

Cyngor Sir CEREDIGION County Council

Report to:	Governance and Audit Committee
Date of meeting:	21st June 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.

A review of the latest risk status was conducted at the LG meeting of 24.5.23 where candidates for promotion / demotion to the Corporate Risk Register were discussed and agreed.

De-escalated from corporate to service

R004: Business Continuity – the overall risk score has reduced to 12 as processes and structures have been in place which have been tried and tested with significant incidents. There are contingency plans and business arrangements in place that provide assurance that it does not need to be on the Corporate Risk Register.

R015: Supporting Local Food Businesses, Maintain Safety – the overall risk score has reduced to 9 as Public protection resources have been diverted to clear the backlog and mitigating actions have been successful.

R018: Covid-19 – the overall risk score has reduced to 9 as Covid-19 has been deescalated at a national level.

Escalated from service to corporate

None

Appendix A contains the latest Corporate Risk Register.

The risk score for R009: Information Management & Cyber Security Resilience, has increased to 20. Previous mitigations were insufficient to prevent risks from increasing. Therefore, new mitigations have been put in place in order to reduce the risk. These are:

- 1. Develop regular review and SIRO Annual Report
- 2. Restructure to better focus resources and expertise
- 3. Migrate data and content to more suitable locations
- 4. Implement encryption at rest

A new mitigating action has been added to R017: Safeguarding – to implement the revised TAW structure to enhance the QA and Strategic Safeguarding and Mental Wellbeing and Substance Misuse activity in Porth Cynnal.

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: 24th May 2023

Corporate Risk Register

























Cyngor Sir
CEREDIGION
County Council

Governance and Audit Committee




Reviewed and updated by Leadership Group	24/05/2023
Last Monitored by Governance and Audit Committee	09/03/2022
To be presented to Governance and Audit Committee	21/06/2023

Corporate Risk Register

Contents and Summary

Risk Name	Owner	Risk Rating		
		Score	Status	Trend
R004: Business Continuity and Civil Contingency	Diana Davies	12		
R005: Medium Term Financial Plan	Duncan Hall	20		
R006: Through Age Well-being Programme	James Starbuck	15		
R009: Information Management & Cyber Security Resilience	Alan Morris	20		
R015: Supporting Local Food Businesses, Maintain Safety	Carwen Evans	9		
R017: Safeguarding	Audrey Somerton-Edwards	15		
R018: Covid-19	Alun Williams	9		
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

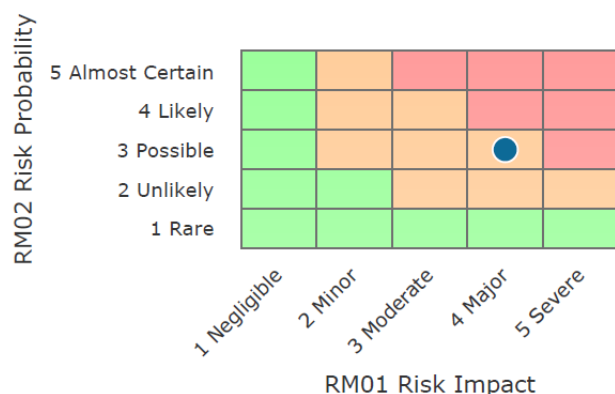
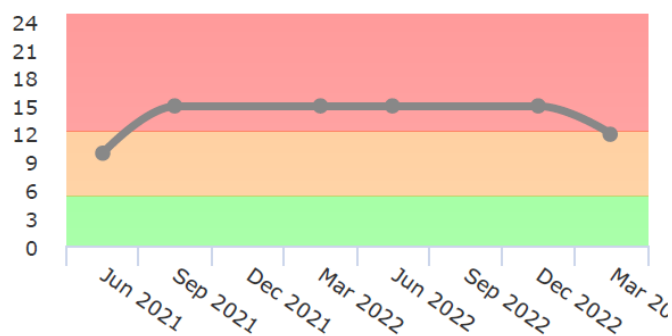
Trend Key

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

Corporate Risk 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	Jun	Sep	Dec	Mar
R004T03: Ensure the internal authority wide business continuity planning meetings are effective	31 Mar 2024	★	★	★	★
R004T04: Develop, refine and test Business Continuity plans	31 Mar 2024	●	●	●	★
R004T05: Participate and contribute to Dyfed Powys LRF coordination groups & update Emergency Plans	31 Mar 2024	★	★	★	★
R004T06: Ensure the internal Cyber Resilience meetings are effective	31 Mar 2023	★	★	★	✘
004T07: Review Emergency Plans to ensure a response to Ransomware attack is incorporated	31 Mar 2023	●	●	●	★

Comments (e.g., Progress to Date)

Most of the mitigating actions have been successfully delivered during the reporting period thus the risk impact score has been reduced from 5 to 4. One mitigating action will be removed from reporting for the next period as it aligns with the actions contained within R009 Four of the mitigating actions will be continued in moving forward as they are key in ensuring that the risk score is kept as low as possible. The internal Emergency Business Continuity Management group (EBCMG) is meeting quarterly and is chaired by the Cabinet Portfolio holder and attended by the Council Leader. The most recent meeting's focus was on the threat of a National Power Outage (NPO) which followed DPLRF (Lemur) and UK (Mighty Oak) Exercises designed to explore the impacts and highlight the response and preparedness in the event of an NPO. The work and learnings from these exercises by Ceredigion CC officers will help form the basis for development of a Ceredigion NPO Plan. Following an internal audit review and recommendation, a revised version of the Business Continuity Plan template will be presented at the next EBCMG meeting which will include consideration of timing and duration of potential events. All services have current Business Continuity Plans which are continually revised in accordance with discussions and agreed actions from the EBCMG meetings. Another recommendation from the Internal Audit review was to create a document detailing how the Council is meeting its obligations in complying with the Civil Contingencies Act 2004. This has been prepared and will form the basis of a delivery plan which will include review cycles of regional and local emergency and business continuity plans and inform the work of the EBCMG. The Local Authority is fully involved in the numerous Dyfed Powys Local Resilience Forum (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. Two Dyfed Powys LRF plans currently under review are the Excess Deaths Continuity Plan and the Joint Major Incident Procedures Manual. 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.

