Date	Mar	Jun	Sep	Dec
R009T04: Continue with Data Audit across all service areas	31 Mar 2023		★	★	★
R009T05: Implement approved record retention schedule	31 Mar 2023		★	★	★
R009T06: Support all Service areas in developing Cyber Security Business continuity plans	31 Mar 2023		★	★	★

Comments (e.g., progress to

The new file plan has been approved and adopted and the majority of existing records now categorised under the new file plan. Continuing to carry out a data audit and preparation has now been done to migrate the digital records to O365 records management structure from existing records management systems.

Ceredigion has undertaken a Cyber Awareness Assessment (CAF) that is sponsored by Welsh Government and the assessment has highlighted some necessary changes to strengthen the Councils Cyber security.

NCSC has reported a 38% increase in the likelihood of a cyber-attack on Local Authorities and Health Boards in the UK, therefore the risk score has been revised to "probable" for the probability of a cyber-attack.

The Authority benchmarks its security rating against other similar public bodies as part of the Microsoft O365 setup. Ceredigion has averaged a "Secure score" of 60% over the past 12 months in comparison to the national average of 46%. This shows that the current security measures put in place are very good, but we must continue to improve our technical security and training for staff, who are the greatest risk for any future attack.

Corporate Risk R015 Support Local Food Business, Maintain Safety

Owner: CM Carwen Evans

Description

Failure to make adequate frequent high risk premises inspections and timely inspections of new premises may provide inadequate support for businesses leading to poorer standards, impact on the business itself and the local economy. There is also a reputational risk if the Council does not meet its statutory responsibilities under the Food Safety Act 1990.

Potential Consequence

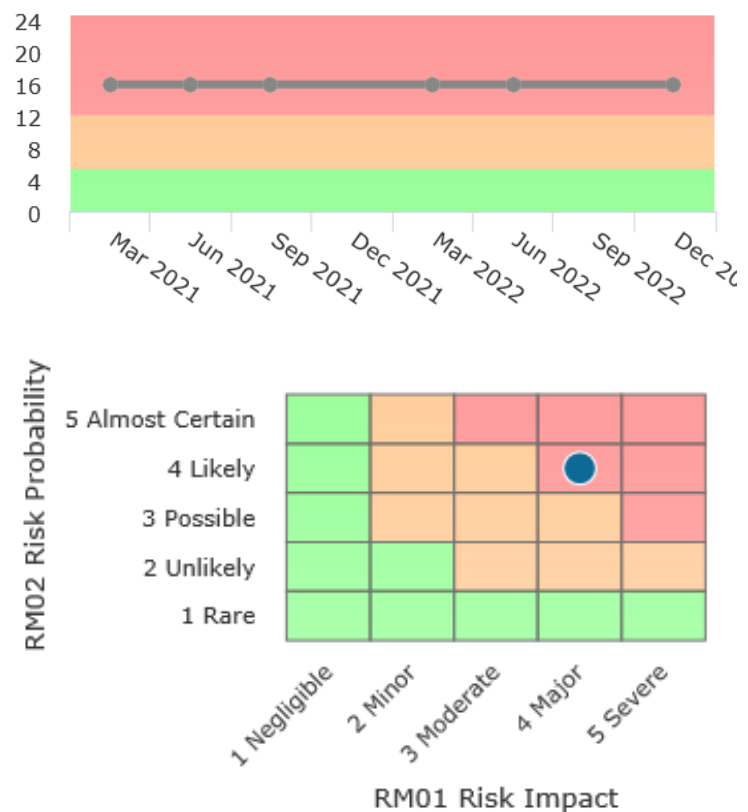
The main consequences for the Council are reputational, political and poorer service delivery for businesses and impact on citizens of the County. Food poisoning is the main risk which could potentially have a serious impact on citizens. This could lead to poor regulatory reports, intervention as well as loss of confidence in an important business sector impacting on the vitality and viability of the local economy.

Evidence of Risk

Inspections of food outlets were suspended during the initial phase of the pandemic, and whilst the inspection of high risk and new premises has recommenced, there is a significant backlog of inspections to be undertaken. The recruitment of food competent staff is also a considerable challenge. The Covid-19 pandemic compromised the ability of the Council to maintain its normal inspection programme. Experienced Environmental Health officers have been redeployed to undertake Covid related work such as advising residential care homes on infection control and contact tracing. Consequently, only new and high-risk businesses are being visited and those businesses where there are complaints or concerning intelligence about poor food safety standards. This situation is replicated across Wales, and the Food Standards Authority has published a recovery plan which sets out a phased return for all local authorities to return to a full inspection programme. The Council is working to meet the milestones set out in the recovery plan.

Mitigation

- R015T02: To prioritise food establishments that are deemed high risk and/or non-compliant
- R015T06: Upskill existing staff to become competent in undertaking food safety inspections
- R015T07: Undertake a procurement exercise to employ specialist contractors to provide extra resource
- R015T10: Inspect all food establishments in accordance with the FSA recovery plan milestones



Comments (e.g., progress to

Two experienced Senior Environmental Health Officers continue to be redeployed to provide specialist advice on the control and transmission of Covid-19 in high-risk settings such as residential and nursing homes within Ceredigion. However, they have returned part time to their substantive posts providing support to the team in undertaking food safety enforcement duties.

