

Pecyn Dogfen Gyhoeddus



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At: Cyng Clive Carver (Cadeirydd)

Y Cynghorwyr: Sean Bibby, Haydn Bateman, Geoff Collett, Andy Dunbobbin, Mared Eastwood, Patrick Heesom, Richard Jones, Kevin Rush, Paul Shotton, Andy Williams ac Arnold Woolley

Dydd Gwener, 9 Hydref 2020

Annwyl Gynghorydd,

RHYBUDD O GYFARFOD ANGHYSBELL
PWYLLGOR TROSOLWG A CHRAFFU ADNODDAU CORFFORAETHOL
DYDD IAU, 15FED HYDREF, 2020 10.00 AM

Yn gywir

Robert Robins
Rheolwr Gwasanaethau Democraidd

Sylwch: Oherwydd y cyfyngiadau presennol ar deithio a'r gofyniad am gadw pellter corfforol, ni chynhelir y cyfarfod hwn yn y lleoliad arferol. Bydd hwn yn gyfarfod rhithiol a bydd 'presenoldeb' yn gyfyngedig i Aelodau'r Pwyllgor yn unig. Bydd y cyfarfod yn cael ei recordio.

Os oes gennych unrhyw ymholiadau, cysylltwch ag aelod o'r Tîm Gwasanaethau Democraidd ar 01352 702345.

R H A G L E N

1 YMDDIHEURIADAU

Pwrpas: I dderbyn unrhyw ymddiheuriadau.

2 DATGAN CYSYLLTIAD (GAN GYNNWYS DATGANIADAU CHWIPIO)

Pwrpas: I dderbyn unrhyw ddatganiad o gysylltiad a chynghori'r Aelodau yn unol a hynny.

3 BRIFFIO YNGHYLCH SEFYLLFA FRYS (LLAFAR)

Pwrpas: Rhoi diweddariad ar y sefyllfa ddiweddaraf a'r risgiau a'r goblygiadau i Sir y Fflint a pharhad busnes a gwasanaeth.

4 DIWEDDARIAD STRATEGAETH ADFERIAD (Tudalennau 3 - 30)

Adroddiad Prif Weithredwr, Prif Swyddog (Llywodraethu), Uwch Reolwr, Adnoddau Dynol a Datblygu Sefydliadol, Rheolwr Cyllid Corfforaethol - Arweinydd y Cyngor a'r Cabinet ar y Cyd

Pwrpas: Darparu goruchwyliaeth ar gyfer cynllunio adferiad ar gyfer portffolio(s) y Pwyllgor.

5 MONITRO CYLLIDEB REFENIW 2020/21 (MIS 5) (Tudalennau 31 - 56)

Adroddiad Rheolwr Cyllid Corfforaethol - Aelod Cabinet dros Gyllid

Pwrpas: Darparu'r wybodaeth ddiweddaraf i'r Aelodau am sefyllfa fonitro Cyllideb Refeniw 2020/21 ym Mis 5.

6 OLRHAIN GWEITHRED (Tudalennau 57 - 60)

Adroddiad Pennaeth Gwaesanaethau Democrataidd -

Pwrpas: Rhoi gwybod i'r Pwyllgor o'r cynnydd yn erbyn camau gweithredu o'r cyfarfod blaenorol.

7 RHAGLEN GWAITH I'R DYFODOL (Tudalennau 61 - 68)

Adroddiad Pennaeth Gwaesanaethau Democrataidd -

Pwrpas: Ystyried y flaenraglen waith Pwyllgor Craffu & Trosolwg adnoddau corfforaethol.

Eitem ar gyfer y Rhaglen 4



CORPORATE RESOURCES OVERVIEW AND SCRUTINY COMMITTEE

Date of Meeting	Thursday 15 th October, 2020
Report Subject	Recovery Strategy Update
Cabinet Member	Leader of the Council and collective cabinet
Report Author	Chief Executive, Chief Officer (Governance), Corporate Finance Manager and Senior Manager, Human Resources & Organisational Development
Type of Report	Strategic

EXECUTIVE SUMMARY

The Council has developed a corporate Recovery Strategy for the pandemic emergency situation which was endorsed at a special Cabinet meeting on 15 September.

Cabinet requested each of the Overview and Scrutiny Committees to support recovery in their respective portfolio areas, and specifically to have oversight of:-

1. The portfolio risk register(s) and the risk mitigation actions, both live and planned;
2. The objectives for recovery for the portfolio(s);
3. The immediate strategic priorities for recovery for the portfolio(s) extracted from the draft Council Plan for 2020/21; and
4. The set of revised performance indicator targets for the portfolio(s) for 2020/21.

The above were considered by the Committee at its meeting on 28 September, 2020.

This report provides the Committee with an update on the portfolio risk register and risk mitigation actions (shown at Appendix 1 and 2). A presentation will be made at the meeting on the main changes and live issues on risk and recovery within the corporate portfolios.

RECOMMENDATIONS

1	That the Committee review the latest updated risk register and risk mitigation actions within the corporate portfolios.
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REPORT DETAILS

1.00	EMERGENCY RECOVERY
1.01	<p>The Council has developed a corporate Recovery Strategy for the pandemic emergency situation. The Strategy covers:-</p> <ol style="list-style-type: none"> 1. The chronology of the emergency response phase and transition to recovery 2. The handover arrangements or recovery 3. Organisational recovery of the corporate organisation 4. Community recovery of the communities we serve 5. Strategic priorities and performance for the remainder of 2020/21 6. The roles the Council will play in regional recovery 7. The democratic governance of recovery
1.02	<p>The development of the Recovery Strategy been led by the Chief Executive and Leader and overseen by a cross-party Member Recovery Board. The Board, which was an advisory sub-committee of Cabinet, has completed its work and has stood down. Cabinet endorsed the Recovery Strategy at a special meeting on 15 September.</p>
1.03	<p>Cabinet invited each of the Overview and Scrutiny Committees to support recovery in their respective portfolio areas, and specifically to have oversight of:-</p> <ol style="list-style-type: none"> 1. The portfolio risk register(s) and the risk mitigation actions both live and planned; 2. The objectives for recovery for the portfolio(s); 3. The immediate strategic priorities for recovery for the portfolio(s) extracted from the draft Council Plan for 2020/21; and 4. The set of revised performance indicator targets for the portfolio(s) for 2020/21.
1.04	<p>The latest version of the risk register (Appendix 1) and table of risk mitigations (Appendix 2) for the Corporate Services portfolio are attached.</p>
1.05	<p>High level recovery aims for the organisation:-</p> <ul style="list-style-type: none"> • the stabilisation of the finances of the organisation • assuring the financial resilience of the organisation through medium-term financial planning • a managed transition to new ways of working as an organisation e.g. greater digitisation, and expansive home/remote working • the protection of the health and well-being of the workforce in the resumption of services <p>An update on the recovery objectives for the service portfolio(s) for this Committee is shown below:</p>

Governance

- **To restore collection rates of Council Tax, NNDR and housing rents to improve income levels**

We are continuing to engage with residents and businesses to provide advice and to set-up realistic and affordable re-payment agreements. To protect vital income streams, we have also re-commenced our debt recovery processes for those residents and businesses who fail to engage or pay. Collections are slowly started to stabilise and show signs of improvement. We are continuing to monitor income levels on a weekly basis.

