

## Appendix C

### Principal Risk Register - DRAFT

This shows the nine principal risks as at 1 Dec 2017. The member workshop in October 2017 did not propose removing any of these but it remains possible that other risks may be added or that some of the descriptions are widened. Decisions on this and on the risks' direction of travel will be made by the Strategic Leadership Team in January.

Since the member workshop in October, the list of policies etc. has been updated.

Risk Description	Key Policies, Strategies and Plans	Direction
<p><b>PR01 There is a risk that those to whom the Council owes a duty of care suffer a preventable death, serious injury or serious abuse.</b></p> <p>Includes neglect, abuse, health &amp; safety, food safety, road safety and the management of emergencies.</p> <p>This risk could increase in response to reductions in resources, changes to management structures and staffing levels and alternative service delivery models.</p> <p>Were the risk to materialise then as well as the impact to the victim(s), the Council could be impacted in a number of ways, such as severe reputation damage, significant financial penalties and government imposition of changes</p>	<ul style="list-style-type: none"> <li>• Safeguarding and protection policies for children and vulnerable adults, safeguarding action plan and established procedures, including working with other agencies</li> <li>• HR Policies, e.g., Recruitment &amp; Selection Policy, Dignity at Work, and Employee code of conduct.</li> <li>• Health and Safety Policy, Strategy &amp; Improvement Plan and Corporate H&amp;S Charter</li> <li>• Road Risk Policy</li> <li>• Food procurement procedures</li> <li>• Contract management procedures, Permit to work</li> <li>• Condition survey, Capital programme prioritisation,</li> <li>• Insurance arrangements, Asbestos Plan, Legionella Plan,</li> <li>• Fire risk assessments, Property MOT system,</li> <li>• Lettable Standard on relets, Annual gas servicing checks</li> <li>• Hate Crime policies</li> <li>• Recommended governance assurance and risk management arrangements for schools</li> <li>• Whistleblowing procedure</li> <li>• Emergency planning regime (including North Wales Resilience Forum, mutual and local arrangements)</li> </ul>	
<p><b>PR02 - There is a risk that there is increased social exclusion and social deprivation</b></p> <p>Due to:</p> <ul style="list-style-type: none"> <li>• changes in nature of local economy</li> <li>• national economic factors,</li> <li>• welfare changes</li> <li>• failure to invest in local infrastructure,</li> <li>• poor educational standards,</li> </ul>	<ul style="list-style-type: none"> <li>• Economic Prosperity Strategy</li> <li>• Lifelong Learning departmental plan to achieve the Council Plan Priority Pe1</li> <li>• Emerging well-being plan &amp; established relationship with Public Service Board</li> <li>• Regional working within the North Wales Economic Ambition Board and the Mersey Dee Alliance</li> <li>• Crime Reduction &amp; Community Safety initiatives</li> </ul>	

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<ul style="list-style-type: none"> <li>• lack of community facilities,</li> <li>• reduced public transport,</li> <li>• reduced service levels in other public sector bodies</li> <li>• demographic changes</li> <li>• increased crime and anti-social activity</li> <li>• reduced direct funding by UK &amp; Wales Government</li> </ul> <p>This risk results in reduced community engagement and responsibility and in increased pressure on Council services. If not addressed satisfactorily, a breakdown in community cohesion and government intervention could result.</p>		
<p><b>PR-03 - There is a risk that the physical environment of the County Borough deteriorates / fails to improve</b></p> <p>This risk includes the deterioration or the inability to invest in public assets, housing and communities.</p> <p>This could result in Wrexham becoming a less enjoyable place in which to live, reduced inward investment and therefore increased social deprivation</p>	<ul style="list-style-type: none"> <li>• Carbon Management Action Plan</li> <li>• Highways Asset Management Plan</li> <li>• Strategic Asset Management Plan</li> <li>• Corporate Land and Buildings Strategy</li> <li>• Economic Prosperity Strategy</li> <li>• Welsh Housing Quality Standard Business Plan and emerging Housing Strategy</li> <li>• Crime Reduction &amp; Community Safety initiatives</li> </ul>	
<p><b>PR04 - There is a risk that revenue and capital resources are insufficient to achieve stated priorities and meet obligations at a time of increasing demand for services.</b></p> <p>This risk reflects</p> <ul style="list-style-type: none"> <li>• the reduced ability to fund services to required / statutory standards and to meet increased needs / demand for services</li> <li>• the reduced ability for investment in the infrastructure</li> <li>• the impact of deferred maintenance costs</li> <li>• reduced national government funding</li> <li>• increases in the number of vulnerable people</li> <li>• increased demand due to changes in the way that partners provide services, e.g., NHS</li> <li>• changes to national pay arrangements,</li> <li>• the implications of the Social Services and Well-being (Wales) Act 2014 and the increases in the number of Deprivation of Liberty Safeguards assessments.</li> <li>• the impact of failure to agree savings proposals or in delay ing their implementation which could result in the inability to balance the budget.</li> </ul> <p>The risk will result in service reductions, reduced service quality and</p>	<ul style="list-style-type: none"> <li>• Reshaping Services Programme</li> <li>• Medium Term Financial Strategy and budget consultation process</li> <li>• Budget setting and control arrangements</li> <li>• Procurement Strategy</li> <li>• Corporate Land &amp; Buildings Strategy</li> </ul>	