The service continues to inspect food establishments in accordance with the Food Standards Agency Recovery Plan. A total of 99 high risk food hygiene inspections were undertaken in the last quarter. Also 13 statutory revisits were carried out to those premises who were non-compliant to confirm that required improvements had been satisfactorily undertaken. All new businesses are risk assessed ensuring that those presenting as high-risk businesses are prioritised for inspection. The service is currently on track to broadly meet the next milestone in the recovery plan; however, the team is experiencing a high enforcement case load in other disciplines within Public Protection.

The service has also provided training and developed two new officers to undertake high risk food inspections. Both have passed the competency requirements of the Code of Practice and are now supporting the team through undertaking high risk food inspections. As such there are now 8 food competent officers able to undertake food inspections, with a further 2 officers in the process of being trained. The first of those 2 officers is expected to pass their professional assessments around June 2023.

Two further specialist food contractors have been employed to support the service in meeting the Food Standards Agency recovery plan targets.

A service plan is being developed for the 2023-2024 financial year taking account of the significant developments in the service in the past 12-18 months.

Corporate Risk R017 Safeguarding

Owner: Acting CLO Audrey Somerton-Edwards

Description

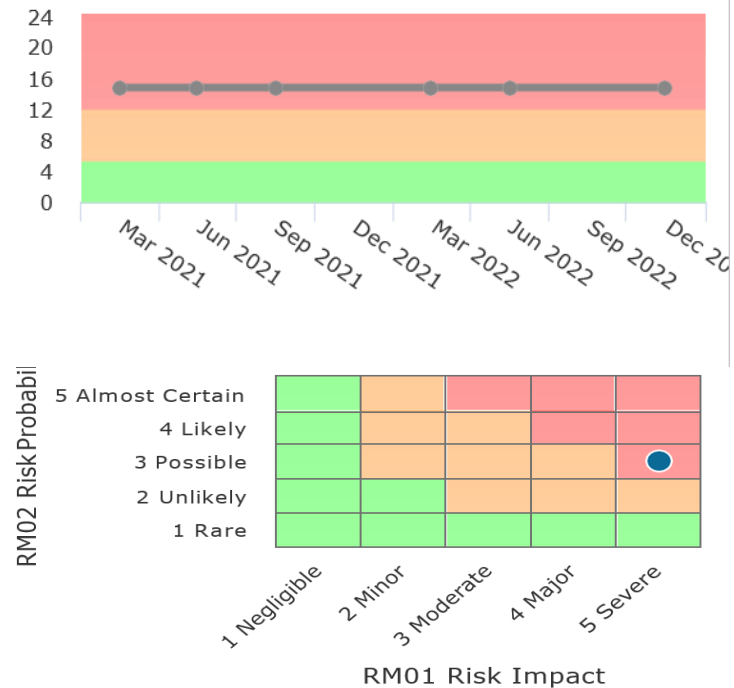
Risk of failure to maintain the organisation's statutory duties in relation to safeguarding children, young people and adults during the period of transition to the Integrated Service Delivery Model.

Potential Consequence

There is a risk that children, young people and adults may suffer significant harm which may result in a reputational, legal, and financial impact on the corporate body.

Evidence of Risk

- Increase in referrals due to legislative changes (SSWBA, VAWDASV) and impact of Covid-19 on individuals' and groups vulnerable to abuse and neglect
- Increase in demand and complexity specifically in relation to children and families and young people
- It is acknowledged this is a high risk area of work



Mitigation Action	Due Date	Mar	Jun	Sep	Dec
R017T06: Maintain a fully Integrated Through Age Safeguarding Team	31 Mar 2023		●	●	●
R017T07: Ensure that safeguarding training and skills development is rolled out to all staff	31 Mar 2023		●	●	●
R017T08: Implement The Wales Safeguarding Procedures & Regional Practice Guidance across all teams	31 Mar 2023		●	●	●
R017T09: Regular monitoring/ reporting of safeguarding concerns/ activities to safeguarding forums	31 Mar 2023		★	★	★
R017T10: Active participation in Regional Safeguarding Board's activities from across the model	31 Mar 2023		★	★	★