Corporate Risk R005 Medium Term Financial Plan

Owner: CLO Duncan Hall

Description

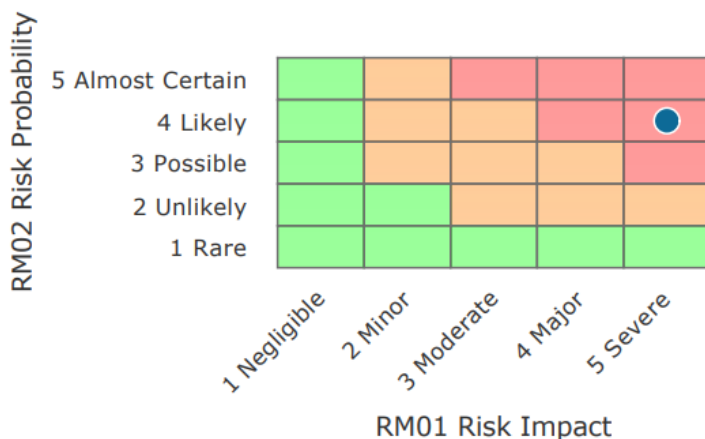
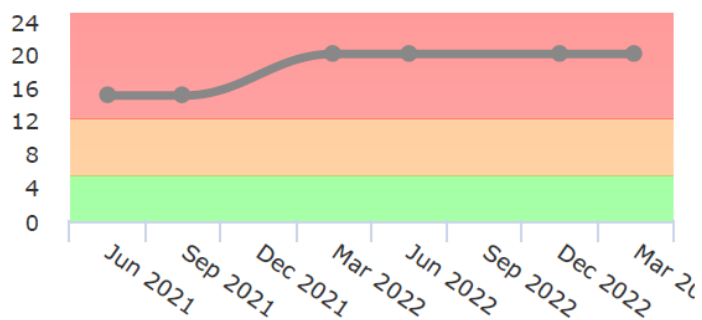
The reduction of core and external funding will lead to the reduction in service provision in some areas. Failure to adapt, implement identified savings and consider alternative models of service provision in line with the Medium-Term Financial Plan will affect future service delivery and the financial 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 current Medium Term Financial Strategy (MTFS – updated March 2022) indicated a potential requirement to save c£15m by March 2025.
- This is in the process of being updated, but with savings of £8.8m having been required for the 23/24 Budget and an indicative 3.1% all Wales increase for 24/25 (which would only provide a £4m funding increase), the level of savings is highly likely to exceed that of the current MTFS.
- The level of WG AEF funding has reduced over the years from c80% down to just above 70% of the revenue budget, placing a far greater burden on funding raised locally through Council Tax.
- Continued elevated levels of inflation are still being seen in a significant number of areas, not least of which is Employee Pay which is a significant component to the Budget as well as Energy, Food and Contractor / Provider inflation. Many of these were recognised and provided for in the 23/24 Budget, however the risk is inflation (and therefore cost pressures) remains elevated for longer.
- A new 'Doing Things Differently: A Corporate Approach' is now in place and starting to deliver for 23/24. The new Through Age and Wellbeing Strategy is also now in the early stages of its implementation journey and several major Economic funding streams are either reaching or close to reaching fruition. These will need all to deliver across the medium term, as well as continuing to take advantage of Invest to Save type opportunities as when they arise.
- A solid track record exists of delivering Budgets and a positive year end Outturn position with unqualified Wales Audit options within the last few years. The Council's Balance sheet at 31/03/2022 is strong which contributes towards strong financial resilience.
- There are examples of individual Service Risks that fall within this overall Corporate Risk e.g. Potential failure to maintain the Highway network to acceptable standards if insufficient funding is allocated, insufficient funding to enable a comprehensive Vehicle fleet replacement programme (including the transition to Net Zero) and a risk that savings required in Delegated School Budgets may have a major impact on provision in certain schools.



Mitigation Action	Due Date	Jun	Sep	Dec	Mar
R005T01: Continue arrangements for financial management	31 Mar 2024	★	★	★	★
R005T03: Ensure that Transformation and service efficiency savings are developed and implemented	31 Mar 2024	★	●	★	★
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 in year position for the 22/23 financial year has been challenging due mainly to pay awards that were virtually double the level originally budgeted. In addition the impact of inflation has been seen in multiple services (e.g. Fuel, Transport contracts, Materials). Various mitigating actions were taken to manage the position, with the base budget being realigned as part of the 23/24 Budget setting process. The final controllable outturn position should be available by the end of May 2023 and a broadly balanced position is forecast, albeit using some earmarked reserves in specific areas to achieve this. The WG Local Government Finance Settlement provided an 8.1% funding increase (£9.6m) for 23/24. However with c£22m of Cost pressures (equivalent to an inflation rate of over 13%), that still lead to savings of c£9m being required for 23/24 and a Council Tax increase of 7.3%. A new approach to Budget Savings has been taken which included a review of Corporate budget headings (£2.9m), Reduced Pension Fund Employers Contribution Rate (£0.8m), a limit to the increase applied to Delegated School budgets (£2.1m) and a new multi-year Savings Programme called 'Doing things Differently: A Corporate approach' implemented (£3m for 23/24 and further initial proposals for the 2 years beyond that). WG have indicated an average 24/25 Local Government Finance Settlement funding of only 3.1% (which would provide an additional £4m). The General Staff Pay award for 23/24 is not agreed and Unions have rejected an offer that exceeds current Budget Provision by c£0.6m (after allowing for the Contingency sum set aside for Pay and Energy). These and other factors are being reflected in an updated Medium Term Financial Plan due for completion during Q1 2023/24. 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.

