

# Corporate Risk Register










## Governance and Audit Committee



















Reviewed and updated by Leadership Group	15/05/2024
Last Monitored by Governance and Audit Committee	24/01/2024
To be presented to Governance and Audit	16/07/2024

# Corporate Risk Register

## Summary

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
	Data not available or Newly added Risk

Risk Name	Owner	Score	Status	31/03/2024		
				Risk Direction	Last Reviewed By	Last Reviewed Date
R005: Medium Term Financial Plan	Duncan Hall	25			Corporate Resources O & S	19/07/2023
R009: Information Management - Security	Alan Morris	16				
R019: Climate Change	Rhodri Llwyd	25			Thriving Communities O & S	22/06/2023
R020: Ash Dieback	Rhodri Llwyd	20			Thriving Communities O & S	19/10/2022
R021: Phosphate levels	Russell Hughes-Pickering	16			Thriving Communities O & S	07/12/2022
R022 Recruitment and Retention	Geraint Edwards	15			Corporate Resources O & S	19/07/2023
R023: Systems End of Life	Alan Morris	20				
R024: Cyber Resilience	Alan Morris	20				
R025: Fire Safety & Protection Measures in Council Properties	Russell Hughes-Pickering	25				

Risk Name/Owner/Responsible CLO

R005: Medium Term Financial Plan

Duncan Hall

Duncan Hall

Current Score

25

Target for Risk

20

Last Reviewed

Corporate Resources O & S

19/07/2023

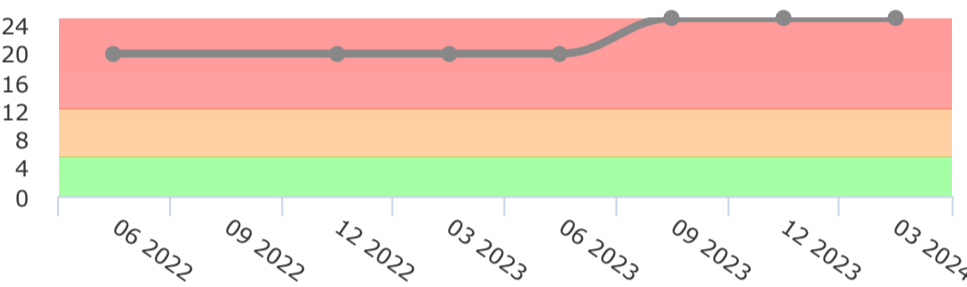
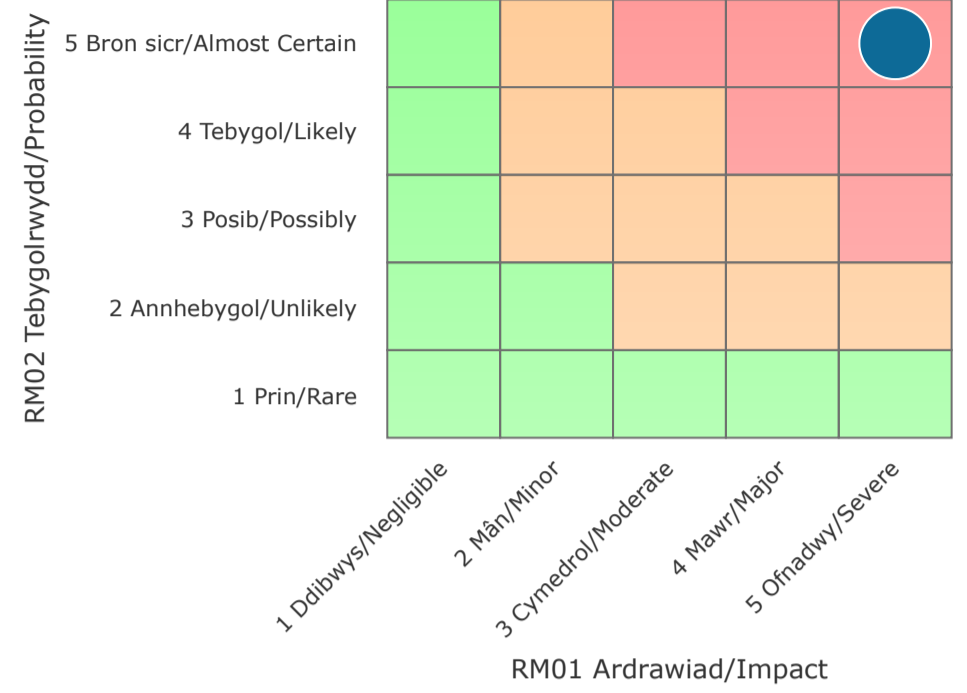
**Description**  
The reduction of core and external funding will lead to the reduction in service provision in some areas. Failure to adapt, implement identified savings and consider alternative models of service provision in line with the Medium Term Financial Plan will affect future service delivery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

**Evidence of Risk**  

- The latest Medium Term Financial Strategy (MTFS) endorsed by Full Council on 21/09/23 showed a budget gap of £15.9m for the financial years 24/25 to 26/27.
- On top of an 11.1% Council Tax increase for 24/25 (1.1% of which related to the Fire levy), Budget Reductions of £5.8m were approved across c70 different headings, this followed a poor WG 24/25 Settlement of only 2.9%
- 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 and there is a growing sense of inequity in the distribution of funding.
- 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 Contractors and Social Care Provider inflation (the latter driven partly by Real Living Wage increases) – Cost pressures of some £18m were recognised in the 24/25 Budget equating to an inflation rate of c10% - well above the CPI inflation index.
- A solid track record exists of delivering Budgets and achieving unqualified Audit Wales opinions.
- The Council's Balance sheet as at 31/03/2023 has provided a strong starting point for continued financial resilience.
- The 23/24 in year position has been extremely challenging with a number of cost pressures arising that have needed careful financial management and then reflecting in the 24/25 Budget process – Transport, Employee Pay, Social Care etc
- 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.

**Potential Consequences**  

- 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



Mitigating Action	Due Date	Due Date			
		06/23	09/23	12/23	03/24
Continue arrangements for sound and effective financial management (including monthly monitoring of in year Savings and reporting progress to the Scrutiny Committees)	31 Mar 2025	★	★	★	★
Ensure that Transformation and service efficiency savings are developed and implemented	31 Dec 2024	★	●	★	★
Ensure that the Medium Term Financial Plan is updated to reflect the WG 3.1% indicative level of funding for 24/25	30 Sep 2023	●	✓	✓	✓
Arrange a Budget Workshop to include the Ceredigion and Mid & West Wales Regional WG Assembly Members	30 Jun 2024				
Refresh and Update the Medium Term Financial Plan (using a 0% to 1% WG Settlement assumption)	30 Sep 2024				
Engage with Audit Wales on their Local & National Local Government Financial Sustainability Study	30 Sep 2024				

#### Quarterly Progress

75% of the Council's budget is now spent on the 3 main areas of Through Age Social Care & Wellbeing, Schools & Lifelong Learning and Highways & Environmental Services. This rises to 86% once other (largely) fixed costs are provided for e.g. Fire Authority Levy, Members Allowances, Council Tax Reduction Scheme and Capital Financing Costs – leaving only 14% (£27m) for all other Council Services.