Comments (e.g., progress to

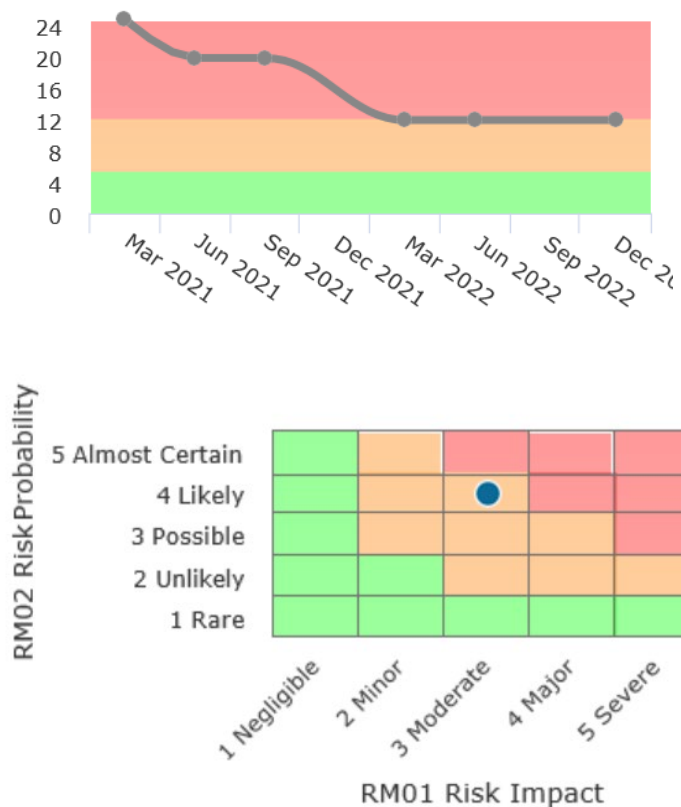
As the Through Age and Wellbeing Model matures there is a greater understanding of how the community needs to be supported to reduce escalation of risk and potential harm. Decisive and remedial action has been taken to ensure that services remain compliant, and a safe service is delivered to the most vulnerable children and adults in Ceredigion.

Plans are in place to ensure that there this is a clear strategy to recruit and retain a stable permanent workforce to deliver all the statutory and well-being services that the community need to remain safe and healthy.

Corporate Risk R018 Covid-19

Owner: CLO Alun Williams

Description
The effect of the spread of the Global Pandemic Covid-19 on the health of citizens including the increased demands on the Council's services, the effects of Lockdowns and relaxations as Government policy changes on a regular basis, the wider economy and the well-being of the County's citizens.
Potential Consequence
High levels of infection, serious illness and excess deaths to the population, as well as a significant economic downturn, widespread disruption of service provision, and detriment to personal wellbeing. Impact to the delivery and sustainability of services by the Council and the ability to respond to the economic crisis and other challenges created as a result of the pandemic. Post pandemic, there is also the risk of public service backlogs, leading to increased health and social care difficulties and well-being issues for the population. There is a likelihood of increased conflict between different models of response to the pandemic.
Evidence of Risk
The UK went into lockdown on the 23rd of March 2020 and twice thereafter. The Council shut down its offices, schools, and facilities. Services have restarted following the ending of restrictions. The residential care sector has seen measures relaxed and incidents of infection have diminished in seriousness as a result of regular immunisation and a less severe strain of Covid. Our school pupils faced significant disruption to their education. So far, Ceredigion has avoided a high level of fatalities. However, the arrival of new variants has complicated matters and is a cause of concern and the greatest risk facing us. Increased costs and reduced income arising from Covid19. WG reimbursed the great majority of costs up until March 2022 and provided a lesser amount of funding for 2022-23. No further funding is planned for the next year, apart from limited funding for Testing and Tracing. Whilst staff absences are relatively low due to some extent to staff working from home, there has been an inevitable increase in workloads as we are in the recovery phase. The high level of vaccination in Ceredigion appears to have mitigated the impact of serious ill health. At the moment, it appears that the omicron waves of infection are still occurring on a regular basis but is not resulting in high levels of debilitating health issues or fatalities. Wales is in a "stable state", which means that many services are back to business as usual, however, significant backlogs remain in certain services. Although the majority of restrictions have ended, the risk of further variants remains high.



Mitigation Action	Due Date	Sep	Dec	Mar	Jun
R018T01: Comply and fully support National and Local Lockdown arrangements	31 Mar 2023	★	★	★	★
R018T03: To fully engage in regional emergency response and recovery arrangements	31 Mar 2023	★	★	★	★
R018T04: Effective communication with the Ceredigion public and stakeholders	31 Mar 2023	★	★	★	★
R018T07: Support the local economy and businesses through all phases of the pandemic	31 Mar 2023	★	★	★	★
R018T08: Work with others to implement testing, contact tracing and mass vaccinations	31 Mar 2023	★	★	★	★
R018T09: Implement an effective programme of staff well-being support and training	31 Mar 2023	★	★	★	★

Comments (eg progress to date)

Covid remains risk to the community and to the Authority. Although the Omicron virus is less serious than some of its predecessors, it has proved to be more transmissible, and rates have been at their highest levels in Ceredigion. The most recent indications are that the latest Omicron wave is gradually subsiding. The mitigations undertaken by the Authority and its partners have had positive effects in lessening the impact of

the pandemic, with the roll out of periodic vaccination being particularly effective. Both UKG and WG have rolled back regulation and all restrictions have been lifted, resulting in Council services being reintroduced. Government funding has been significantly curtailed e.g., our contact tracing team has reduced from eighty members of staff to seven. Government policy has recognised that the Coronavirus has moved from a pandemic to an endemic stage, where we have to live with the virus circulating in our communities and workplaces. Nevertheless, there remains a risk and an expectation that a new variant will appear which could pose a serious threat to public health.