- **Registrars Service**

Services have resumed including marriage and civil partnership ceremonies. The number of ceremonies scheduled for the remainder of 2020-21 is low due to the current restrictions on the number of people who can attend a ceremony, and further restrictions on wedding receptions. There are very few ceremonies scheduled to take place at approved premises (hotels) this year where the Council is able to charge more.

- **To restore full democratic oversight**

We are now holding Council meetings and all of our committees remote attendance' via Webex technology. The recordings of these meetings are available on our website. By December, we intend to have all of our remote or virtual meetings available to be watched live by the public and other interested parties.

The Annual meeting of Council was held on 9th September and appointments made for the current municipal year.

We are currently exploring the use of additional software to enable the increased public participation in meetings such as Planning Committee, which we hope to be able to introduce during the autumn.

- **To continue to support and expand digital means of service delivery**

The Council enabled applications to be made on line for a range of services over the summer such as childcare, waste collections and key worker accommodation. It continues to add new services to My Account and will shortly be upgrading methods for online payment.

- **To restore the internal control environment and audit inspections**

A revised Internal Audit plan, with sufficient scrutiny to enable a full assurance statement to be prepared, has been approved by the Audit Committee.

Workforce

- **To ensure that the legal and ethical duties of the employer are met in recovery**

We continue to navigate new legislation and provide guidance for complex situational questions, to tackle the short and long term obstacles associated with the impact of COVID-19 (for example,

Furlough, job support scheme, annual leave, working from home, quarantine and self-isolation).

- **To return the workforce to safe and productive working environments**

We have no plans to return everyone to the workplace just yet, but we are getting our buildings ready for an eventual return. This includes the development of a variety of materials including an animation, video and guidance documents to support managers and employees in their return. All are accessible via a newly created Living and Working with COVID-19 hub on the Infonet.

- **To restore and protect the well-being of the workforce over time**

Coronavirus has had an impact on all of us, how we live, work and interact. Physical Distancing has changed our daily lives, the way we work, rest and play. In work it has impacted on how we interact and communicate with each other, as teams, with managers, colleagues and friends. We provide a range of support at an individual, manager, and team level both practical and emotional and will continue to look for alternative methods of providing help and support.

- **To recommend and implement working practices for the immediate future e.g. use of technology and digital practices, remote working, distance learning**

We have implemented a number of technology solutions to support the workforce working remotely and maintain contact with service users. Moving forward we continue to explore technologies to allow a hybrid approach to methods of working.

- **To review opportunities for organisational re-design based on learning from the emergency response phase**

Changes in working the practices and patterns of our front line services and the effectiveness of technological solutions in supporting home working during the height of the pandemic has demonstrated that services can operate successfully without the need to be physically co-located. It is important that where feasible to do so, we capitalise on these changes and build on them where it is appropriate to do so.

Finance

- **To ensure the liquidity of the organisation**

We are continuing to monitor our cash flow on a daily basis to ensure that we have sufficient available resources to undertake our business. Ensuring the overall financial sustainability of the Council will be a key consideration in the current work on the Medium Term Financial Strategy.

- **To maximise national assistance from emergency and other government funds**

We have produced a financial tracker that details all additional costs and income losses arising from the pandemic and continue to make monthly claims for additional costs and quarterly claims for income losses from the Welsh Government Hardship Fund.

	<ul style="list-style-type: none"> • To recover and restore income over time The Income loss Hardship Fund will assist with the immediate shortfall in budgeted income. However, Portfolio Business Recovery Plans will determine the plans to assist income recovery in the relevant service areas. This is in conjunction with the specific work on debt recovery which will assist with income due to the council being paid. • To recover debt over time We are continuing to engage with residents and businesses to provide advice and to set-up realistic and affordable re-payment agreements for corporate debts. Invoices payable to the Council are due within 30 days of invoicing but we are adopting a sensible approach by setting up longer term payment plans on a case-by-case basis. We are also re-commencing debt recovery processes and targeting high-debt values as a first priority. • To restore reserves and balances over time The Council will need to utilise its reserves to meet the additional costs of any elements not claimable from the Hardship Fund and also to deal with any overall in-year overspend. The level of reserves held will be a key consideration of the current work on the Medium Term Financial Strategy and Budget 2021/22.
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2.00	RESOURCE IMPLICATIONS
2.01	There are no specific resource implications from this report.

3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	None specific as this report is based on documented response and recovery work.

4.00	RISK MANAGEMENT
4.01	This report specifically covers emergency situation risk management.

5.00	APPENDICES
5.01	Appendix 1 – Updated Corporate Recovery Risk Register Appendix 2 – Updated Corporate Risk Mitigation Actions

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	None.

7.00	CONTACT OFFICER DETAILS
7.01	Contact Officer: Colin Everett Telephone: 01352 702101 E-mail: chief.executive@flintshire.gov.uk

Corporate Recovery Risk Register

Version 07

Reviewed: 07.10.20

Key	
Underlying Risk Rating	The risk rating before any mitigating actions
Current Risk Rating	This risk rating following the planned mitigation actions
Target Risk Rating	The risk rating which is realistically achievable and by when
Risk Trend	The trend of the risk since the last review date
Risk Status	Open denotes a live risk Closed denotes a closed risk

Finance - Income

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF01	No Government funding to replace income lost during the response phase	Strategic	Gary Ferguson	Sara Dulson	R	G	G Q3 2020/21	G ↓	Open
CF02 Updated Oct 2020	A continued loss of income in the recovery phase and beyond should public behaviour change Note: the risk trend is amended as it is static	Strategic	Gary Ferguson	Sara Dulson	R	A	A Open	A ↔	Open
CF03 Updated Oct 2020	A continued loss of income in trading services in a phased lock-down Note: the risk trend is amended as it is static	Strategic	Gary Ferguson	Sara Dulson	R	A	A Q2 2021/22	A ↔	Open
CF04	A continued loss of income for Aura as Deeside Leisure Centre is retained as an emergency hospital for a prolonged period	Strategic	Colin Everett	Rachael Corbelli	R	A	G Q3 2021/22	A ↔	Open
CF05	An increase in the overall level of debt owed to the Council	Strategic	Gary Ferguson	David Barnes	R	R	A Q2 2021/22	A ↔	Open
CF19 Updated Oct 2020	A reduction in Business Rates collection impacts on (1) cash-flow and (2) the stability of the National Collection Pool Note: the risk trend is amended as it is static	Strategic	Gary Ferguson	David Barnes	R	R	A Q2 2020/21	A ↔	Open