Notwithstanding there is a General Election on the horizon, the outlook for 25/26 is particularly bleak. Balancing the 24/25 revenue budget has been incredibly challenging and has only been possible with a significant Council Tax increase of 11.1%. Current Medium-term indications are that future core funding from WG may at best be a 1.0% increase, but could be flat or even small reductions. The next MTFS update will use a 0% to 1% indicative Settlement range for modelling purposes. The Budget report to Cabinet on 23/01/24 indicated that flat WG Settlements, combined with only 5% Council Tax increases, would indicate a potential budget gap of some £22.3m over the next 3 years including £8.1m for 25/26. These figures have further upside risk if Employee Pay remains elevated and Cost Pressures do not recede in line with CPI inflation. Further work is being done to update and refresh the MTFS. Audit Wales are also undertaking both a local and national study on Local Government Financial Sustainability during Q1 to Q2.

There are a number of key workstreams that are or will contribute to current / future Budget reductions including various strands to the Through Age & Wellbeing Strategy / Initiatives, New Ways of Working, Digital Strategy, Energy Scheme Investments, Strategic review of Primary School Infrastructure, Post 16 Education Strategic review, various Car Parking Initiatives, Asset Management Planning & Rationalisation (including Vehicle Fleet), the Mid Wales Growth deal and Phase 2 of the Council Tax Premiums applicable to 2nd Homes effective from April 2025. However these are unlikely to be enough, with a fundamental re-evaluation of Ceredigion's underlying purpose and relationship with its residents also needing to take place including continued engagement with Town & Community Councils over 'local' Services and the likelihood that further Services (or aspects thereof) will need to cease being provided by the Council.

Risk Name/Owner/Responsible CLO

R009: Information Management - Security

Alan Morris

Alan Morris

Current Score

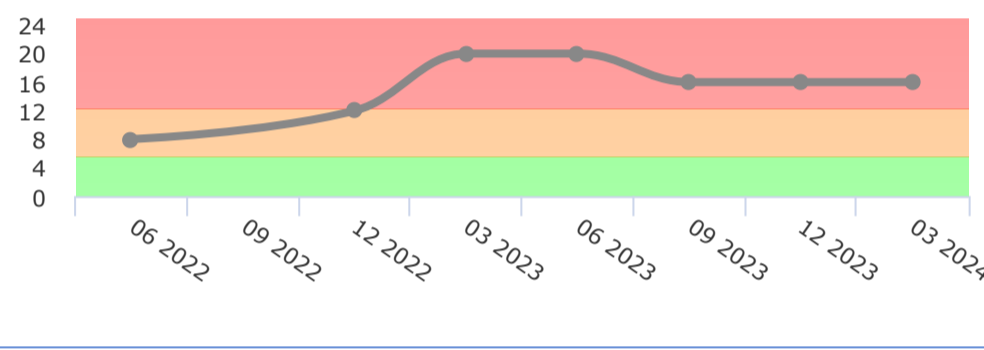
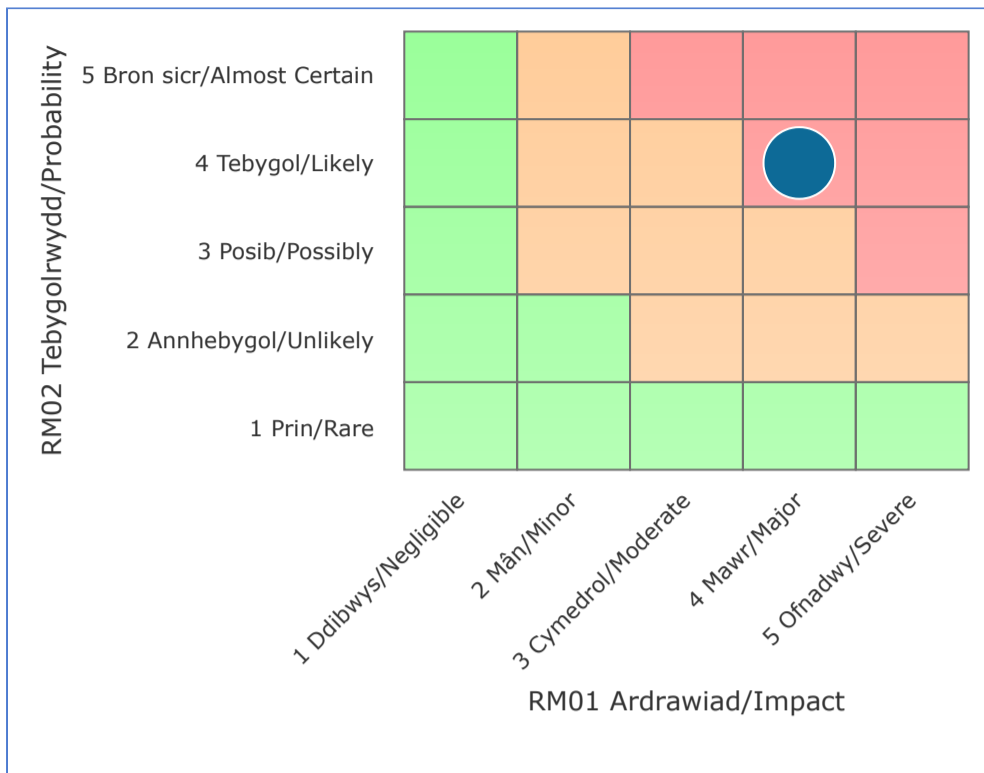
16

Target for Risk

16

Last Reviewed

Description	Failure to ensure that we have effective Information Management compliance in place will increase the risk and damage from any governance or data breaches. Weakness in compliance will also affect our ability to respond to FOIs and Subject Access requests. This may lead to increased risk of fines, loss of data or access to one or more systems and cause reputational damage.
Evidence of Risk	<ul style="list-style-type: none"> <li>• Strained capacity to move projects forward.</li> <li>• Lack of details Information Processing Register</li> <li>• Lack of active retention on electronic files</li> <li>• Poor electronic record keeping practices.</li> <li>• Difficulty maintaining required standards.</li> <li>• Current EDRMS end of life</li> </ul>
Potential Consequences	Failure to fully suitable governance of data processing could lead to - <ul style="list-style-type: none"> <li>• Inappropriate processing</li> <li>• Security Risks</li> <li>• Failures in supplier assurance</li> <li>• Poor Decision making</li> <li>• Reputational damage</li> <li>• Damage to service users</li> </ul>



Mitigating Action	Due Date	06/23	09/23	12/23	03/24
		★	●	●	■
Continue with Data Audit across all service areas	31 Mar 2024				
Implement approved record retention schedule	31 Mar 2024	★	★	★	●
Develop regular review and SIRO Annual report	31 Mar 2024	★	★	★	★

Quarterly Progress

Email and SharePoint on premise documents migrated to Cloud storage and some retention automated with file plan in place. Capacity issues limiting some mitigation work. SIRO annual report to be presented in LG shortly. Whilst mitigation work has been good, increased risks and threats mean there has been no change in overall levels.