Corporate Risk R019 Climate Change and Coastal Erosion / Flooding

Owner: CLO Russell Hughes-Pickering / Rhodri Llwyd

Description

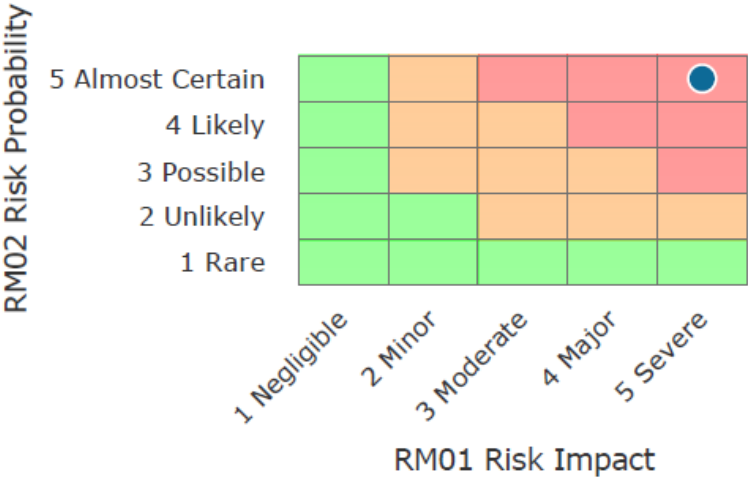
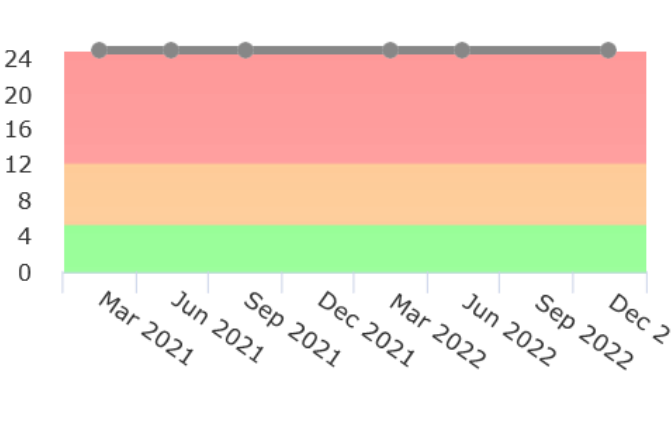
Climate change is one of the biggest environmental challenges we face. Although failure to meet carbon emission and energy reduction targets will have both financial and environmental impacts for the Authority, there are wider implications for the County as a whole e.g., increased instances of flooding, drought and storms, which carry a huge potential impact on our communities and the Council's Estate, which includes our buildings, schools, Nature Reserves, Parks, allotments and also other holdings which are not actively managed. It is recognized that we must lead by example and do all we can to reduce future climate change and address and mitigate the risks associated with it. Policy initiatives and strategies to include for ecosystem resilience, biodiversity enhancements and flood reduction schemes must be developed and implemented if we are to succeed in reducing our carbon footprint and reducing the risk to our major infrastructure, assets, residents and communities and landscape.

Potential Consequence

Climate change means we may face more frequent or severe weather events like flooding, droughts and storms. These events bring 'physical risks' that directly impact communities and have the potential to affect the economy. Parts of Ceredigion's coastline are susceptible to coastal erosion and flooding, and some inland communities are at risk of flooding and loss of land from watercourses. The impacts could be far reaching, with stakeholders facing life-threatening or life changing consequences, and the effects impacting on large sectors of the County/Council. In addition, failure to reduce the effects of climate change could have reputational, financial and environmental consequences for the Council including in the form of financial penalties for failing to meet Welsh Government targets for carbon management and for biodiversity. Indirect impacts will include changes to the insects, pests and diseases which will colonise and affect our environment. As well as immediate impacts of these, the impacts on staff time and other costs dealing with these will be significant. Loss of canopy cover from Ash Dieback already has consequences for local microclimates and will exacerbate climate change impacts as well as contribute to them.

Evidence of Risk

Climate change is real and is happening across the world; it is impacting on local communities in Ceredigion. The West of Wales Shoreline Management Plan and Ceredigion's Flood and Coastal Erosion Risk Management Strategy has identified locations within the County which are at current and future risk from coastal erosion and flooding, and from main river/watercourse/surface water flooding. There is scientific evidence showing that in order to halt climate change, carbon emissions have to stop – reducing them is not sufficient, we need to go further and work towards becoming a net-zero local authority.