Finance - Reserves

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF06 Updated Oct 2020	Insufficient reserves remain following the response phase Note: the risk trend is amended as it is static	Strategic	Gary Ferguson	Sara Dulson	R	A	G Q1 2021/22	A ↔	Open
CF07 Updated Oct 2020	Insufficient reserves impact on the financial resilience of the Council to sustain a lengthy recovery phase Note: the risk trend is amended as it is static	Strategic	Gary Ferguson	Sara Dulson	R	A	G Q1 2021/22	A ↔	Open

Finance - Council Tax

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF08 Updated Oct 2020	A reduction in Council Tax collection impacts on (1) cash-flow and (2) the annual budget Note: the risk trend is amended as it is static	Strategic	David Barnes	Sara Dulson	A	R	G Q2 2021/22	A ↔	Open
CF09	Budget impacts of additional immediate demand under the Council Tax Reduction Scheme (CTRS) due to a shortfall in Government subsidy	Strategic	David Barnes	Sara Dulson	A	A	G Q4 2020/21	A ↔	Open

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF09a	Rise in demand for CTRS has financial impacts on the Council budget because the base subsidy from Welsh Government is not increased to meet the additional cost	Strategic	David Barnes	Gary Ferguson	R	A	A Q1 2021/22	A ↔	Open

Finance - Inflation and Markets

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF10	Increase in costs from suppliers for goods and services due to supply/demand and business recovery strategies	Operational	Gary Ferguson	Sara Dulson	A	G	G Open	A ↔	Open

Finance - Treasury Management

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF11	Principal investments are (1) lower rates of return due to current market instability and (2) at higher default risk	Strategic	Gary Ferguson	Liz Thomas	A	A	G Open	A ↔	Open
CF12 Updated Oct 2020	Affordability of having to borrow at an earlier stage to fund the capital programme due to lower level of reserves being held Note: the risk trend is amended as it is static	Strategic	Gary Ferguson	Liz Thomas	A	G	G Q4 2020/21	A ↔	Open
CF13 Updated Oct 2020	Clwyd Pension Fund principal investments are (1) lower rates of return due to current market instability and (2) at higher default risk Note: the risk trend is amended as it is static	Strategic	Gary Ferguson	Phil Latham	R	A	G Open	A ↔	Open

Finance - Housing Revenue Account

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF14	Increase in rent arrears impacts on the stability of the Housing Revenue Account (HRA) Business Plan	Strategic	Neal Cockerton	Rachael Corbelli David Barnes	R	R	A Open	R ↑	Open

Finance - Capital Programme

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF15 Updated Oct 2020	Impact on the Capital Programme of loss of/reduction in planned Government specific grants Note: the risk trend is amended as it is static	Strategic	Neal Cockerton	Liz Thomas	A	G	G Q4 2021/22	A ↔	Open
CF16	Impact on the Capital Programme of any change in the appetite of the Council to borrow due to the changed economic and fiscal circumstances	Strategic	Neal Cockerton	Liz Thomas	A	A	G Q3 2021/22	A ↔	Open

Finance - Unplanned Expenditure

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF17	Budget instability due to the continuation of unplanned expenditure e.g. the operation of additional residential care homes and without additional Government grant	Strategic	Gary Ferguson	Sara Dulson	A	A	G Q1 2021/22	A ↔	Open

Finance - Financial Settlements

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
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CF18	Impact on the stability of the Medium-Term Financial Plan of negative Welsh Government Local Government Settlements from 2021/22 due to a change to fiscal policy as part of national recovery planning	Strategic	Colin Everett	Gary Ferguson	R	R	A Open	A ↔	Open
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Workforce - Financial

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CW01a	Impact on the ADMs of the introduction of tapered Government financial contributions to the ADMs under the adjusted Furlough Scheme	Strategic	Sharon Carney	Rachael Corbelli	R	G	G Q3 2020/21	G ↓	Open
CW03	Cost associated with carry forward of accrued leave across multiple leave years	Operational	Sharon Carney	Sara Dulson	A	G	G Q4 2020/21	A ↔	Open

Workforce - Capacity

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CW07	The operational impacts of managing high levels of accrued annual leave across multiple leave years (see CW03 above)	Operational	Sharon Carney	Business Partners	A	A	G Q3 2020/21	G ↓	Open
CW08a	The availability and responsiveness of the regional antigen testing service to support the health and resilience of the workforce	Operational	Sharon Carney	Julie Luff	A	G	G Q2 2020/21	G ↓	Open
Tudor Updated Oct 2020 11 CW09	Excessive and unsustainable demands for deployment to the regional Test, Trace and Protect (TTP) Programme depletes the workforce and compromises the resumption of full council services Note: the risk trend has increased due to recent increase in demand	Strategic	Colin Everett	Sharon Carney	A	A	G Q3 2020/21	R ↑	Open
CW09c	The impacts on workforce planning of the unavailability of antibody testing	Strategic	Colin Everett	Sharon Carney	A	G	G Q3 2020/21	G ↓	Open
CW10	Impacts of a second wave in the pandemic on the continuous availability of key workers to operate services in a second response phase	Strategic	Sharon Carney	Chief Officers	A	A	G Open	A ↔	Open
CW11	Increase in demand for Occupational Health and supplementary services	Operational	Sharon Carney	Julie Luff	A	A	G Open	A ↔	Open
CW12 Updated Oct 2020	Impact of changes to service performance/continuity from any changes to service models in the recovery phase. Note: the risk trend has decreased as no major changes to service models have been necessary at this stage	Strategic	Sharon Carney	Chief Officers	A	G	G Q4 2020/21	G ↓	Open
CW13	Increase in workforce turnover due to new competition for public sector occupational groups in the employment market and/or employees making personal life choices	Operational	Sharon Carney	Chief Officers	A	G	G Open	G ↓	Open
CW14	Volatility and change in the employment market which impacts on successful recruitment to vacancies	Operational	Sharon Carney	Business Partners	A	G	G Open	G ↓	Open
CW21	Impact on the most vulnerable members of our workforce due to ongoing (1) isolation and (2) remote working	Operational	Sharon Carney	Business Partners	A	A	G Q4 2020/21	G ↓	Open

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CW22	Impact on our workforce due to the requirement to self-isolate for up to 14 days prior to themselves or a member of their family being admitted to hospital for a medical procedure	Operational	Sharon Carney	Business Partners	A	A	G Q4 2020/21	A ↔	Open
CW23	Impact on our workforce as a result of having to quarantine for 14 days on return to the UK from non-exempt countries or territories	Operational	Sharon Carney	Business Partners	A	A	G Q4 2020/21	A ↔	Open
CW24 New Oct 2020	Impact on workforce availability/productivity as a result of caring responsibilities, specifically to care for children who have been sent home from school to self-isolate.	Operational	Sharon Carney	Business Partners	R	A	G Q4/20/21	A ↔	Open