Risk Name/Owner/Responsible CLO

R019: Climate Change

Rhodri LLwyd

Rhodri Llwyd

Current Score

25

Target for Risk

20

Last Reviewed

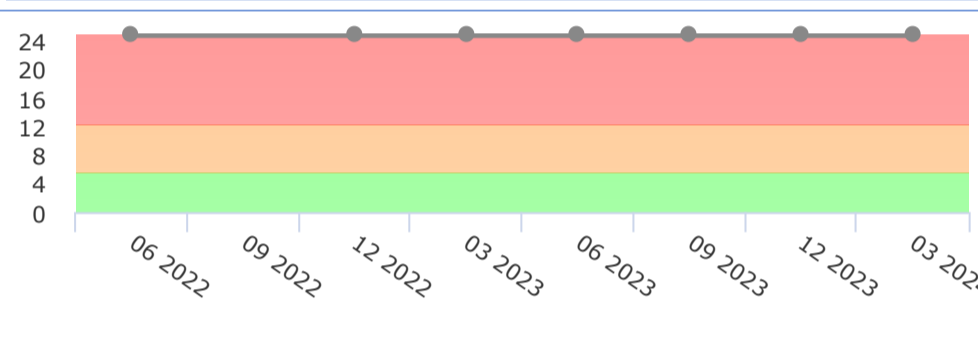
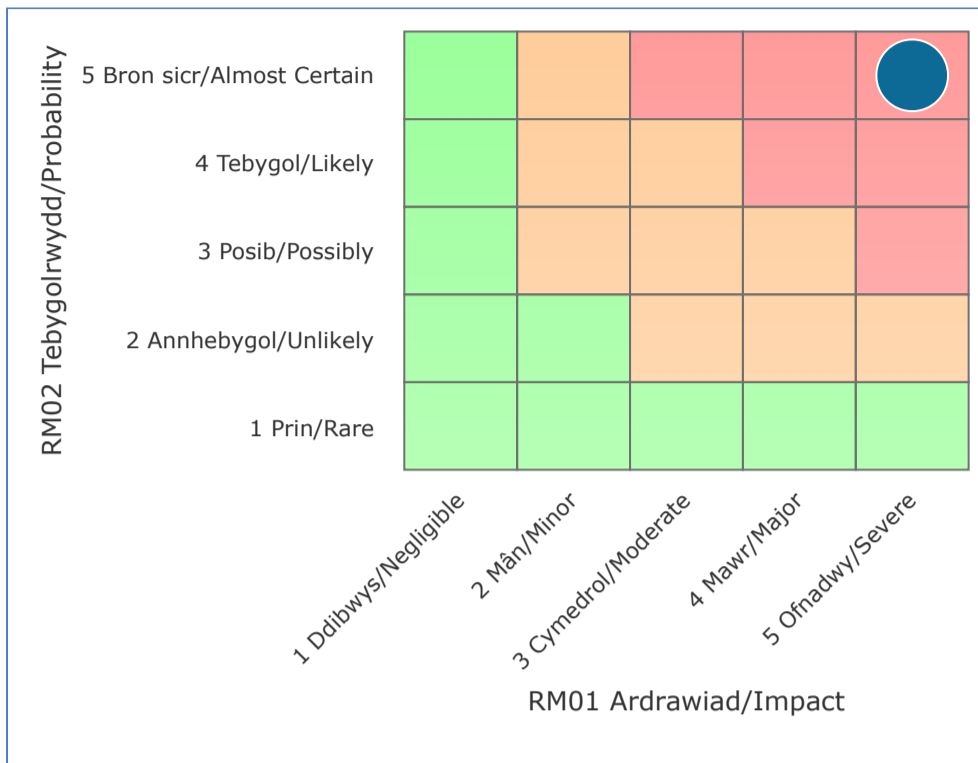
Thriving Communities O & S

22/06/2023

**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.

**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.

**Potential Consequences**  
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.



Mitigating Action	Due Date	06/23	09/23	12/23	03/24
Develop a Corporate Climate Change Strategy including the capacity to utilise the wide range of funding available for climate change, green infrastructure, biodiversity and the National Forest	31 Mar 2025	Red	Red	Red	Red
Increase the amount of energy generated from renewable sources.	31 Mar 2025	Green Star	Green Star	Green Star	Green Star
Identify and manage the corporate estate for carbon sequestration, carbon offsetting, flood alleviation, reducing food miles, with appropriate habitat management.	31 Mar 2025	Red	Red	Red	Yellow
Develop Flood Alleviation Schemes for communities at risk of watercourse and surface water flooding, and install Flood Monitoring Sensors at critical locations to monitor rising water levels during flood events.	31 Mar 2025	Yellow	Yellow	Yellow	Yellow
Continue to monitor the coastline in partnership with the Wales Coastal Monitoring Centre and develop Coastal Defence Schemes for Aberaeron, Aberystwyth, Borth/Ynyslas and Llangrannog.	31 Mar 2025	Green Star	Green Star	Green Star	Green Star
Identify and apply for funding to develop and implement projects which mitigate the effect of climate change	31 Mar 2025	Yellow	Yellow	Yellow	Yellow

#### Quarterly Progress

The Conservation Team are starting to develop a list of potential projects and look for funding. Grant funded staff will help with this, while that grant funding is live. Opportunity to buy Tancastell, Tanybwllch, Aberystwyth was missed due to short tender window, no appropriate grant window, and no corporate reserve or plan for taking such opportunities.

Some discussion started with the recently appointed Assets Development Manager around opportunities to identify and manage the Corporate Estate, but there are no firm proposals/decisions to date.

Flood and Coastal Erosion Risk Management (FCERM) schemes are being progressed, which include; Borth Leat Flood Alleviation Scheme – Business Justification Case; Llandre Village Flood Alleviation Scheme; Capel Bangor Outline Business Case; Talybont Outline Business Case; Small Scale Works – Talisien Culvert - Construction and Replacement of a collapsed culvert including sump, headwall, and trash screen on land where ownership is uncertain under the footpath.

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 collecting high accuracy survey data at least twice year at critical locations.

CCC is participating as a stakeholder in the #gravelbeach project led by the National Oceanography Centre. This initiative aims to enhance comprehension of gravel barrier systems and enhance predictive capabilities, thereby supporting more sustainable coastal management practices, bolstering coastal zone resilience, and mitigating vulnerability to climate change. CCC is taking part in CoastSNAP project. The photos will help to provide data on how our beaches and coastline in general is evolving with the effects of climate change.

CCC commissioned an investigation/report on the coastal performance and ongoing management review for the Borth Coastal Protection Scheme. The defence's performance aligns with the design and is meeting expectations. Any alterations to the profile could potentially have a significant adverse impact on the transition zone.

Completion of Ceredigion County Council public Electric Vehicle (EV) charging Phase 3 project during FY2023/24, funded by Welsh Government ULEVTF capital grant. Successful application for ULEVTF funding in FY2024/25 including the appointment of dedicated EV Project Manager.