Mitigation Action	Due Date	Mar	Jun	Sep	Dec
R019T01: Develop a Corporate Climate Change Strategy	31 Mar 2023	●	●	●	●
R019T03: Increase the amount of energy generated from renewable sources.	31 Mar 2023	●	★	★	●
R019T04: Identify and manage the corporate estate	31 Mar 2023	★	★	★	●
R019T05: Develop Flood Alleviation Schemes	31 Mar 2023	●	●	●	●

R019T06: Monitor the coastline with the Wales Coastal Monitoring Centre, develop Coastal Defence	31 Mar 2023	●	★	★	★
R019T08: Apply for funding to implement projects which mitigate the effect of climate change	31 Mar 2023		●	●	●
R019T09: Develop a Corporate ULEV Strategy, Action Plan and capital delivery programme	31 Mar 2023		★	★	★
R019T10: Review and publish Active Travel Network Maps and associated capital delivery programme	31 Mar 2023		★	★	★

Comments (e.g., progress to

The resources for developing a Corporate Climate Change Strategy have not yet been identified, although there are already a number of workstreams that will contribute to this/a future piece of work. e.g., Regional Energy Strategy and Energy Action Plan (in development), and also Local Area Energy Plans which will be undertaken in 2022/23. The 2021/22 Emissions are currently being calculated as there was a slight delay in the release of the new WG reporting guidance, so it is anticipated that annual emission figures will be ready by end of August/early September. An updated Net Zero Action Plan is being prepared and will be presented to Cabinet in November, this will include overall emissions (scope 1, 2 & 3), as well as providing an update on progress to date.

A draft Ceredigion Ultra Low Emission Vehicle (ULEV) Strategy has been developed with consultancy support and is scheduled to be presented to Carbon Management and Climate Change Group (20/06/2022) followed by Thriving Communities Overview and Scrutiny Committee considered (27/07/2022) seeking recommendation to Cabinet (06/09/2022) for adoption.

Phase 1 of the public charge-point installation delivery programme - funded through Welsh Government grant with installation in public car parks is scheduled to be completed by August 2022.

A successful application has been made for Phase 2 of the programme to the Office for Zero Emissions (OZEV) for grant funding, and we are currently awaiting confirmation of Welsh Government match-funding (25% of total scheme cost).

Funding of £300k secured during this Financial Year via a WLGA-administered Welsh Government capital grant to support transformation of Council's own vehicle fleet and associated infrastructure requirements – but this is clearly insufficient to bring about the required changes.

Active Travel Network Maps (ATNMs) were submitted on 31/03/2022 following a review of existing maps and public consultation, and which are currently awaiting Ministerial approval. Ceredigion County Council has been awarded £500k Active Travel Fund grant by Welsh Government/Transport for Wales in the 2022/23 Financial Year for scheme development and small-scale projects. Safe Routes in Communities capital grant secured to fund development of a scheme in Llanrhystud to enable children to safely walk, cycle and scoot to school.

An application is being prepared for submission to UK Government for 'Cylch y Cardi Trail' under Levelling Up Fund 2 to upgrade and provide new sections for Ystwyth Trail (Aberystwyth to Tregaron) and Aeron Trail (Aberaeron to Felinfach) upgrade and new sections. Following on from the regional energy strategy work undertaken previously, work has been undertaken by Growing Mid Wales to develop a regional energy action plan, which is now in draft format and waiting feedback/comment from both Ceredigion and Powys. Work to develop a Local Area Energy Plans (LAEP) has commenced, with an initial stakeholder workshop being held in July. Further work will continue with the aim of a Ceredigion LAEP hopefully being in draft format by the end of the 2022/23 financial year.

Ceredigion are still working closely with Welsh Government Energy Service (WGES) to develop potential emission reduction schemes, this currently includes an additional PV array at Ysgol Bro Teifi, and also a potential replacement for the Penmorfa district heating scheme, as the current installation is nearing 20 years old. Also, an EOI was submitted to WG for potential funding specifically for decarbonisation of heat in buildings, 33 buildings were put forward in all and it is anticipated that the grant application window will open towards the end of August. It is not currently known what the requirements will be, how much the funding will be for, or whether match funding will be required – we will assess once the application process opens.

A scheme to install PV over the car park in CR has been developed and was submitted for planning permission at the end of 2021/22, this scheme has the potential to reduce the site's electricity costs by up to £25,000pa at current prices, if electricity prices continue to rise, the savings could be significantly more.

The PSB Climate Change Working Group is looking at decarbonisation of heat in Aberystwyth and a potential district heating scheme which would provide heating and hot water to buildings at the University, Bronglais Hospital and Penglais Secondary School is progressing. Draft document should be received by September 2022.

Energy prices are rising significantly, we have been somewhat protected from electricity and gas prices thus far, however we are anticipating significant rises on 1st October at the time of the contract's annual price increase. These price increases mean that the business case for energy efficiency and emission reduction is better than ever, however the increased costs have the potential to have a knock-on effect on service delivery.

Flood and Coastal Erosion Risk Management (FCERM) grant has been approved for a programme for 2022/23 Financial Year, with schemes being developed for Llandre Village Flood Alleviation Scheme – Business Justification Case; Borth Leat Flood Alleviation Scheme – Business Justification Case; Capel Bangor Outline Business Case; and Talybont Outline Business Case.

Planning permission and a marine licence have been applied for in relation to the Aberaeron CDS, and a construction tender exercise completed, with construction expected to commence in late Autumn of 2022, whilst business cases are being developed for the potential schemes at Aberystwyth, Borth and Llangrannog.