Workforce – Health & Wellbeing

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CW16	Increased sickness absence both COVID and non COVID related	Operational	Sharon Carney	Business Partners	A	G	G Open	G ↓	Open
CW17	Increased numbers of mental health related absences	Operational	Sharon Carney	Julie Luff	A	G	G Open	G ↓	Open
CW18	Impact of deferred medical events – ability of employees to return to work within previously agreed timescales	Operational	Sharon Carney	Business Partners	A	G	G Q1 2021/22	A ↔	Open

Workforce - PPE

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CW25 New Oct 2020	Impact on International/European PPE supply chain following Brexit	Operational	Andrew Farrow	Vanessa Johnson	A	A	G Q1 2021/22	A ↔	Open

Governance - Information and systems

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CG01 Updated Oct 2020	Cyber-attack through bogus Covid-19 email Note: the risk trend is amended as it is static	Strategic	Gareth Owens	Aled Griffith	R	A	G Open	A ↔	Open
CG02 Updated Oct 2020	Loss of data or system hack due to malware or the use of unauthorised apps Note: the risk trend is amended as it is static	Strategic	Gareth Owens	Aled Griffith	R	A	G Open	A ↔	Open
CG03 Updated Oct 2020	Data loss or inaccuracy due to disrupted ways of working Note: the risk trend is amended as it is static	Operational	Gareth Owens	Alun Kime	R	A	G Q3 2020/21	A ↔	Open
CG04	Diversion of resource to emergency management response and recovery work delays implementation of key digital and infrastructure projects	Strategic	Gareth Owens	Mandy Humphreys	A	A	G Q3 2020/21	A ↔	Open
CG05	Loss of functional capacity due to the inability to use mass 'roll-out' of tools on devices being used at home	Strategic	Gareth Owens	Aled Griffith	A	A	G Q3 2020/21	A ↔	Open

Governance - Governance and Control Recovery

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
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Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CG07 Updated Oct 2020	Legal challenge to a decision made under temporary remote working legislation on the grounds of insufficient process/a lack of transparency Note: the risk trend is amended as it is static	Strategic	Gareth Owens	Matt Georgiou	R	G	G Q3 2020/21	A ↔	Open
CG08 Updated Oct 2020	Emergency legislation is repealed prematurely and before we are ready to resume normal services Note: the risk trend is amended as it is static	Strategic	Gareth Owens	Matt Georgiou	R	A	G Q3 2020/21	A ↔	Open
CG09 Updated Oct 2020	Technology and/or the functioning of remote meetings impedes inclusive and effective decision-making Note: the risk trend is amended as it is static	Operational	Gareth Owens	Robert Robins	A	A	G Q2 2020/21	A ↔	Open
CG10 Updated Oct 2020	Technology failure during member meeting prevents or undermines inclusive and effective decision-making Note: the risk trend is amended as it is static	Operational	Gareth Owens	Aled Griffith	A	A	G Q2 2020/21	A ↔	Open
CG13 Updated Oct 2020	Changes to established managerial and democratic systems result in failure to properly authorise a decision Note: the risk trend is amended as it is static	Strategic	Gareth Owens	Lisa Brownbill	R	G	G Q2 2020/21	A ↔	Open

Previously Closed Risks

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
Tudalen 13 CW01	Impact on Council Alternative Delivery Models (ADM's) subsidies of our applications for Furlough being declined by HMRC under Government guidelines and interpretation resulting in additional costs to the Council	Strategic	Sharon Carney	Rachael Corbelli	A	G	G Q3 2020/21	G ↓	Closed
CW02	Impacts if pressure brought to apply temporary pay uplift (10%) to staff working in critical frontline teams by other Welsh Local Authorities or other body (WLGA, JCW): (1) workforce division (2) potential grievances and Equal Pay claims from other occupational groups and (3) affordability	Strategic	Sharon Carney	Business Partners	A	G	G Q3 2020/21	G ↓	Closed
CW04	Cost impacts of the retrospective approval of claims for overtime and other payments (i.e. ex-gratia)	Operational	Sharon Carney	Sara Dulson	A	G	G Q4 2020/21	A ↔	Closed
CW08b	Insufficient resilience in regional capacity operational systems to support CW08a	Risk removed due to duplication with CW08a and CW09							
CW20	Impact of school closures (response phase) on working parents whose role does not allow them to work from home, or who have caring responsibilities for children or other dependents	Operational	Sharon Carney	Business Partners	A	G	G Open	G ↓	Closed
CG11	Insufficient information availability to provide an adequate annual statement of assurance	Strategic	Chief Executive	Lisa Brownbill	R	G	G Q2 2020/21	G ↓	Closed
CG14	Inability to confirm insurance cover for claims/liability arising from the Council's role in TTP	Strategic	Gareth Owens	Matt Georgiou	R	G	G Q2 2020/21	G ↓	Closed
CW02a	Administration of the Welsh Government decision to make a one-off payment to care workers causes a local administrative burden and has unfunded residual costs for the Council as an employer e.g. superannuation	Strategic	Sharon Carney	Gary Ferguson	R	G	G Q3 2020/21	G ↓	Closed

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CW05	Increase in cost from changes to sick pay policy for those whose recovery has been affected by cessation of or interruption to medical treatment	Operational	Sharon Carney	Sara Dulson	A	G	G Q4 2020/21	G ↓	Closed
CW06	Insufficient availability of occupational work groups to restore services	Strategic	Sharon Carney	Business Partners	A	G	G Q3 2020/21	G ↓	Closed
CW09a	Inadequate funding availability from Welsh Government to support a regional TTP Programme	Strategic	Colin Everett	Sharon Carney	R	G	G Q2 2020/21	G ↓	Closed
CW09b	Failure to secure partner agreement across the six local authorities and the Health Board to enter into a single regional TTP programme	Strategic	Colin Everett	Sharon Carney	R	G	G Q2 2020/21	G ↓	Closed
CW20a	Impact on our workforce due to schools operating in a different way from September onwards	Operational	Sharon Carney	Business Partners	A	A	G Q3 2020/21	G ↓	Closed
CW15	The resilience of senior and supporting management following a long and demanding response phase	Strategic	Sharon Carney	Julie Luff	A	G	G Q3 2020/21	G ↓	Closed
CW19	Impact of delayed bereavement leave – on attendance and mental health	Operational	Sharon Carney	Business Partners	A	G	G Q1 2021/22	G ↓	Closed
Tudalen 14 CG06	Resumption of democratic processes reduces our capacity to support recovery work	Strategic	Chief Executive	Gareth Owens	R	G	G Q3 2020/21	G ↓	Closed
CG12	Changes to established managerial and democratic systems results in challengeable decision-making	Strategic	Gareth Owens	Lisa Brownbill	R	G	G Q3 2020/21	G ↓	Closed