Completion of active travel projects funded from Welsh Government capital grants during FY2023/24, including Waun Fawr to IBERS/Plas Gogerddan Phase1, scheme design and minor works. Successful grant applications for funding of delivery in FY2024/25 including Rhiwgoch Phase 3 (Safe Routes in Communities); Active Travel Fund scheme development and minor works (£0.5 Million); and a disappointingly reduced allocation for Waun Fawr to IBERS/ Plas Gogerddan Phase 3 (£300,000). Also an unsuccessful application for Phase 1 construction and further scheme development for Llanrhystud Safe Routes in Communities.

Re:fit energy efficiency framework – delivery partner has been selected following the tender process and the initial phase of works includes 20 buildings, which will be assessed for energy efficiency measures, which could include: LED lighting upgrades, boiler replacements, insulation, renewable (solar PV) installations etc.

Annual operational Carbon Footprint – the 2023/24 carbon footprint will be calculated towards the end of Q1 2024/25

WG Annual emissions reporting – 2022/23 public sector emissions report has been received, as well as the 2023/24 reporting template – this is due for submission by September.

Work is ongoing to put a new Carbon Management Plan in place. Spreadsheets have been issued to and received back from CLO's, which have now been analysed and emission reductions quantified and costed. Further work now needed to bring all of these projects together into a delivery plan, which aligns with the Council's net-zero ambition.

There is an intention to re-visit the land asset review undertaken in 2019/20, which looked at potential sites for renewables (solar/wind), or carbon sequestration (tree planting).

Care homes PVs – tenders received for the installation of Solar PV panels on 3no carehomes (Hafan y Waun, Hafan Deg & Min y Mor) and work to start on site over the summer.

Heat decarbonisation – potential opportunity for a 90% grant from Welsh Government, to fund heat decarbonisation projects in Ceredigion. Will start to compile a list of relevant sites and potential projects with a view to applying for the next round of funding when it opens in 2024/25 financial year.

Risk Name/Owner/Responsible CLO

R020: Ash Dieback

Rhodri LLwyd

Rhodri Llwyd

Current Score

20

Target for Risk

9

Last Reviewed

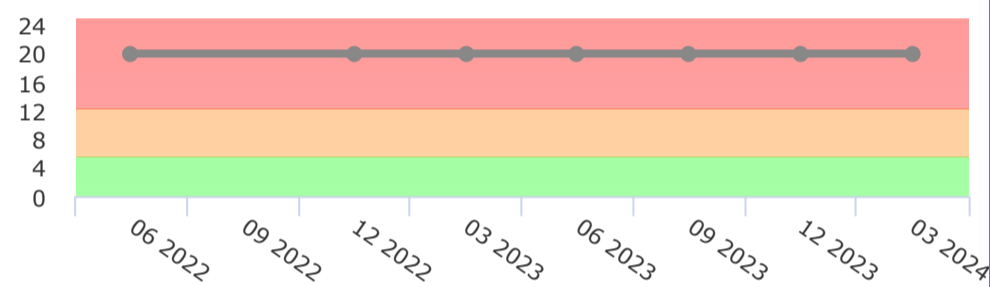
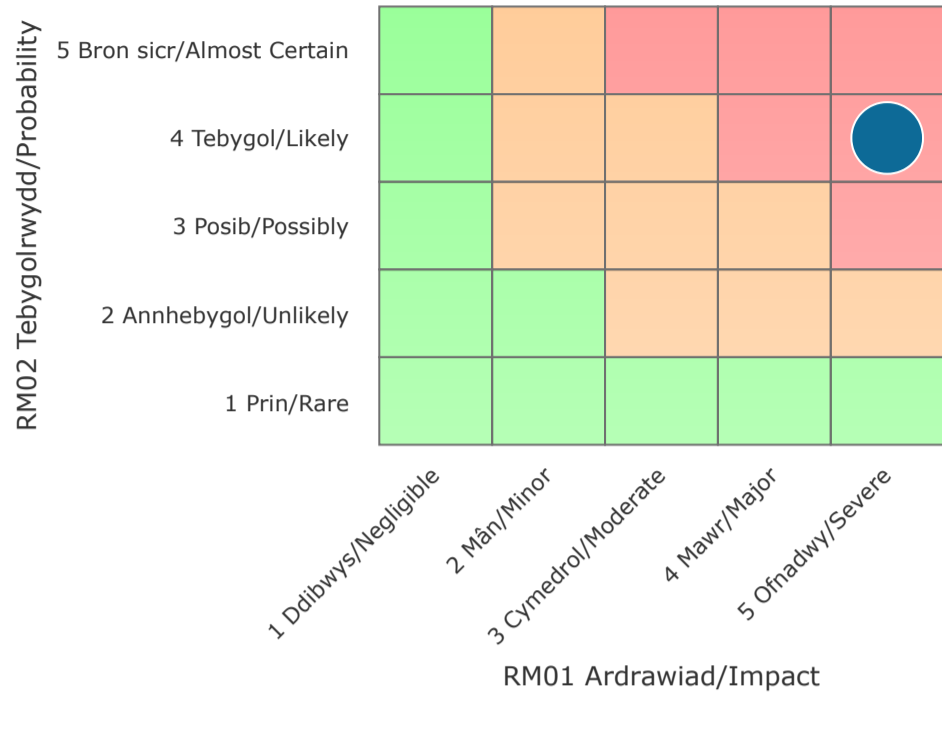
Thriving Communities O & S

19/10/2022

**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 90-95% of Ash trees in the UK. Ash is widespread across Ceredigion. This includes outside of woodlands in the form of hedgerow/ specimen trees along roads, other public rights of way 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. ADB is already having an impact on canopy cover across the county. There are approx. 42k mature Ash trees along the county roads and a further 10k on the Council's Corporate Estate. Assuming a similar density across all other public and private land, the impact of the loss of trees from ADB 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.

**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.

**Potential Consequences**  
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.



Mitigating Action	Due Date	06/23	09/23	12/23	03/24
Undertake a prioritised scheme of work based on the trees which require pruning or removal based on monitoring and survey work	31 Mar 2025	★	★	★	★
Seek Welsh Government and other funding opportunities to address the risk posed by Ash Dieback and identify cost-effective measures of surveying and removing infected trees to minimise the	31 Mar 2028	■	■	■	■
Undertake a further prioritised scheme of inspection and works for summer and Autumn/Winter of 2024/2025	31 Mar 2025				

Quarterly Progress

Tree works framework The new tree works framework has closed to tenders, the process to evaluate bids is complete, three contractor bids have been successful for Lot 1A north, while fewer than three bids have been successful for Lots 1B South & Lot 2 Urgent and Emergency and will therefore require approval for a procurement exemption. This process is expected to be finalised in May. The prioritised scheme of work to prune / remove trees as required for the two previous quarters is complete. A new scheme for the next two quarters is being instigated - The new framework, once online will expedite this process. The roadside trees scheme based on the summer 2022 survey is ongoing. Reinspection of CCC properties such as schools, care homes, cemeteries, public open spaces etc will commence once Ash come into leaf. As extensive work has taken place in higher priority areas such as schools, time should be available to expand into further areas of lower priority on the risk register, which await inspection. External funding The ADB officer is maintaining contact with colleagues in other authorities and continues to monitor the availability of external funding opportunities, none have been available to date.