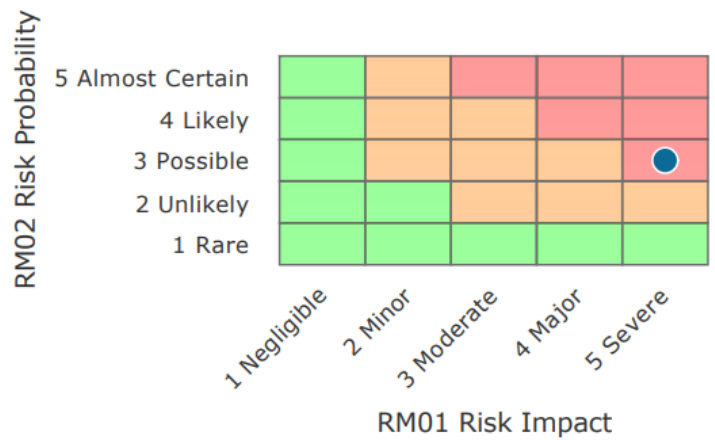
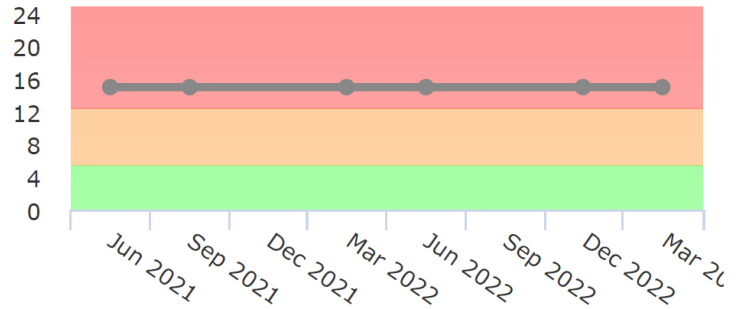
The Through Age Wellbeing Programme is now progressing to develop and implement service arrangements and staffing structure to support the emphasis on early intervention and prevention services. Risks and opportunities that may arise from the rebalancing of services will need to be managed.

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



Mitigation Action	Due Date	Jun	Sep	Dec	Mar
R006T01: Progress to be reported on the implementation of new service model to the project board.	30 Sep 2023	★	★	★	★
R006T03: Ensure HR/workforce programs in place in line with managing change	30 Jun 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. Recruitment, corporately, has been identified as a risk for the Council.

Corporate Risk R009 Information Management & Cyber Security Resilience

Owner: CLO Alan Morris

Description

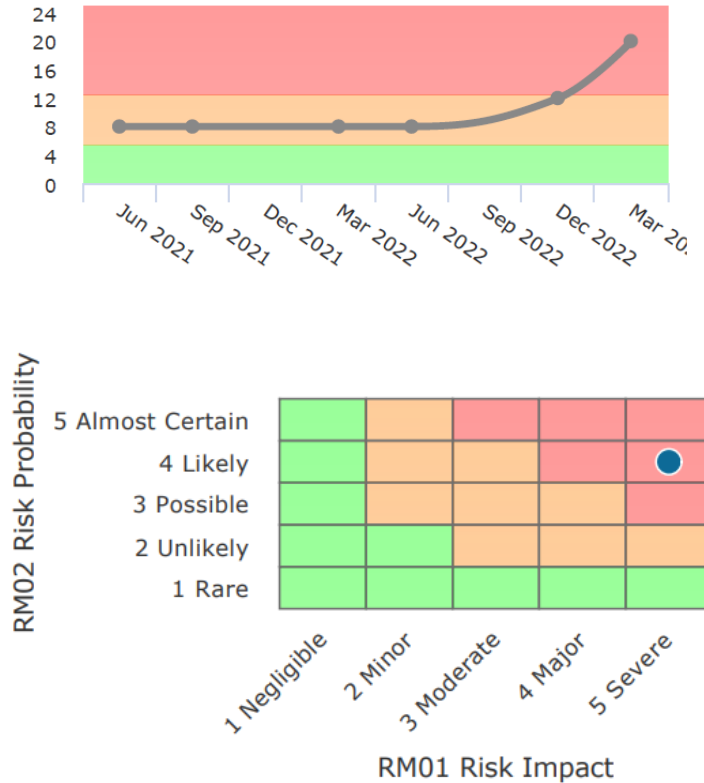
Failure to ensure that we have effective information and ICT, security and compliance in place, will impact on the Authorities ability to adapt to change, improve services and communicate effectively with citizens and other users of Council services.