Risk Matrix

Impact Severity	Catastrophic	Y	A	R	R	B	B
	Critical	Y	A	A	R	R	R
	Significant	G	G	Y	A	A	R
	Marginal	G	G	G	Y	Y	A
		Unlikely	Very Low	Low	High	Very High	Extremely High
Likelihood of risk happening							

Corporate Recovery Risk Register

Version 07

Reviewed: 07.10.20

Finance

Finance – Income

Mitigation Urgency Key	
IM – Immediate	Now
ST – Short Term	Within 1 month
MT – Medium Term	1 month plus
Upward arrow	Risk increasing
Downward arrow	Risk decreasing
Sideways arrow	No change in risk

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF01 Updated Budget 2020 Tygalen 15	No Government funding to replace income lost during the response phase	↓	IM	Welsh Government has made available £78m to compensate Councils for income losses in Q1 of the financial year. Our claims for quarter one have been submitted in two tranches: tranche one - £1.4m and tranche two - £0.616m. The first tranche has been settled (with the exception of net income loss for Theatre Clwyd which is now being considered separately from the new Cultural Fund with an application submitted). The second tranche has been settled in part with some elements provisionally settled at 50% pending a review later in the financial year. Welsh Government have also announced that a further £264m has been made available to continue to support additional costs incurred and income losses. The risk is reduced as it has been confirmed that quarterly claims for income losses can continue to be submitted for the remainder of the financial year - eligibility details have been received which is consistent with claims made to date (with the exception of car park income).
CF02	A continued loss of income in the recovery phase and beyond should public behaviour change	↔	MT	This risk will be taken into account in the current review of the Medium-Term Financial Strategy (MTFS) and reported throughout the year under monthly budget monitoring reports. Income recovery will also be included in the Portfolio Business Recovery Plans that have recently been developed. The risk is reduced now that funding is confirmed to the end of the financial year.
CF03	A continued loss of income in trading services in a phased lock-down	↔	IM	As CF01 above.
CF04	A continued loss of income for Aura as Deeside Leisure Centre is retained as an emergency hospital for a prolonged period	↔	MT	All income lost to Aura at Deeside Leisure Centre (DLC) for the period from which leisure centres are allowed to re-open (from 10.08.20) but DLC is out of commission as it remains a temporary hospital, can be recovered from the Health Board under the terms of the license/commercial agreement agreed for their occupation of the facility. This protection should also apply to commercial tenants and operators. The income losses recoverable are subject to negotiation and based on physical distancing restrictions and reduced access. The negotiations are advanced.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF05	An increase in the overall level of debt owed to the Council	↔	IM	Income collection continues and we actively engaging with tax-payers, tenants, customers and businesses to offer flexible arrangements. We have run two phases of 'soft enforcement' and have now resumed formal recovery procedures for Council Tax, Business Rates and Corporate Debt initially for those customers that have not paid nor engaged with the Council over several months. This risk will is being taken into account in the review of the Medium-Term Financial Strategy (MTFS).
Tudalen CF19 16	A reduction in Business Rates collection impacts on (1) cash-flow and (2) the stability of the National Collection Pool	↔	IM	<p>The risk is tracked weekly and interventions made wherever possible through advice and support to businesses by extending payments and ensuring entitlement to grants and rate reliefs. The first and second stages of 'soft' enforcement for businesses who are falling into debt and who have not made any contact with us have been completed. As income is £4.49m less than target at September to achieve the same results in 2019-20, formal debt processes re-commenced in August, starting with those businesses who have not paid nor engaged with the Council and who owe several months of unpaid Non-Domestic Rates (NDR).</p> <p>Income collection continues following the issuing of statutory 1st reminder notices and by follow-up 'final' reminder notices in early September. We continue to engage with businesses to provide flexible payment agreements. However, businesses who fail to engage or pay, will now continue to be tracked and progressed through the debt recovery systems. Legal action through the Magistrates Courts is scheduled for October in cases where businesses ignore repeated request for payment.</p> <p>This risk of losses in collection is also being tracked on a monthly basis by Welsh Government to 'stress-test' the resilience of the National Collection Pool as this forms a critical part of Aggregate External Finance (AEF) and the money distributed by WG through the settlement. This also includes redistributed non-domestic rates.</p>

Finance - Reserves

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF06 Updated Oct 2020	Insufficient reserves remain following the response phase	↔	IM	Our strategy is to protect an over-exposure of our reserves by maximising our claim grants to Welsh Government for refunds of additional emergency expenditure and the recovery of lost income. The latest budget monitoring position to be reported to Cabinet in October shows that there will be sufficient reserves available based on current demand and taking into account anticipated Welsh Government Funding.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF07	Insufficient reserves impact on the financial resilience of the Council to sustain a lengthy recovery phase	↔	MT	This risk is being taken into account in the review of the Medium-Term Financial Strategy (MTFS) and is impacted by CF06 above.

Finance - Council Tax

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
Tudalen 17 CF08	A reduction in Council Tax collection impacts on (1) cash-flow and (2) annual budget	↔	IM	<p>The risk is tracked weekly and interventions made wherever possible through advice and support by extending payments or signposting to Council Tax Reduction Scheme (CTRS). The first and second stages of 'soft' enforcement for tax-payers who are falling into debt and who have not made any contact with us have been completed. As income in August was £1.415mm less than target to achieve the same results in 2019/20 formal debt processes recommenced in August starting with those taxpayers who have not paid nor engaged with the Council and owe several months of unpaid council tax.</p> <p>Income collection continues following the issuing of statutory 1st reminder notices and by follow-up 'final' reminder notices in early September. We continue to engage with taxpayers to provide flexible payment agreements. However, taxpayers who fail to engage or pay, will now continue to be tracked and progressed through the debt recovery systems. Legal action through the Magistrates Courts has now been scheduled for October in cases where taxpayers ignore repeated request for payment. The re-commencement of recovery is now helping to increase income levels and at the end of September resulted in being £1.34m off-target – but an improvement of the previous month.</p> <p>This ongoing risks are being taken into account in the review of the Medium-Term Financial Strategy (MTFS).</p>
CF09	Budget impacts of additional demand under the CTRS due to a shortfall in Government subsidy	↔	IM	The impact of the additional demand is tracked weekly through Finance Tactical Group with additional demand and budget impact escalated to Welsh Government (WG). A formal decision from WG that all additional costs incurred in quarter one will be recoverable is overdue. A commitment has been made privately at Ministerial level. Negotiations continue for enhanced support from quarter two onwards.
CF09a	Rise in demand for CTRS has financial impacts on the Council budget because the base subsidy from Welsh	↔	MT	The impact of the additional demand is tracked through Finance Tactical Group with additional demand and budget impact escalated to Welsh Government (WG). Formal confirmation has now been received that all additional costs for the first quarter will be met by Welsh Government for the costs incurred in quarter one for new Council Tax Reduction

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
	Government is not increased to meet the additional cost			Scheme (CTRS) awards (£58.5k).Negotiations continue for enhanced support from quarter two onwards with a positive response from Welsh Government.