WCMC continue to survey the defended coastline on behalf of CCC, and their use of technology is increasing the volume and accuracy of data than can be captured.

Corporate Risk R020 Ash Dieback

Owner: CLO Rhodri Llwyd

Description

Ash Dieback is the most significant tree disease to affect the UK since Dutch elm disease and will lead to the decline and death of an estimated 90% to 95% of Ash trees in the UK, with the Ash being widespread across Ceredigion. This includes outside of woodlands in the form of hedgerow and specimen trees along roads, other public rights of way (PRoWs) and in public spaces. Infection with ADB causes trees to become brittle, shed limbs, and subsequently they may fail. The structural changes to the timber in dying ash significantly increase the risk of failure.

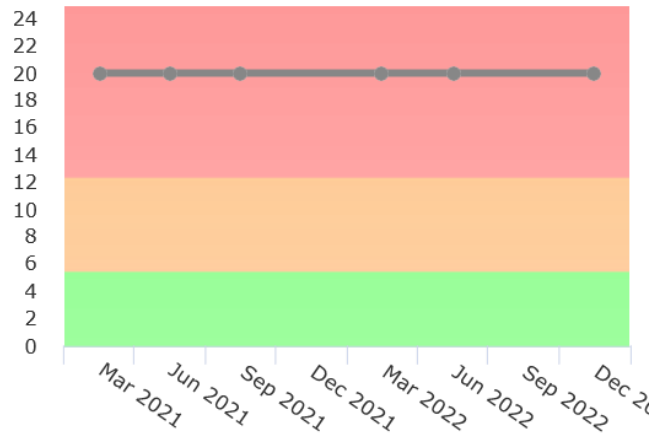
Ash Dieback is already having an impact on canopy cover across the county. It is estimated that there are 42,000 mature Ash trees along the county roads alone and a further 10,000 on the Council's Corporate Estate. Assuming a similar Ash tree density across all other public and private land including woodland and hedgerows, the impact of the loss of trees from Ash Dieback over the last 5 years and into the next 5 years on Ceredigion's carbon footprint, micro-climate and local impacts on climate change is significant.

Potential Consequence

There is the ongoing potential for death or injury as a result of Ash Dieback related accidents, to include risks to statutory functions or service delivery, with increased health and safety issues due to declining ash trees on roads, county parks, housing estates, schools, cycle ways, bridle paths and footpaths. Increased expenditure from direct and indirect costs as a result of Ash Dieback. Carbon emission from trees that fail/need to be removed will impact the Council's net zero carbon 2030 target, and a significant planting programme will be required over the next decade to compensate for the loss of ash trees. The loss of ecosystems provided by ash e.g., air quality, flood reduction, urban shading, increased noise levels and the loss of visual screens adjacent highways, carbon storage, carbon sequestration and habitat for biodiversity, and risks to protected species / sites through alteration and loss of habitat structure, stability and composition.

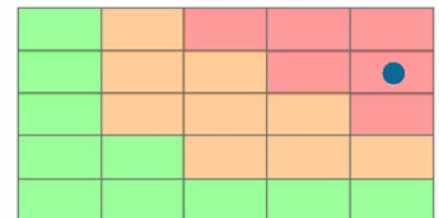
Evidence of Risk

Ash Dieback is already widespread and visible across the County. A national guide for the assessment of diseased trees using a system based on the percentage of live canopy cover has been established and is used to determine when action is necessary to address the risks posed by a tree's decline. It is recommended to take action when approximately 50% of the crown remains. Due to the scale of completing a survey across all council owned trees, a prioritised approach has been developed to ensure that the high-risk areas are principally surveyed first. To achieve this a qualitative risk analysis has been carried out which considers the likelihood of injury and severity for each service in the authority identified to likely be affected by ash dieback. Consideration has been given to variables such as the estimated quantity of ash trees, estimated number of users who use the service and for highways road speed and visibility. The ADAP estimates that the total cost to the Council of managing its Ash Dieback risk could be of the order of £9.4m over a 10-year period, with a further £20m required to deal with Ash trees on private land.



RM02 Risk Probability

5 Almost Certain
4 Likely
3 Possible
2 Unlikely
1 Rare



1 Negligible 2 Minor 3 Moderate 4 Major 5 Severe

RM01 Risk Impact

Mitigation Action	Due Date	Mar	Jun	Sep	Dec
R020T04: Undertake prioritised scheme of work to prune / remove trees as required	31 Mar 2023	●	★	★	●
R020T05: Seek Welsh Government and other funding opportunities to address the risk posed by	31 Mar 2023	●	●	●	■
R020T06: Undertake initial program of works to ADB affected trees in schools	30 Sep 2022		★	✓	✓
R020T07: Undertake in house surveying of prioritised areas for 2022 as set out in the ADAP	30 Sep 2022		★	✓	✓
R020T08: Commission roads survey A, B, C & Unclassified roads as set out in ADAP	30 Nov 2022		★	★	✓

The new contractor framework is currently with procurement, and options to utilize existing framework contracts already in place with other public sector organizations are being pursued in order that matters are progressed.