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	Jun	Sep	Dec	Mar
R009T04: Continue with Data Audit across all service areas	31 Mar 2024	★	★	★	★
R009T05: Implement approved record retention schedule	31 Mar 2024	★	★	★	★
R009T06: Support all Service areas in developing Cyber Security Business continuity plans	31 Mar 2023	★	★	★	✘
R009T08: Develop regular review and SIRO Annual report	31 Mar 2024				
R009T09: Restructure to better focus resources and expertise	31 Mar 2024				
R009T10: Migrate data and content to more suitable locations	31 Mar 2024				
R009T11: Implement encryption at rest	31 Mar 2024				

Comments (e.g., progress to

Previous mitigations were insufficient to prevent risks from increasing. Therefore, new mitigations have been added in order to reduce risk. Several minor data breaches have occurred during the last quarter, mainly caused by human error. These have been investigated with recommendations and advice provided. No significant breach or data loss took place. Information Governance Work is nearing completion with upgrade to Microsoft licensing procured which will allow implementation of retention and labelling in the coming year. Recent improvements to patching systems is working well and mitigating many cyber security risks. However, the increased threat levels and warnings from the National Cyber Security Centre continue to raise concerns about multiple threats to the UK's IT infrastructure. Ceredigion IT is an active member of Welsh Government Cyber Security Resilience Group, set up to counter these threats and to share information amongst public service providers in Wales.

Corporate Risk R015 Support Local Food Business, Maintain Safety

Owner: CM Carwen Evans

Description

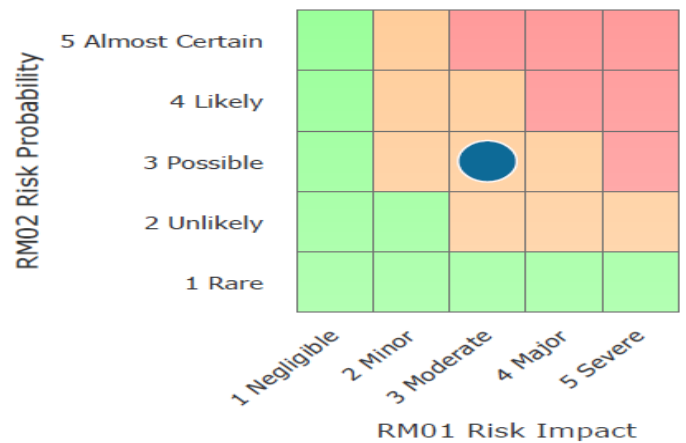
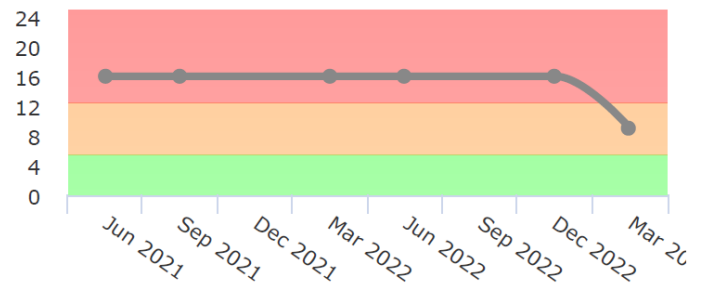
Failure to make adequate frequent high risk premises inspections and timely inspections of new premises may provide inadequate support for businesses leading to poorer standards, impact on the business itself and the local economy. There is also a reputational risk if the Council does not meet its statutory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

Since the resumption of food premises inspections during the latter part of the pandemic, inspections have been undertaken in accordance with the milestones set out in the Food Standards Agency (FSA) Recovery Plan. The service has made enormous progress in tackling the backlog of inspections, and whilst not all have been completed, those that continue to require inspection will be prioritised in quarter 1 of 2023/24. The recruitment of food competent staff is a challenge, and the service is currently training and developing some of the existing staff to become competent to undertake food premises inspections. During the pandemic two experienced Environmental Health Officers were redeployed to undertake Covid-19 related duties. Whilst one officer continues to undertake these duties, which include infection, prevention, and control duties in high-risk settings such as care homes, the second officer has returned to the Public Protection team which will provide additional resource.



Mitigation	Due Date	Jun	Sep	Dec	Mar
R015T02: To prioritise food establishments that are deemed high risk and/or non-compliant	31 Mar 2024	★	★	★	★
R015T06: Upskill existing staff to become competent in undertaking food safety inspections	31 Mar 2024	●	●	★	★
R015T07: Undertake a procurement exercise to employ specialist contractors to provide extra resource	31 Mar 2024	●	●	★	★
R015T10: Inspect all high risk food establishments in accordance with the Food Law Code of Practice	31 Mar 2024	●	●	●	●

Comments (e.g., progress to

The service has continued to inspect food establishments in accordance with the FSA Recovery Plan. A total of 151 high risk food hygiene inspections were undertaken in the last quarter. A further 12 statutory revisits were undertaken to those premises that were poorly compliant, to establish if the required improvements had been satisfactorily undertaken. Specialist food contractors were also employed to assist the service in tackling the backlog of inspections. The service has completed 92% of all programmed high-risk inspections during the year. Only 29 premises were not subject to a programmed inspection, and they have been prioritised for inspection during the first quarter of this financial year. Training continues to be provided for officers to undertake high risk food inspections. There are currently 9 food competent food officers within the team. This has contributed significantly to the authority's ability to comply with the requirements of the FSA recovery plan. A Public Protection Officer successfully completed the qualification, and assessment of competency in March 2023, and a further officer is sitting the qualification and is due to achieve the same around March 2024. The authority continues to invest in officers to build resilience in the service, and to meet the ongoing Continuing Professional Development (CPD) requirements of the Code of Practice. The service is in a far stronger position in relation to high-risk food inspections than it was last year.