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<p>prioritisation of statutory services over those which are non-statutory.</p>		
<p><b>PR05 - There is a risk that the Council lacks the knowledge, skills, capacity, culture and ability to modernise in order to continue to meet its priorities and responsibilities</b></p> <p>This risk could result in:</p> <ul style="list-style-type: none"> <li>• the failure to meet Council Plan commitments and statutory requirements</li> <li>• reduced service quality</li> <li>• reduced ability to respond to Government changes and initiatives</li> <li>• reduced ability to manage major contracts effectively</li> </ul>	<ul style="list-style-type: none"> <li>• Organisation Development &amp; Workforce Strategy</li> <li>• Information Management Strategy</li> <li>• Reshaping Services Programme</li> <li>• Medium Term Financial Strategy and budget consultation process</li> <li>• Procurement Strategy</li> </ul>	
<p><b>PR06 - There is a risk that service quality fails to meet customer expectations and / or required service standards.</b></p> <p>This risk reflects:</p> <ul style="list-style-type: none"> <li>• reduced staff numbers and investment</li> <li>• mismatch between expectations and needs</li> <li>• ineffective engagement with customers / stakeholders</li> <li>• the inability to properly scrutinise decisions and their impacts.</li> </ul> <p>It could result in:</p> <ul style="list-style-type: none"> <li>• reputation damage,</li> <li>• regulator or government censure,</li> <li>• increased community opposition and political disengagement</li> </ul>	<ul style="list-style-type: none"> <li>• Reshaping Services Programme</li> <li>• WCBC Planning Approach</li> <li>• Departmental plans and strategies</li> <li>• Council's Operating model/principles</li> <li>• Customer Services Strategy</li> <li>• Consultation &amp; Engagement Strategy</li> <li>• Communications Strategy</li> <li>• Procurement Strategy</li> <li>• Scrutiny Programme</li> <li>• Strategic Equality Plan</li> <li>• Welsh Language Standards</li> </ul>	
<p><b>PR07 - There is a risk that the Council fails to comply with its statutory and governance requirements.</b></p> <p>This risk reflects:</p> <ul style="list-style-type: none"> <li>• reduced resources</li> <li>• weakened controls</li> <li>• reduced inspection / regulation</li> <li>• external / human factors</li> <li>• insufficient awareness of requirement</li> </ul>	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Departmental plans and strategies</li> <li>• Information Management Strategy</li> <li>• Strategic Equality Plan</li> <li>• Welsh Language Standards</li> <li>• Whistle blowing Procedure</li> </ul>	

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<p><b>PR08 - There is a risk that service delivery and/or the welfare of citizens is significantly impacted by external or physical events</b></p> <p>This risk covers low likelihood but high impact events such as disasters, pandemics, extreme weather events, terrorism, cyber attack, power cuts, organised blockades and public unrest. These are more fully detailed in the North Wales Community Risk Register.</p>	<ul style="list-style-type: none"> <li>• Emergency Planning arrangements</li> <li>• Service continuity arrangements</li> </ul>	
<p><b>PR09 - There is a risk that the Council is destabilised due to political (internal or external) events and developments</b></p> <p>This risk reflects the impact of significant local political events and developments and also national developments, such as Local Government Reorganisation, new Local Government legislation and increases in the powers of the Welsh Government.</p>	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Communications Strategy</li> <li>• Organisational Development &amp; Workforce strategy</li> </ul>	