Work to trees on school grounds is to commence imminently through the existing NMWTRA framework to take place during the summer school holidays, with completion date of 5th September 2022.

Work is also proceeding in relation to issuing formal notices to landowners/managers responsible for trees on private land where these trees pose a risk to council owned property (e.g., schools) under Section 23 (Miscellaneous Provisions) of the Local Government Act 1976 requiring the owner to address the issues within a stipulated period.

Work to Council owned roadside trees continues and is being prioritized according to risk, with work to high priority trees and those on priority routes to be carried out using the existing NMWTRA framework as soon as possible until the new council framework comes online.

Work is continuing to identify the owners of roadside trees in private ownership, which is followed by the issuing of a formal notice under Section 154 of the Highways Act 1980 requiring the owner to address the issues within a stipulated period. This work is being done alongside that of instructing owners of private trees which are deemed to be a risk to the public/traffic where they overhang the highway.

The same approach is being taken to trees which are brought to our attention by enquiries from members of the public and this work is being carried out in parallel to trees identified surveying.

A surveying contract for A, B, C & Unclassified roads has been awarded to the contractor who conducted the previous ash dieback survey of A & B roads and Schools in 2021 in order to maintain continuity of data/approach.

The commencement of the 2022 survey is imminent.

Organizations such as Welsh Local Government Association and County Surveyors Society Wales continue to lobby Welsh Government for funding/support, but limited progress is being made - further work will be undertaken by the Ash Dieback Officer to identify opportunities to minimize costs and maximize return from tree/branch removal works.

Corporate Risk R021 Phosphates

Owner: CLO Russell Hughes-Pickering

Description

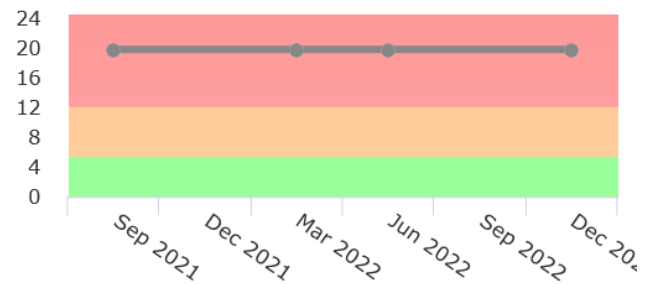
In Jan 21 Natural Resources Wales (NRW) published evidence of phosphate levels for riverine Special Areas of Conservation (SACs) in Wales, (including the Afon Teifi) accompanied by interim planning position guidance (updated May 21). The Council is the competent authority as defined in the Habitats Regulations and is required to have regard for advice when making planning decisions both for developments and the Local Development Plan (LDP). There is a phosphate impact on 50% of Urban Service Centre's and 14% of Local Service Centre's designated in the LDP. The total land affected of Ceredigion equates to 806 km² / 44.6% of the county. 14 allocated housing sites are constrained delivering potentially 572 homes of which 114 were expected to be affordable. There are significant issues relating to bringing development forward in this area. The area affected is expected to increase when further information and guidance is released in relation to the Marine SACs.

Potential Consequence

It is very likely that development across the County will be significantly constrained until measures can be implemented to mitigate the impacts of nutrients on riverine and marine environments. This could restrict the ability of the Council to deliver major elements of its Corporate Strategy, the Economic Strategy, the Local Development Plan, the 21st Century Schools Programme and key health and social care facilities. The situation is expected to worsen when data relating to Marine SAC assessments are released in 2022 which will have significant implications for the rest of the County.

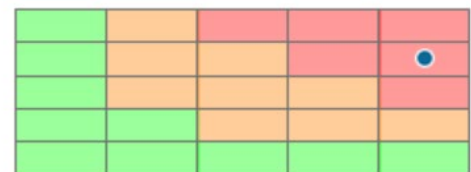
Evidence of Risk

Nutrient monitoring by NRW has established that 8 of the 16 monitoring stations on the Afon Teifi are failing to meet their targets as set by the Joint Nature Conservation Committee (JNCC). Therefore, they are failing to meet the requirements of their conservation favourable status, potentially damaging the delicate eco systems which warranted its designation as a Special Area of Conservation (SAC). Such targets are also being monitored for other nutrients both on the Teifi SAC and on the marine SACs that encompass our coastline.