Corporate Risk R017 Safeguarding

Owner: Acting CLO Audrey Somerton-Edwards

Description

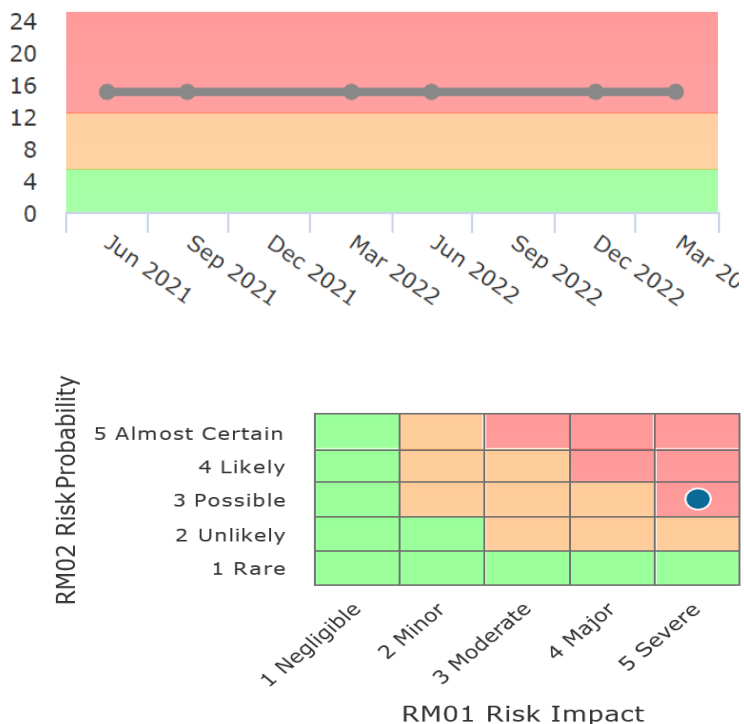
Risk of failure to maintain the organisation's statutory duties in relation to safeguarding children, young people and adults during the period of transition to the Integrated Service Delivery Model.

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	Jun	Sep	Dec	Mar
R017T06: Maintain a fully Integrated Through Age Safeguarding Team	31 Mar 2024	●	●	●	●
R017T07: Ensure that safeguarding training and skills development is rolled out to all staff	31 Mar 2024	●	●	●	●
R017T08: Implement The Wales Safeguarding Procedures & Regional Practice Guidance across all teams	31 Mar 2024	●	●	●	●
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	★	★	★	★
R017T11: Implement revised TAW structure to enhance the QA, Strategic Safeguarding	30 Sep 2023				★

Comments (e.g., progress to Date)

The Through Age Wellbeing Model continues to be embedded into practice. The early intervention approach is being recognised as an efficient and robust approach to prevention across all age needs. There have been remedial adjustments made to the structure to enhance capacity and ensure full utilisation of the TAW ethos across the service. In terms of delivering the statutory duties there has been a need to rely on agency cover to maintain a safe service that delivers all the statutory functions within timescales. There are strategies and plans in place to promote the recruitment and retention of a permanent workforce and break the reliance on agency provision. The Innovate Team is a commissioned service that has supplemented the short fall in the Planned Care Children's social work. There continues to be a high volume of referrals across Children's and Adult's safeguarding that are complex and requiring intense support. The higher demand for services is replicated across the whole TAW. Without the mitigating actions in place there is a possibility that there could be severe consequences for not appropriately discharging statutory duties.

Corporate Risk R018 Covid-19

Owner: CLO Alun Williams

Description

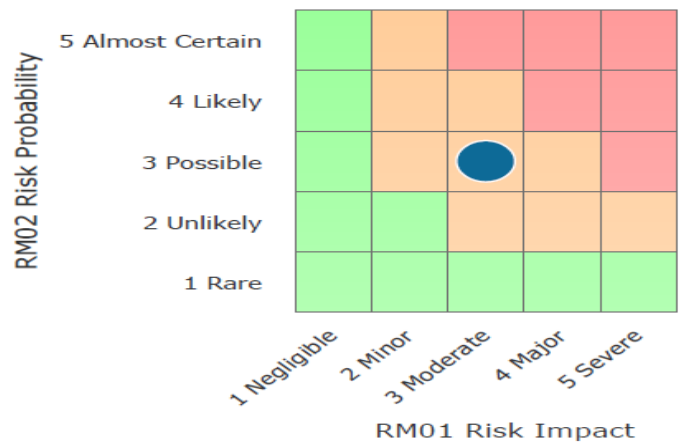
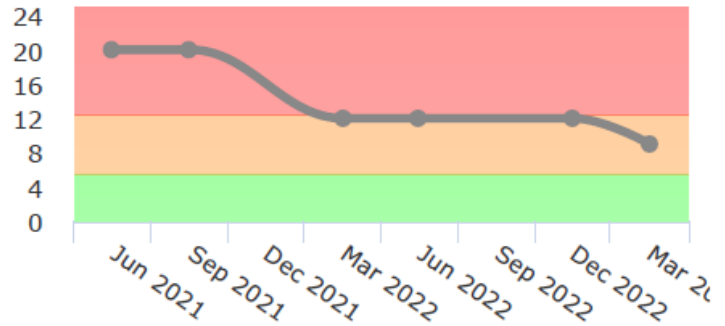
The effect of the spread of the Global Pandemic Covid-19 on the health of citizens including the increased demands on the Council's services, the effects of Lockdowns and relaxations as Government policy changes on a regular basis, the wider economy and the well-being of the County's citizens.