Risk Name/Owner/Responsible CLO

R021: Phosphate levels

Russell Hughes-Pickering

Russell Hughes-Pickering

Current Score

16

Target for Risk

12

Last Reviewed

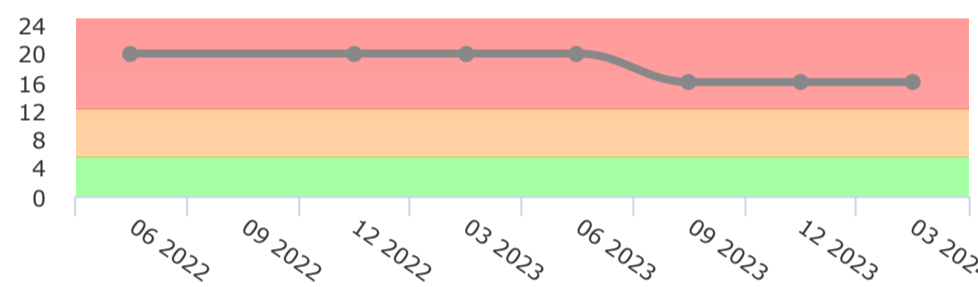
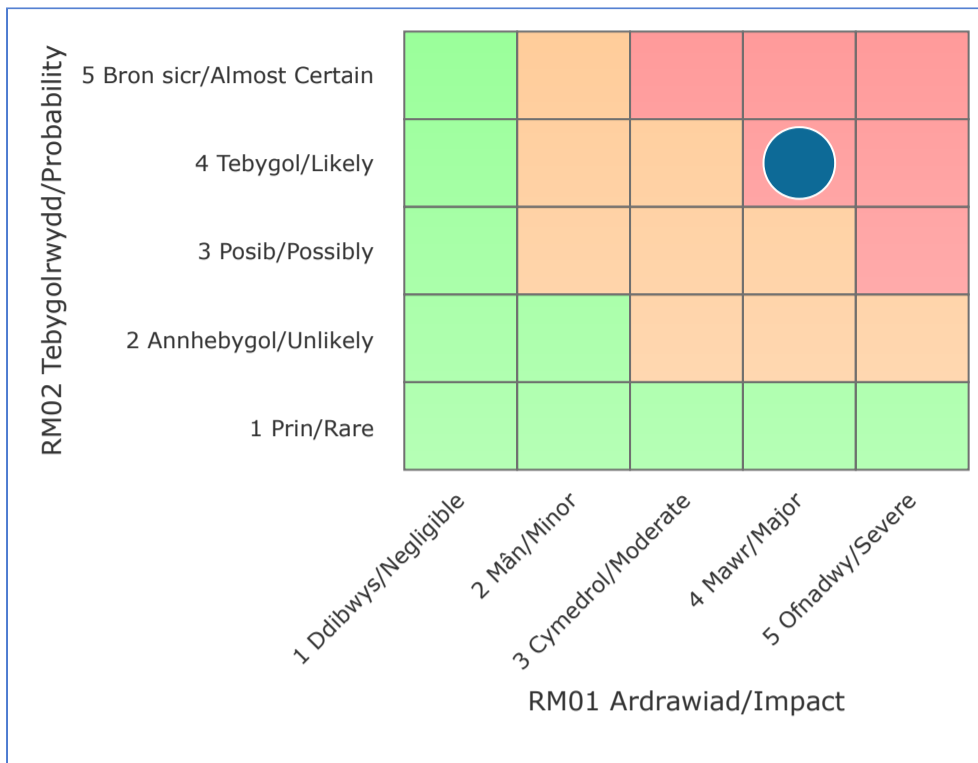
Thriving Communities O & S

07/12/2022

**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, June 23).  
 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 km<sup>2</sup> / 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.

**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.

**Potential Consequences**  
 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 and key health and social care facilities.  
 The situation is expected to worsen when data relating to Marine SAC assessments are released in 2024 which will have significant implications for the rest of the County.



Mitigating Action	Due Date	06/23	09/23	12/23	03/24
Ensure all applications, plans and projects are screened in accordance with NRW guidance and a Test of Likely Significant Effect is undertaken followed by an Appropriate Assessment where required before issuing a decision	31 Mar 2025	★	★	★	★
Raise awareness locally and nationally on this issue and identify ways to refine the guidance	31 Mar 2025	★	★	★	★
Work at a sub national and national level through the working groups to identify solutions and mitigations and work collaboratively across catchments	31 Mar 2025	★	★	★	★
Seek local solutions – learning from best practice elsewhere – utilizing council owned assets where possible	31 Mar 2025	★	★	★	★
Continue to lobby for a 'Team Wales' approach including a national mitigation list and database	31 Mar 2025	★	★	★	★
Consider local solutions such as Private Treatment Plants and working with DCWW to remedy the impact of the WWTPs contributing 685 of the phosphates in the Afon Teifi	31 Mar 2025	★	★	★	★

#### Quarterly Progress

The Authority has created a Nutrient Management Board for the Afon Teifi SAC which has agreed a terms of reference, and appointed staff including a programme manager and a dedicated Teifi Nutrient Officer. The authority has secured SPF funding for water quality monitors and a tender will be going out shortly to procure the sensors, the only river in Wales with such technology. The authority has completed the Phosphate Reduction and Mitigation (PRaM) project delivering on the ground phosphate reduction by installing 4 SuDs schemes, 9km of Riparian fencing, 16 farm management plans and 8 farm capital improvement works and undertaken septic tank management engagement. Under the PraM project the authority has also developed 3 nature based solutions up to outline design stage (2 wetlands and 1 wet woodland) for which a partner has been found for one and a potential funding partner for another. The authority has identified reserves to support further phosphate reduction measures and is considering its own assets. The authority play a central role in the First Ministers phosphate action plan and are at regular attendance at various national and sub regional working groups. Finally the Afon Teifi has been selected as a demonstrator catchment for a 'Team Wales' approach to river restoration, working with multiple agencies to take an innovative and experimental approach to river restoration. In national terms the Afon Teifi phosphate work is leading across Wales and securing funding and resources for a variety of solutions which will in time not only unlock development but also restore the river health in a cohesive way.