RM02 Risk Probability

5 Almost Certain
4 Likely
3 Possible
2 Unlikely
1 Rare



1 Negligible 2 Minor 3 Moderate 4 Major 5 Severe

RM01 Risk Impact

Mitigation Action	Due Date	Mar	Jun	Sep	Dec
R021T01: Ensure all applications, plans and projects are screened in accordance with NRW guidance	31 Mar 2023	★	★	★	★
R021T02: Raise awareness locally and nationally and identify ways to refine the guidance	31 Mar 2023	★	★	★	★
R021T03: Work at a sub national and national level through the working groups to identify solutions	31 Mar 2023	★	★	★	★
R021T04: Seek local solutions, learning from best practice elsewhere, utilizing council owned assets	31 Mar 2023	●	★	★	★
R021T06: Appoint candidate to regional NMB programme officer role	31 Mar 2023		●	●	★
R021T07: Continue to lobby for a 'Team Wales' approach including a national mitigation list and data	31 Mar 2023		●	●	★
R021T08: Consider local solutions such as Private Treatment Plants and working with DCWW	31 Mar 2023		●	●	★

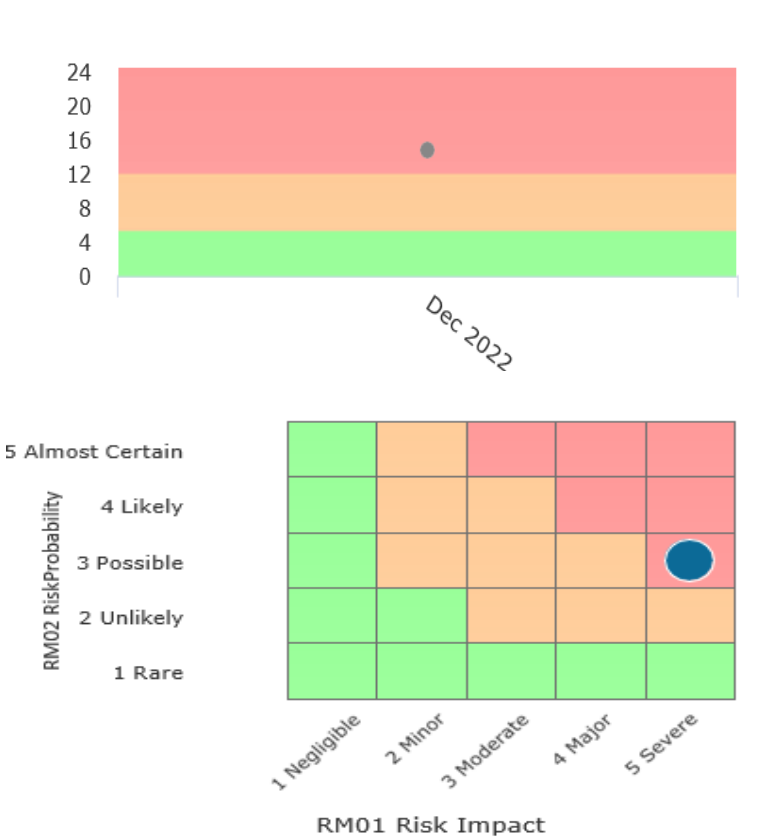
Comments (e.g., progress to

Since the last update, WG funding for the NMB for 3 years has been confirmed, a NMB programme Manager has been appointed and a supporting officer role is being developed. Nutrient Calculator and mitigation guidelines are being prepared for the Teifi. Alongside a feasibility study into potential sites for constructed wetlands and a regional nutrient credit trading scheme feasibility study. The PRAM project continues to operate to deliver a range of phosphate improvements led by the Ecology Team and the Policy team continue to support WG on the First Ministers 8-point Phosphate Action Plan and lobby partners in relation to Teifi based phosphate improvements, which includes potential phosphate stripping technology being installed at Lampeter and Llanybydder in advance of AMP 8 (2025).

Corporate Risk R022 Recruitment & Retention

Owner: CLO Geraint Edwards

Description
Failure to recruit staff to key roles will have an impact on the ability to sustain safe and effective services and the requirement of meeting statutory and legislative responsibilities. In future decision-making processes.
Potential Consequence
The impact of failure to recruit in a timely manner can lead to an inability to meet statutory duties or legislative requirements; an inability to deliver safe and effective services; or making it challenging for services to respond to changing demands. This would result in an intervention from regulators and/or being placed in special measures, creating significant additional budget pressures and damaging the Council's reputation, which would further impact our employer brand and ability to recruit. In addition, failure to recruit could lead to a negative impact on remaining workforce as a result of having to share the additional workload.
Evidence of Risk
Challenging labour market evidenced by historic high number of vacancies across UK, lowest rate of unemployment since 1974 and increase in the number of economically inactive people. Failure to recruit in a number of professional roles despite multiple campaigns. Increased use of agency staff to cover key professionally qualified roles, in particular in social care and senior management.



Mitigation Action	Due Date	Mar	Jun	Sep	Dec
R022T01: Engage recruitment agency to recruit to permanent roles from domestic & international	03 Feb 2023				★
R022T02: Undertake salary benchmark of all Welsh Local authorities	31 Mar 2023				●
R022T03: Review of application form and process	30 Jun 2023				●
R022T04: Consideration of multi-level apprenticeship scheme	30 Jun 2023				★
R022T05: Continue to lobby for Wales-wide pay scale for social workers	30 Sep 2023				■

Comments (e.g. Progress to Date)
Following a procurement process a recruitment agency has been appointed to attract qualified social workers from across the UK and internationally to permanent roles. Leadership Group workshop on exploring new initiatives has taken place and focus now on evaluating the individual initiatives for further consideration.