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	Jun	Sep	Dec	Mar
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	30 Sep 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	30 Sep 2023	★	★	★	★
R018T10: Transform contract tracing team to a health protection team	31 Mar 2024				★

Comments (eg progress to date)

Although Covid remains a risk to the community and to the Authority, the Omicron virus is less serious than its predecessors and along with high rates of vaccination, the pandemic is increasingly under control. Along with Government policies, the mitigations taken by the Authority and its partners over the last twelve months have had a positive effect in lessening the impact of the pandemic within the County. Both UK Government and WG have rolled back regulations and restrictions have been lifted. The backlog of work is being tackled by the

Authority. Government intervention and funding has been significantly curtailed and our contact tracing team has been reduced from 80 members of staff twelve months ago to 4. Contact tracing has ended and testing has been suspended for the spring and summer. The contact tracing team is transforming into an "All-hazards" multi-agency health protection team, which will respond to numerous public health threats, including Covid, Mpox, TB, etc. Government policy has recognised that the Coronavirus has moved from a pandemic to an endemic. We have to live with the virus circulating in our community and workplace. Nevertheless, there remains a risk that a new variant will appear which could potentially 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.

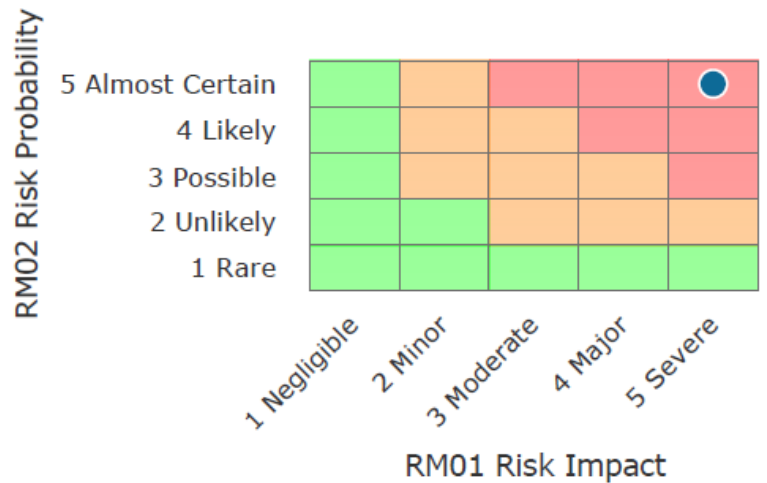
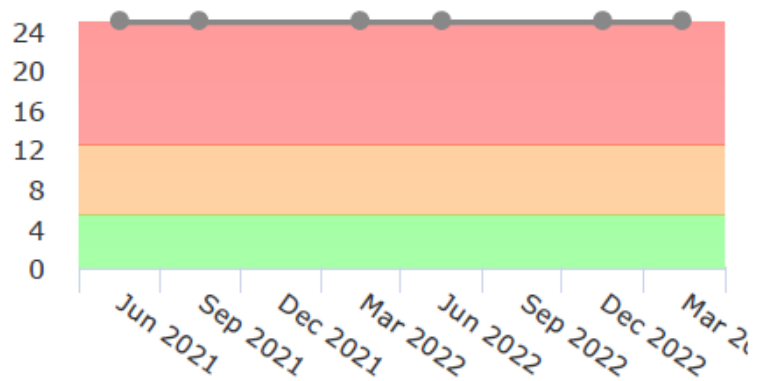
In addition, failure to reduce the effects of climate change could have reputational, financial and environmental consequences for the Council including in the form of financial penalties for failing to meet Welsh Government targets for carbon management and for biodiversity.

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	Jun	Sep	Dec	Mar
R019T01: Develop a Corporate Climate Change Strategy	31 Mar 2024	●	●	●	■
R019T03: Increase the amount of energy generated from renewable sources.	31 Mar 2024	★	★	●	★
R019T04: Identify and manage the corporate estate	31 Mar 2024	★	★	●	■
R019T05: Develop Flood Alleviation Schemes	31 Mar 2024	●	●	●	●

R019T06: Monitor the coastline with the Wales Coastal Monitoring Centre, develop Coastal Defence	31 Mar 2024	★	★	★	★
R019T08: Apply for funding to implement projects which mitigate the effect of climate change	31 Mar 2024	●	●	●	●
R019T09: Develop a Corporate ULEV Strategy, Action Plan and capital delivery programme	31 Mar 2024	★	★	★	✘
R019T10: Review and publish Active Travel Network Maps and associated capital delivery programme	31 Mar 2024	★	★	★	✘

Comments (e.g., progress to

A Corporate Climate Change Strategy has not yet been developed, but regional work on Mid Wales Energy Strategy and subsequent Action Plan has progressed. Also work to deliver a Local Area Energy Plan for Ceredigion has commenced and it would be beneficial if these pieces of work were completed in order to inform a potential climate change strategy.

Green Infrastructure Action Plans for each of the 6 towns have been developed and published bilingually as well as a countywide Green Infrastructure Assessment to support the change in PPW anticipated towards the end of 2023 and the focus on net gain for biodiversity. As and When LDP2 restarts a dedicated climate change strategic policy will be developed.

The Regional Energy Strategy Action Plan has been signed off by GMW Board, and work on a Local Area Energy Plan (LAEP) for Ceredigion has commenced, with a number of workshops now having taken place.

A Regional Energy Officer has been appointed and is now in post, she will help specifically with the LAEP process and may also be able to provide some additional support for other decarbonisation schemes. WG emission reporting templates have been released, and officers will be calculating the figures relevant to Ceredigion in the coming months for submission in September.

The Carbon Management Plan expired 31/03/23, and work is ongoing to develop a new plan to 2030 and aligns with the Net-Zero Action Plan.

Additional PV installed at Llwyn yr Eos school, also PV installed at Cardigan Secondary and Cardigan Primary Schools during 2022/23. Unfortunately, a breakdown of the biomass Plant in Aberystwyth meant that the connected sites were running on gas for a number of months, increasing our reliance on fossil fuels for a short period. This has now been repaired and heating and hot water is being provided via the biomass.