Risk Name/Owner/Responsible CLO

R022 Recruitment and Retention

Geraint Edwards

Geraint Edwards

Current Score

15

Target for Risk

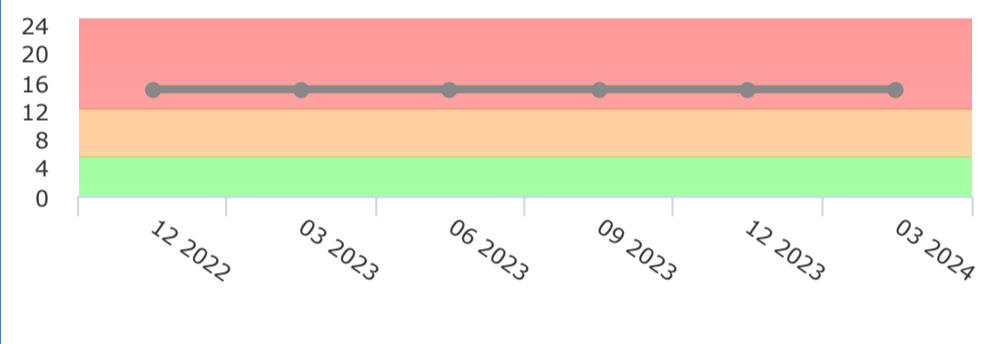
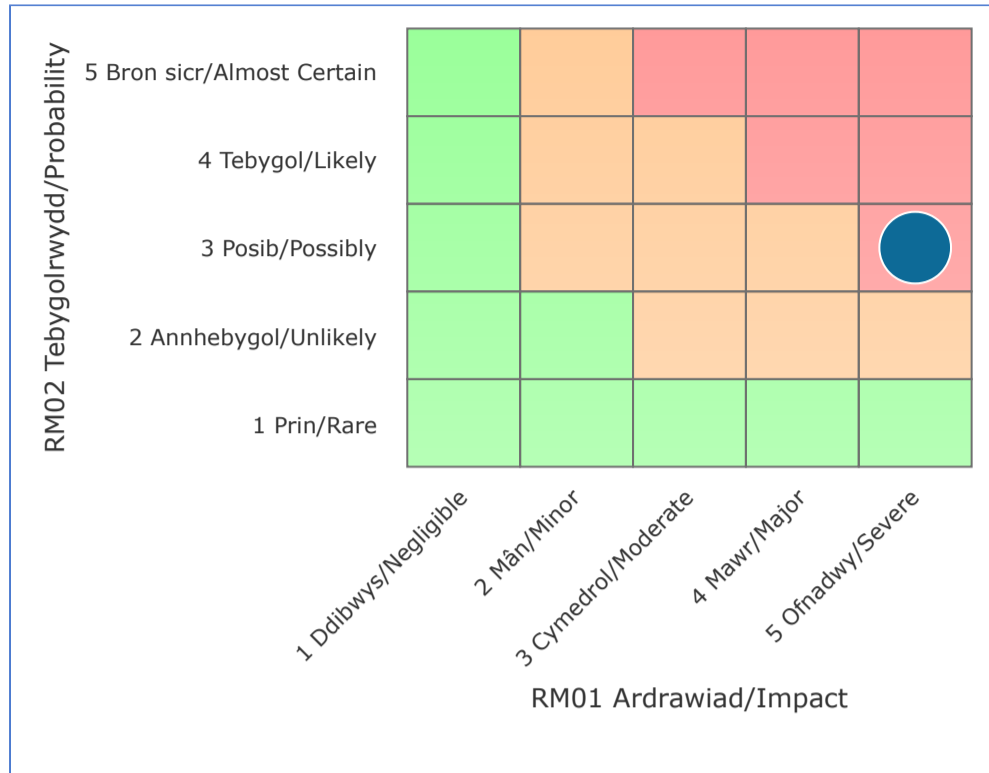
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Last Reviewed

Corporate Resources O & S

19/07/2023

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.
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.
Potential Consequences	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.



Mitigating Action	Due Date	06/23	09/23	12/23	03/24
		●	●	●	★
Undertake salary benchmark of all Welsh Local authorities	30 Jun 2024				
Review of application form and process	30 Sep 2023	★	★	★	★
Consideration of multi-level apprenticeship scheme	31 Mar 2024	★	★	★	★
Continue to lobby for Wales-wide pay scale for social workers	30 Sep 2024	★	★	★	★
Develop an employer branding strategy to establish and showcase the Council's brand	31 Mar 2025				
Develop and introduce a Job Alerts' solution to inform potential candidates of vacancy opportunities	31 Mar 2025				
Introduce employee referral scheme for hard to fill roles in	31 Mar 2025				

#### Quarterly Progress

Workforce Plan 2023-2028 adopted by Cabinet in September 2023. The Plan is key to addressing recruitment and retention challenges with a focus on employer branding, application process, employee voice, digital upskilling, succession planning, graduate scheme and apprenticeship programmes. Revised application process has been piloted and will be implemented across all vacancies early Q1 24/25. Employer branding and additional recruitment resources are currently being developed. ADSS have confirmed that a scoping exercise will commence on the national harmonisation of terms and conditions for qualified social workers in Wales.

Risk Name/Owner/Responsible CLO

R023: Systems End of Life

Alan Morris

Alan Morris

Current Score

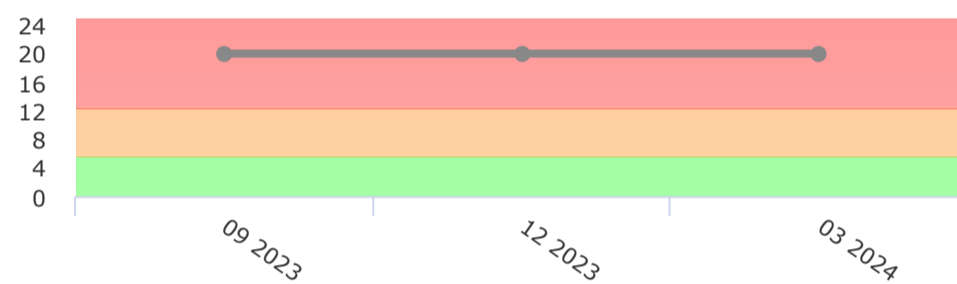
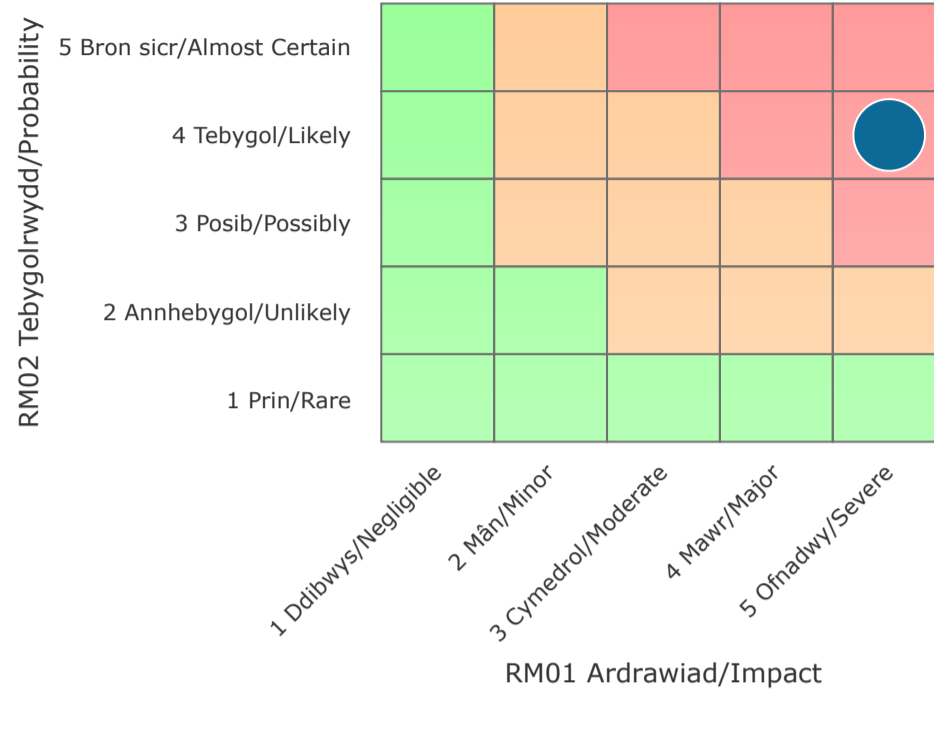
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Target for Risk