Finance - Inflation and Markets

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF10	Increase in costs from suppliers for goods and services due to supply/demand and business recovery strategies	↔	MT	There is still no evidence of inflationary pressures of this type at this stage. Our normal procurement and value for money tendering exercises continue.

Finance - Treasury Management

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF11	Principal investments are (1) lower rates of return due to current market instability and (2) at higher default risk	↔	IM	Investments have been made in line with our Treasury Management Strategy and primarily with the Government Debt Management Office to protect security and liquidity. The position has been reviewed and investments will now be extended to Money Market Funds, where appropriate, which will generate a higher rate of return. Current interest rates/investment returns continue to be low.
CF12	Affordability of having to borrow at an earlier stage to fund the capital programme due to lower level of reserves being held	↔	IM	Cash flow is monitored daily with accurate intelligence from across the organisation, and is a standing agenda item at the Finance Tactical Group. Affordability of borrowing will need to be a consideration when reviewing the profile of capital projects at later date.
CF13	Clwyd Pension Fund principal investments are (1) lower rates of return due to current market instability and (2) at higher default risk	↔	IM	The Fund Investment Strategy has a diversified portfolio to manage risk and seeks return from a range of sources and asset classes. In February and March the Fund suffered as with all investors with the COVID 19 driven market volatility and falls. Since late March markets have recovered and are now considerably more stable. The funding level (value of assets as a proportion of liabilities) has recovered but remains around 2% below the target level. The Fund has a range of risk management tools in place and when combined with the range of internal controls in place with officers and advisers ensure that the Fund's exposure to market volatility is mitigated wherever possible. This is under regular review by the Pensions Team and the external advisor team.

Finance - Housing Revenue Account

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF14	Increase in rent arrears impacts on the stability of the Housing Revenue Account (HRA) Business Plan	↑	IM	We have not been able to move to evict tenants, who might then be risk of becoming homeless during the emergency response phase under Government guidance, this guidance has now been lifted. We are encouraging tenants to continue to make payments and offering a range of support to those who are struggling to pay so that we can maintain tenancies. The HRA Business Plan has been 'stress tested' for the impacts of increased arrears with optional mitigations on cost reductions. A full report is being made to Cabinet and the Community and Enterprise Overview and Scrutiny Committee. More recently Welsh Government has increased the notification period to end a tenancy from three months to six months under the Coronavirus Act 2020. This is limiting our enforcement activity and in turn puts further pressure on the rent arrears position.

Finance - Capital Programme

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF15	Impact on the Capital Programme of loss of/reduction in planned Government specific grants	↔	IM	The Capital Programme and the draw-down/protection of specific grants is reported regularly to the Finance Tactical Group. There is regular liaison with Welsh Government lead contacts to protect grants for delayed/deferred schemes. Contractors for projects from Marleyfield Residential Care Home to highways construction projects are progressing with works in line with grant deadlines, and all other capital programmes have resumed e.g. Disability Facilities Grants. Works are being completed whilst strictly adhering to social distancing regulations. All grant claims have been submitted on time and there is no evidence to date of changes to existing grants. Welsh Government is making additional capital grant awards in policy areas such as economic stimulus and homelessness and we expect our capital programme to be enhanced.
CF16	Impact on the Capital Programme of any change in the appetite of the Council to borrow due to the changed economic and fiscal circumstances	↔	MT	Affordability and risk appetite are to be reviewed as part of the Medium-Term Financial Strategy. Views can then be taken on setting future year Capital Programmes together with assessments of interest rates to enable/track potential borrowing.

Finance - Unplanned Expenditure

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF17	Budget instability due to the continuation of unplanned expenditure e.g. the operation of additional residential care homes and without additional Government grant	↔	MT	The first in-year budget update was reported to Cabinet in July. A full budget monitor report is being submitted to Cabinet and Corporate Resources Overview and Scrutiny Committee in September. Alternative funding options will need to be explored for these areas of expenditure if they are to be continued beyond the emergency response phase. Otherwise, they will become in-year budget pressures. No new commitments to unscheduled spend have been made in quarter two unless reported to/consented by Cabinet.

Finance - Financial Settlements

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
Tudalen 20 CF18	Impact on the stability of the Medium-Term Financial Plan of negative Welsh Government Local Government Settlements from 2021/22 due to a change to fiscal policy as part of national recovery planning	↔	MT	Our strategy is to continue our regular engagement with Welsh Local Government Association (WLGA) and Welsh Government to gain support for sustainable settlements for the future. This is now a topical issue as we enter the period for national budget-setting.

Workforce

Workforce - Financial

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW01a Updated Oct 2020	Impact on the ADMs of the introduction of tapered Government financial contributions to the ADMs under the adjusted Furlough Scheme	↓	IM	Mitigation has been successful and no new actions are needed. The Scheme has been maximised to support the businesses and their employees and claims for reimbursement are being submitted regularly. Alternative Delivery Models are factoring-in the tapering into their business plans. Subject to confirmation of eligibility, we will seek to maximise the funding provided by the Job Support Scheme from 01/11/2020 in place of the Furlough scheme.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW03	Cost associated with carry forward of accrued leave across multiple leave years	↔	MT	The Working Time (Coronavirus) (Amendment) Regulations 2020 amends the Working Time Regulations 1998 to provide, where it is not reasonably practicable for a worker to take some or all of the holiday to which they are entitled, the right to carry the four weeks leave forward into the next two leave years. Many employees are continuing to take annual leave as planned/needed but it is too early to assess the extent of the potential backlog and the impacts of managing it. We may need to consider 'buying-out' some annual leave not provided for by the Regulations and this will need to be taken into account in a mid-year review of the 2020/21 Council Fund Revenue Budget. Updated guidance issued to employees is that, wherever possible, they should take a proportion of their annual leave entitlement every six months within the leave year. The reason for this is twofold, so that employees can benefit from a non-working period of rest and relaxation to keep healthy, both mentally and physically, and to limit the impact of carry forward on service delivery and associated costs.