The ULEV Strategy has been adopted following approval by Cabinet and is available on Council's website.

Delivery of Phase 2 of public EV chargepoint programme is complete, and grant applications have been submitted for funding of Phase 3 public EV charging programme in FY2023/24 - Welsh Government ULEVTF (£350k) and UK Government OZEV for ORCS grant (£60k).

Quotations for the Depot grid connections have been received which will utilise the £300k grant made available from WG through the WLGA, and APSE have also been commissioned to deliver an assessment of the depot layouts to ensure that they meet the Council's future requirements in terms of EV charging infrastructure.

Flood and Coastal Erosion Risk Management (FCERM) schemes are 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 have been delayed slightly, as the Authority is waiting for essential data from third parties (including Network Rail and NRW). The completion date for all FCERM schemes has been extended to 30 June 2023.

The Marine Licence and planning permission have been received in relation to the Aberaeron CDS and planning permission and contractor appointment is expected in early 2023. Business cases are being developed for the potential schemes at Aberystwyth, Borth and Llangrannog.

The Wales Coastal Monitoring Centre (WCMC) continue to survey the defended coastline on behalf of CCC, and their use of technology is increasing the volume and accuracy of data that can be captured. WCMC is also looking to work in partnership with the Department of Architecture and Civil Engineering – University of Bath, who are looking to install a permanent laser scanner at Borth for a 12-month period as part of a submission for the recently announced £3m Natural Environment Research Council (NERC) Highlight Topic on Gravel Beaches which will assist with monitoring the movement of the gravel beach as part of the Borth Coastal Defence to establish a future operational and maintenance programme.

The Authority is in the process of reviewing the coastal performance of sea defences along Borth frontage, due to concerns regarding localised overtopping during storm events.

The approved Active Travel Network Maps (ATNMs) have been published on County Council website, and work has continued on the development and delivery of the Active Travel Fund programme in FY2022/23 and scheme development for Llanrhystud Safe Routes in the Community.

Applications prepared and submitted for Welsh government grant funding in FY2023/24 including: ATF Core Grant (£0.5M); Plas Gogerddan to Waunfawr Phase 1 (£1.5M); £50k SRICS for continued scheme development in Llanrhystud.

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.

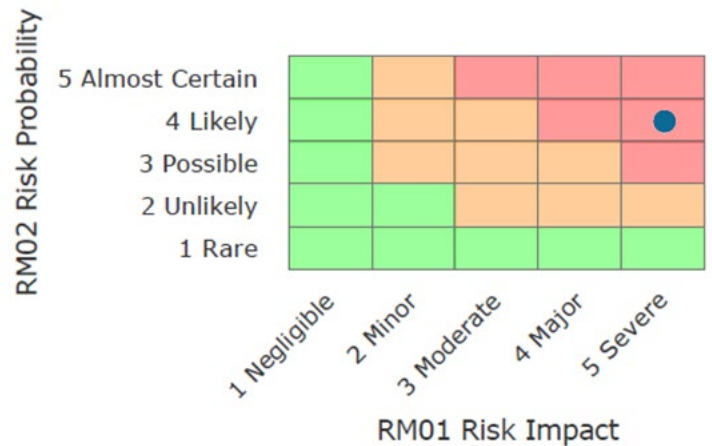
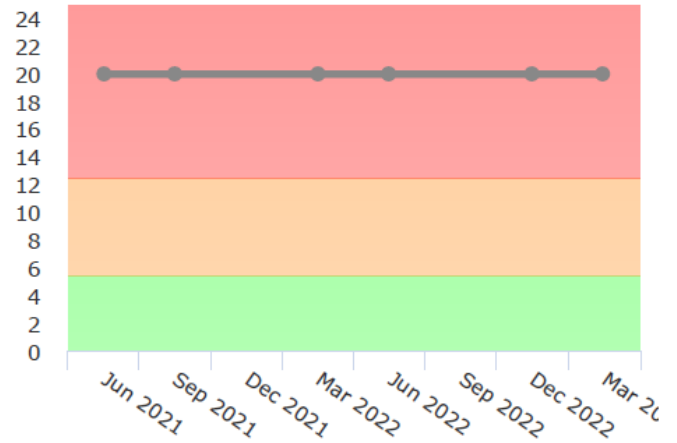
Ash Dieback is already having an impact on canopy cover across the county. It is estimated that there are 42,000 mature Ash trees along the county roads alone and a further 10,000 on the Council's Corporate Estate. Assuming a similar Ash tree density across all other public and private land including 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.