16

Last Reviewed

<b>Description</b>	We carry a range of risks associated to systems reaching end of life and maintaining security. WCCIS (Social Care Management System) will reach end of life 01/26. SharePoint EDRMS already end of life Variety of other systems needing migration soon. For WCCIS Our contract expires in March 2024 but is managed as an all-Wales contract under DHCW. Procurement of a new system is being delivered by DHCW but may not be completed until the end of contract leaving no time to migrate and could lead to no service in place. Replacement Systems will lose access to NHS data.
<b>Evidence of Risk</b>	<ul style="list-style-type: none"> <li>Security updates will not be carried out past Jan 26</li> <li>Procurement starting in 24 but dependant on DHCW business case and funding from WG which has not been agreed.</li> <li>Project plans show implementation Dec 25 leaving no time to migrate.</li> <li>Lack of service capacity to accept this change.</li> <li>Limited resources to train staff</li> </ul>
<b>Potential Consequences</b>	<p>If systems reach end of life they will not be get security maintenance and open up cyber risks, however reaching end of contract will lead to more immediate loss.</p> <p>Mitigation is in place for all other systems, but for WCCIS, if contract extensions are not agreed, potential loss of support in March 24.</p> <p>If procurement is not agreed, then possible loss of system with no replacement.</p> <p>The service would not be able to manage cases, and this could lead to loss of access, unsafe storage of data and an unsafe service.</p> <p>Migration to a new system may run out of time and cause impact on service delivery.</p> <p>New system may not have as much data from partners leaving a less complete picture and requirement for more manual collaboration.</p>



Mitigating Action	Due Date	06/23	09/23	12/23	03/24
			●	●	●
Improve QA processes to enable cleaner data for fast transfer	31 Mar 2025				
Continue to develop and document business processes so that clear process can be built into any new solution quickly	31 Mar 2025		●	●	●
Work to support DHCW in developing procurement specifications	31 Mar 2025		●	■	■
Service planning to delay other projects to make time for change to business functions	31 Mar 2025		●	●	●

Quarterly Progress

Several major systems in complicated procurement challenges. Work on national specification to allow tender for social care progressing well. regional and national working arrangements causing delays which are increasing risk, but mitigations are also being sought.

Risk Name/Owner/Responsible CLO

R024: Cyber Resilience

Alan Morris

Alan Morris

Current Score

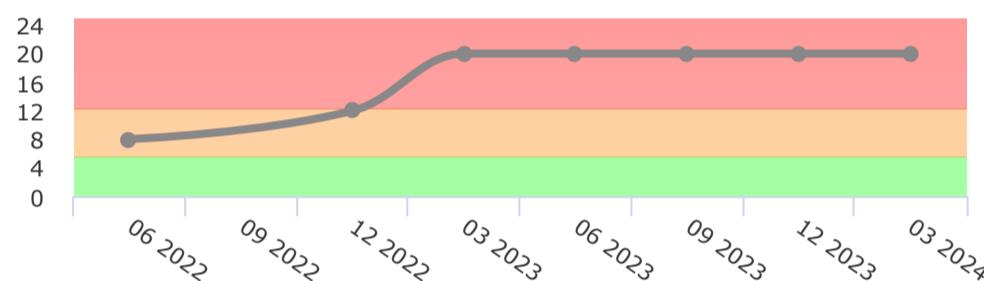
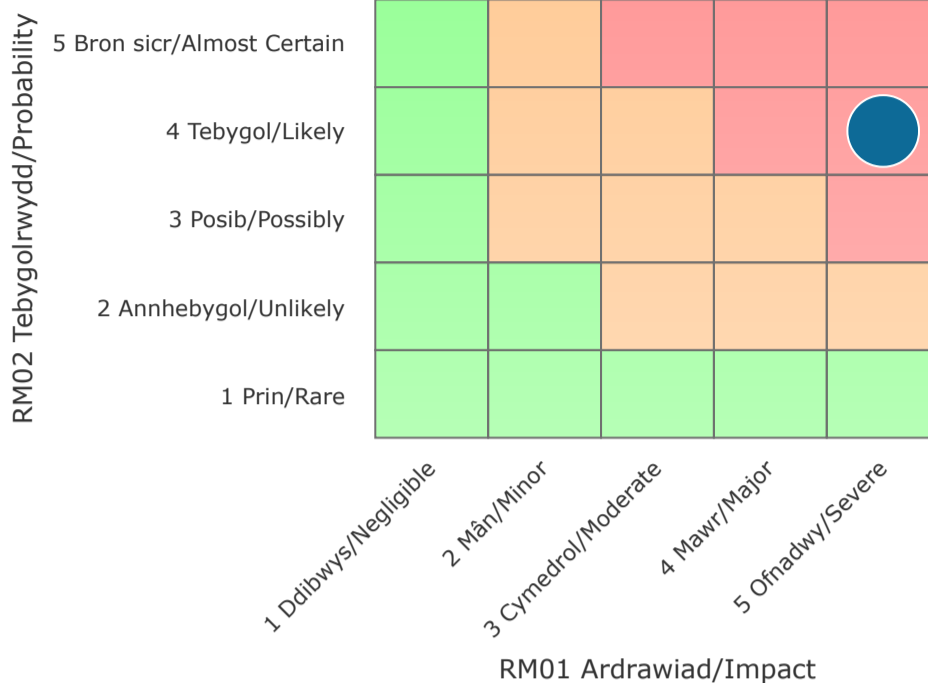
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Target for Risk

16

Last Reviewed

Description	Cyber Resilience cannot guarantee resistance from cyber-attack and damage from system failures. It can, protect from opportunistic attacks, limit damage and plan for easier and quicker recovery from such incidents. Our defences will not protect from state backed hackers, but we will target cost effective recovery options. Failure to ensure that we have effective Cyber resilience in place will increase the risk of damage from cyber-attacks or system issues.
Evidence of Risk	<ul style="list-style-type: none"> <li>• NCSA Cyber threat at heightened level.</li> <li>• Difficulty maintaining required standards.</li> <li>• Several major incidents to suppliers and partners.</li> <li>• Daily Cyber incidents</li> <li>• Lack of resources</li> <li>• Self-Assessment</li> <li>• External assessments</li> </ul>
Potential Consequences	A failure of cyber resilience could lead to longer term or permanent loss of access to data. This will lead to damage to service users, may lead to enforcement, loss of data or access to one or more systems and cause significant reputational damage.