Workforce - Capacity

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
Updated Tudalen 21 CW07	The operational impacts of managing high levels of accrued annual leave across multiple leave years	↓	MT	The Working Time (Coronavirus) (Amendment) Regulations 2020 amends the Working Time Regulations 1998 to provide, where it is not reasonably practicable for a worker to take some or all of the holiday to which they are entitled, the right to carry the four weeks leave forward into the next two leave years. This risk will need to be taken in account in our planning for the return of the workforce. Many employees are continuing to take/plan annual leave as planned/needed but it is too early to assess the extent of the potential backlog and the impacts of managing it.
CW08a	The availability and responsiveness of the regional antigen testing service to support the health and resilience of the workforce	↓	IM	The regional plans make provision for sufficient antigen testing and the testing systems are sufficiently reliable for us an employer.
CW09 Updated Oct 2020	Excessive and unsustainable demands for deployment to the regional Test, Trace and Protect (TTP) Programme depletes the workforce and	↑	IM	The new workforce has been appointed to mitigate this risk of an over-reliance on our core workforce to provide a Trace Test Protect (TTP) service (refer to the July Cabinet report). However, an increase in demand has necessitated some draw-down of our deployment 'bank' employees. This may increase as a risk as a second wave in the pandemic emerges.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
	compromises the resumption of full council services			
CW09c	The impacts on workforce planning of the unavailability of antibody testing	↓	IM	Antibody Testing for key workers will be available in the future. Antibody testing is not critical for workforce planning and has limited benefits for workforce planning as it is not a reliable/proven determinant of immunity to COVID-19.
CW10	Impacts of a second wave in the pandemic on the continuous availability of key workers to operate services in a second response phase	↔	MT	This remains an open risk and subject to change as we approach the winter. Subject to order fulfillment, the flu vaccine will be offered to all key workers. The procurement of sufficient supplies will result in a budget pressure of £25-30k. As a management action this a good investment to protect our workforce.
Tudalen CW11	Increase in demand for Occupational Health and supplementary services	↔	MT	This risk is being taken in account in our planning for the return of the workforce. Additional capacity may need to be acquired and this will need to be taken into account in a mid-year review of the 2020/21 Council Fund Revenue Budget. A Psychological support and Trauma group is established and additional counselling resource is on offer for self-referrals. The cost estimate is £8k for 12 weeks. This will be a budget pressure.
Updated Oct 2020 CW12	Impact of changes to service performance/continuity from any changes to service models in the recovery phase	↓	MT	This risk is being taken in account in our planning for and following the return of the workforce particularly in trading services where future income levels are uncertain e.g. Newydd. No major changes to service models have been necessary at this stage.
CW13	Increase in workforce turnover due to new competition for public sector occupational groups in the employment market and/or employees making personal life choices	↓	MT	This risk has not materialized to date, but is being monitored and taken into account in our planning for and following full service resumptions.
CW14	Volatility and change in the employment market which impacts on successful recruitment to vacancies	↓	MT	This is no trend of any negative impact on recruitment. In addition, as part of controlling expenditure at a time of uncertainty over our financial resources, caused by the impact and disruption of the emergency situation, Service managers wishing to recruit to a vacancy now need to complete a business case which will then be considered by a corporate panel. Where the case is well made, and there is an imperative for the position for business continuity and service resilience, the panel will support a recruitment going ahead. This is a management action to control in-year expenditure due to the financial risks of the recovery period.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW21	Impact on the most vulnerable members of our workforce due to ongoing (1) isolation and (2) remote working	↓	MT	As per CW11 and CW17 and our strategy for a safe return to work for the workforce. This strategy is progressing well with employee being able to access some Council premises on managed rotas. Effective workforce management is supporting teams and individuals. Home working remains an open offer for vulnerable employees.
CW22	Impact on our workforce due to the requirement to self-isolate for up to 14 days prior to themselves or a member of their family being admitted to hospital for a medical procedure	↔	IM	Employees whose role allows it, and who are fit to work, are expected to work from home. For those who role does not allow them to work from home, they will be on 'approved paid absence'. A limited number of requests have been received to date but as the NHS starts to reschedule its non COVID related activity, this could increase. We will continue to monitor requests.
Tudalen CW23	Impact on our workforce as a result of having to quarantine for 14 days on return to the UK from none exempt countries or territories	↔	IM	Employees who booked their holiday before the Government announced rule changes for international travel and self-isolation (quarantine), where the holiday cannot be cancelled or deferred without incurring financial cost to (evidence will be required) will be expected to work from home during any period of quarantine, be redeployed to other work that can be undertaken from home, or whether special paid leave will need to be granted to cover the period of quarantine. Anyone who is intending to book a holiday outside of the UK, will need to obtain permission for the full period of absence, including any period of self-isolation and how the additional time off for the quarantine period will be covered if they are unable to work from home i.e. mixture of flexi / unpaid leave, annual leave. So that we can risk assess on a case by case basis the potential impact, all employees will have to complete a declaration form that provides details of their journey, contact details and the address where they will self-isolate, should this be necessary on return to the UK. Current Foreign & Commonwealth Office (FCO) restrictions should limit the impact on our workforce and are subject to change.
CW24 New Oct 2020	Impact on workforce availability/productivity as a result of caring responsibilities, specifically to care for children who have been sent home from school to self-isolate.	↔	IM	Employees whose role allows it, and who are fit to work, are expected to work from home. For those who role does not allow them to work from home, they will be on 'approved paid absence'.

Workforce – Health & Wellbeing

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
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Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW16	Increased sickness absence both COVID and non COVID related	↓	ST	Sickness absence is being managed through the Council's Attendance Management policy and procedure. Current levels of sickness absence are running at below seasonal averages for past years. Also see CW17.
CW17	Increased numbers of mental health related absences	↓	IM	A Wellbeing and Trauma Support Task Group is established to support the workforce in Social Services (as the highest risk service area) to manage their mental health during the pandemic. We continue to provide online training / advice and support to managers and their teams and to signpost to support from outside agencies. An Operational Task Group is now established with the role to ensure that all workplaces are safe to return to, and to communicate the measures in place to manage employee anxiety over a return to work. Links to a number of helpful websites / webinars on health and well-being to be provided via Human Resources and the Infonet.
TW18 Tudalen 24	Impact of deferred medical events – ability of employees to return to work within previously agreed timescales	↔	IM	Deferred medical events are being re-scheduled. Where delays have resulted in extended absence which has impacted on sick pay entitlement, measures are in place to extend pay for up to three months. Only two requests for extension to sick pay have been made to date.

Workforce – PPE

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW25 New Oct 2020	Impact on International/European PPE supply chain following Brexit	↔	MT	WG's Winter Protection Plan for the supply of all care setting PPE provides for a 24-week stockholding, to mitigate supply risks. On a corporate level PPE suppliers have reported that masks, aprons, hand sanitisers and eye protection in the short term will not change, with some suppliers holding high stock levels. However gloves present a real concern, not only being extremely expensive but uncertainty about long-term supply – we will continue to monitor closely.

Governance

Governance - Information and systems

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CG01	Cyber-attack through bogus Covid-19 email	↔	IM	Risk is being mitigated through the use of mail scanning tools and staff education. The likelihood of the risk can be mitigated but the impact will remain as significant due to the potential disruption to services.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CG02	Loss of data or system hack due to malware or the use of unauthorised apps	↔	IM	The security measures that we have in place in order to achieve PSN compliance continue to mitigate the risks.
CG03	Data loss or inaccuracy due to disrupted ways of working	↔	IM	Current policy, practice and controls continue.
CG04	Diversion of resource to emergency management response and recovery work delays implementation of key digital and infrastructure projects	↔	MT	The response to the emergency situation has placed peaks in demand on the ICT Service as new ways of working and supporting technologies have been introduced. It has raised the profile of the ICT Service and the benefits that can be achieved through digitisation and effective use of technology which will have long term benefits for the organisation.
CG05	Loss of functional capacity due to the inability to use mass 'roll-out' of tools on devices being used at home	↔	MT	A potential technical has been identified in principle to enable the deployment of software and upgrades without compromising security to Flintshire devices whilst being used at home. The solution is being thoroughly tested to ensure its suitability.