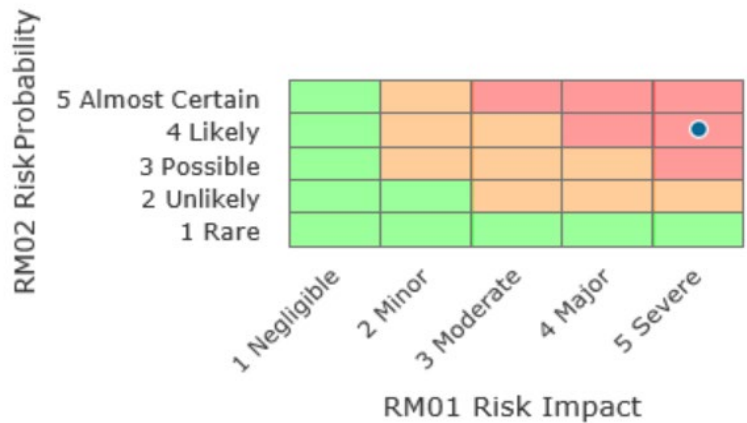
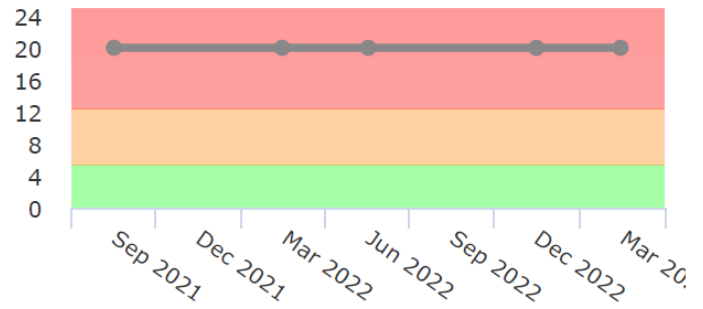
Mitigation Action	Due Date	Jun	Sep	Dec	Mar
R020T04: Undertake prioritised scheme of work to prune / remove trees as required	31 Mar 2024	★	★	●	●
R020T05: Seek Welsh Government and other funding opportunities to address the risk posed by	31 Mar 2024	●	●	■	■
R020T06: Undertake initial program of works 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 Summer 2022 survey of all highway trees has been completed and the data from that exercise has been imported into the Council's management system. 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. Urgent Ash Die Back tree cutting works in and in the vicinity of schools has been completed. The procurement of the new Tree Works Framework for Ash Die Back and all other tree work is imminent. Extensive efforts have been made to seek external funding options, though yet no such grant funding opportunities are available. Further work will be undertaken by the Ash Dieback Officer to identify opportunities to minimize costs and maximize the return from tree/branch removal works. A New scheme of works for Council owned trees on at the roadside and public open spaces will commence for 2023.

Corporate Risk R021 Phosphates

Owner: CLO Russell Hughes-Pickering

Description
<p>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.</p>
Potential Consequence
<p>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.</p>
Evidence of Risk
<p>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.</p>



Mitigation Action	Due Date	Jun	Sep	Dec	Mar
R021T01: Ensure all applications, plans and projects are screened in accordance with NRW guidance	31 Mar 2024	★	★	★	★
R021T02: Raise awareness locally and nationally and identify ways to refine the guidance	31 Mar 2024	★	★	★	★
R021T03: Work at a sub national and national level through the working groups to identify solutions	31 Mar 2024	★	★	★	★
R021T04: Seek local solutions, learning from best practice elsewhere, utilizing council owned assets	30 Sep 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 2024	●	●	★	★
R021T08: Consider local solutions such as Private Treatment Plants and working with DCWW	31 Mar 2024	●	●	★	★

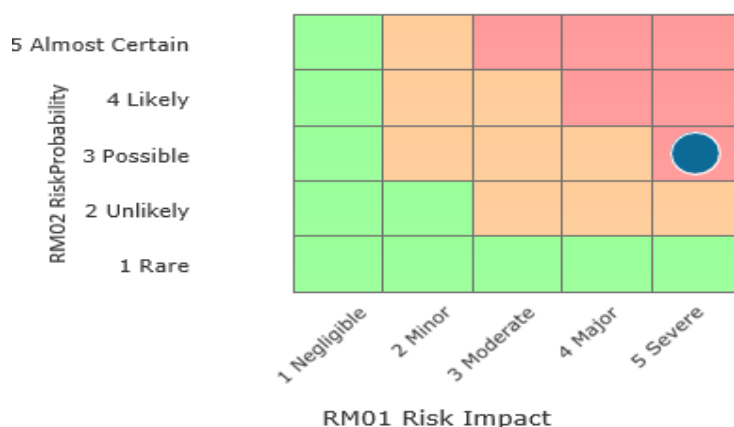
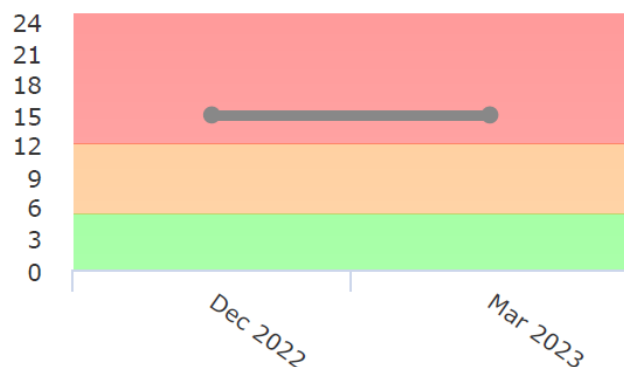
Comments (e.g., progress to)

An SPF bid has been submitted for a Nutrient Management Officer and Water quality monitors along the Teifi. The wetland feasibility study has been completed alongside the regional calculator and mitigation guidelines; 2 onsite wetland feasibility studies to planning stage are due to commence shortly. Policy has taken the lead on the PRAM project to move forward the deliverables. Developer checklists and HRA support is currently being prepared and the draft Nutrient Management Board Plan template is taking shape. A stakeholder engagement event is planned for the start of June. The Team Wales work is progressing with the region being a key player in influencing the First Ministers action plan design and implementation.

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.
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	Jun	Sep	Dec	Mar
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 Jul 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)

The Workforce Plan 2023–2028 is in the final stages of drafting and will be submitted for Cabinet approval by the end of the summer. The Plan proposes four key priorities: Candidate Experience & Talent Attraction; Our Culture; New Ways of Working; and Realising Potential. Addressing the recruitment and retention challenges is at the centre of the plan with a focus on marketing, application process, employee voice, digital upskilling, succession planning, graduate scheme and apprenticeship programmes. The working relationship with a specialist recruitment agency to attract qualified social workers, both UK and international, has now been established and the first cohort of suitable candidates are currently being assessed.