Mitigating Action	Due Date	06/23	09/23	12/23	03/24
			●	●	●
Work towards CAF Adoption	31 Mar 2025				
			●	●	●
Support development of Wales SOC	31 Mar 2025				
			●	●	★
Increase capacity and knowledge of Security Staff	31 Mar 2025				

Quarterly Progress

Capacity to support our security posture has been increased and a large amount of work has been undertaken by all staff to double own efforts to prioritise our security over some other nice to have projects. Despite all efforts it is unlikely that there will be a downturn in overall risk score in the near future.

Risk Name/Owner/Responsible CLO

R025: Fire Safety & Protection Measures in Council Properties

Allan Bailey

Russell Hughes-Pickering

Current Score

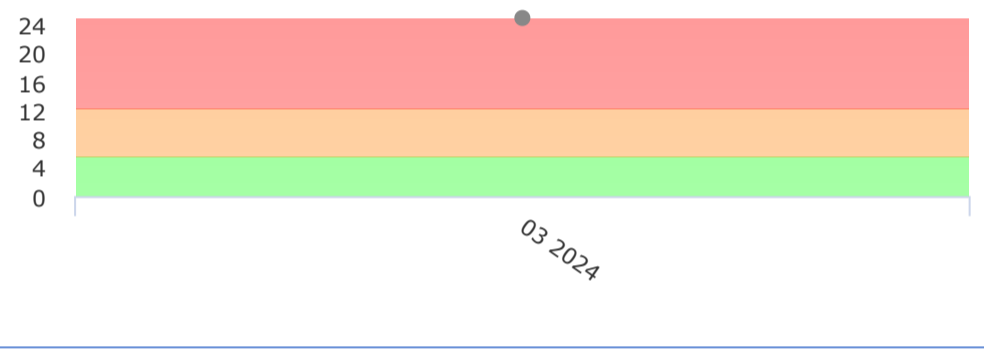
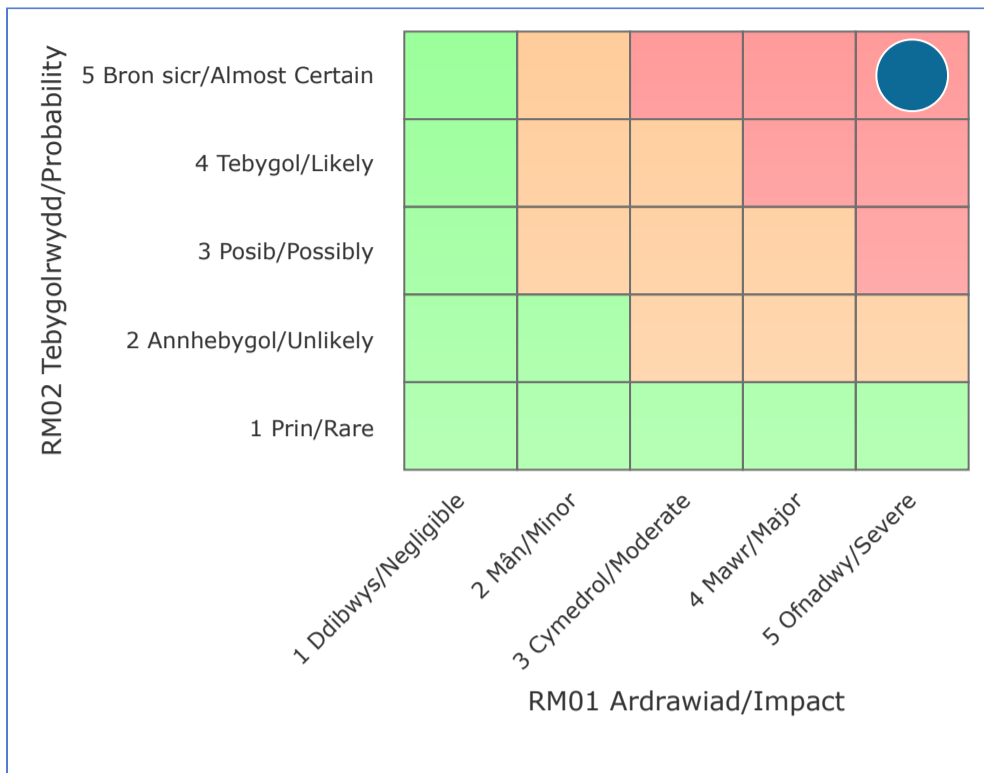
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Target for Risk

10

Last Reviewed

Description	<p>The Mid and West Wales Fire and Rescue Service (MWWFRS) have increased the number of fire safety inspections in schools, care homes and office and administration buildings. The most recent MWWFRA fire inspections have highlighted, there is a considerable amount of works required in order that all council buildings comply with the regulations.</p> <p>The cost of the improvement work that has been identified exceeds the available revenue budgets available for maintaining buildings.</p> <p>In order to ensure buildings remain safe, additional capital budget is required to ensure compliance and ensure the health and safety of occupants.</p>
Evidence of Risk	Reports received from MWWFRS and independent survey of fire doors.
Potential Consequences	<ul style="list-style-type: none"> <li>• Non-compliance of the Fire Safety Act can result in the MWWFRS issuing a prohibition notice and closing the facility.</li> <li>• Loss of life and property.</li> <li>• Properties will be non-compliant with insurance requirements.</li> </ul>



Mitigating Action	Due Date	06/23	09/23	12/23	03/24
Carry out the works required as they are identified by the MWWFRS	31 Mar 2025				Red square
Provide a capital budget to carry out the works. Services will need to liaise with relevant Welsh Government departments and other bodies to identify funding sources.	31 Mar 2025				Yellow circle
Update councils own existing Fire Risk Assessments (FRA) as provided by the Corporate H&S team	31 Mar 2025				Yellow circle
Regular monthly updates to Leadership group of mitigating actions currently being carried out	31 Mar 2025				Green star
Work with the MWWFRS to create an action plan to prioritise works	31 Mar 2025				Yellow circle
Develop Fire Strategy Drawings for properties. Care homes are to be prioritised followed by secondary schools and larger primary schools	31 Mar 2025				Red square
The development of Fire Strategy Drawings will enable	31 Mar 2025				Yellow circle

#### Quarterly Progress

Fire Strategy Drawings (FSDs) have been developed for Min y Mor and Yr Hafod. These drawings have been shared with Corporate H&S and TAW representatives and are generally well received. The FSDs have facilitated the prioritisation of fire safety works and strengthening of the existing fire compartmentation. Compartmentation works is scheduled to commence imminently in the care homes, and contracts are in place to carry out fire door replacements at Min y Mor and Yr Hafod.