Governance - Governance and Control Recovery

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CG07	Legal challenge to a decision made under temporary remote working legislation on the grounds of insufficient process/a lack of transparency	↔	IM	This risk continues to be managed by ensuring that we comply fully with Welsh Government regulations for the emergency period, and by following recognised good/required practice in meeting management e.g. publication of agendas, reports and minutes, due notice being given of meetings, only urgent items being taken forward for decision etc
CG08	Emergency legislation is repealed prematurely and before we are ready to resume normal services	↔	IM	Welsh Government (WG) has agreed to permanently enact some of the current emergency changes to legislation. WG has agreed to monitor the infection rates and impact on local government when current emergency legislation is due to expire with a view to lobbying for an extension in its period of effect
CG09	Technology and/or the functioning of remote meetings impedes inclusive and effective decision-making	↔	IM	Meetings are able to proceed using video conferencing or telephone connections

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CG10	Technology failure during member meeting prevents or undermines inclusive and effective decision-making	↔	IM	This will always remain a risk dependent upon the IT connection of every participant. However, if necessary, meetings can be adjourned and alternative telephone facilities are always available as a back-up
CG13	Changes to established managerial and democratic systems result in failure to properly authorise a decision	↔	IM	As CG07 above.

Previously Closed Risks

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CG06 Tudalen	Impact on Council ADM subsidies of our applications for Furlough being declined by HMRC under Government guidelines and interpretation resulting in additional costs to the Council	↓	IM	-
CW02	Impacts if pressure brought to apply temporary pay uplift (10%) to staff working in critical frontline teams by other Welsh LAs or other body (WLGA, JCW): (1) workforce division (2) potential grievances and Equal Pay claims from other occupational groups and (3) Affordability	↓	MT	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW04	Cost associated with retrospective approval of claims for overtime and other payments (i.e. ex-gratia)	↔	MT	-
CW08b	Insufficient resilience in regional capacity operational systems to support CW08a	Risk removed due to duplication with CW08a and CW09		
CW20	Impact of school closures on working parents whose role does not allow them to work from home, or who have caring responsibilities for children or other dependents	↓	IM	-
CG11	Insufficient information availability to provide an adequate annual statement of assurance	↓	IM	-
CG14	Inability to confirm insurance cover for claims/liability arising from the Council's role in TTP	↓	IM	-
CW02a	Administration of the Welsh Government decision to make a one-off payment to care workers causes a local administrative burden and has unfunded residual costs for the Council as an employer e.g. superannuation	↓	IM	-
CW05	Increase in cost from changes to sick pay policy for	↓	MT	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
	those whose recovery has been affected by cessation of or interruption to medical treatment			
CW06	Insufficient availability of occupational work groups to restore services	↓	IM	-
CW09a	Inadequate funding availability from Welsh Government to support a regional TTP Programme	↓	IM	-
CW09b	Failure to secure partner agreement across the six local authorities and the Health Board to enter into a single regional TTP programme	↓	IM	-
CW20a	Impact on our workforce due to schools operating in a different way from September onwards.	↓	MT	-
CW15	The resilience of senior and supporting management following a long and demanding response phase	↓	IM	-
CW19	Impact of delayed bereavement leave – on attendance and mental health	↓	MT	-
CG06 Closed	Resumption of democratic processes reduces our capacity to support recovery work	↓	IM	-
CG12 Closed	Changes to established managerial and democratic systems results in	↓	IM	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
	challengeable decision-making			

Mae'r dudalen hon yn wag yn bwrpasol

Eitem ar gyfer y Rhaglen 5



CORPORATE RESOURCES OVERVIEW AND SCRUTINY

Date of Meeting	Thursday, 15 th October 2020
Report Subject	Revenue Budget Monitoring 2020/21 Month 5
Cabinet Member	Leader of the Council and Cabinet Member for Finance
Report Author	Corporate Finance Manager
Type of Report	Operational

EXECUTIVE SUMMARY

The purpose of this report is to provide Members with the Revenue Budget Monitoring 2020/21 (Month 5) Report.

RECOMMENDATIONS

1	That the committee considers and comments on the Revenue Budget Monitoring 2020/21 (Month 5) report. Any specific matters for attention will be noted and reported back to the Cabinet.
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REPORT DETAILS

1.00	EXPLAINING THE REVENUE BUDGET MONITORING POSITION 2020/21 (MONTH 5)
1.01	The Revenue Budget Monitoring 2020/21 (Month 5) report will be presented to Cabinet on Tuesday 20th October 2020. A copy of the report is attached as Appendix A to this report.
2.00	RESOURCE IMPLICATIONS
2.01	As set out in Appendix A; Revenue Budget Monitoring 2020/21 (Month 5).
3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	None required.
4.00	RISK MANAGEMENT
4.01	As set out in Appendix A; Revenue Budget Monitoring 2020/21 (Month 5).
5.00	APPENDICES
5.01	Appendix A; Revenue Budget Monitoring 2020/21 (Month 5).
6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	None required.
7.00	CONTACT OFFICER DETAILS
7.01	Contact Officer: Dave Ledsham, Finance Manager Telephone: 01352 704503 E-mail: dave.ledsham@flintshire.gov.uk
8.00	GLOSSARY OF TERMS
8.01	Revenue: a term used to describe the day to day costs of running Council services and income deriving from those services. It also includes charges

for the repayment of debt, including interest, and may include direct financing of capital expenditure.

Budget: a statement expressing the Council's policies and service levels in financial terms for a particular financial year. In its broadest sense it includes both the revenue budget and capital programme and any authorised amendments to them.

Capital Programme: The Council's financial plan covering capital schemes and expenditure proposals for the current year and a number of future years. It also includes estimates of the capital resources available to finance the programme.

Mae'r dudalen hon yn wag yn bwrpasol

CABINET

Date of Meeting	Tuesday, 20th October 2020
Report Subject	Revenue Budget Monitoring Report 2020/21 (Month 5)
Cabinet Member	Cabinet Member for Finance
Report Author	Corporate Finance Manager
Type of Report	Operational

EXECUTIVE SUMMARY

This monthly report provides the second detailed revenue budget monitoring position 2020/21 for the Council Fund and Housing Revenue Account for the financial year and presents the position, based on actual income and expenditure, as at Month 5. This report projects how the budget would stand at the close of the financial year if all things remain unchanged; it also takes into account the latest position on Welsh Government Emergency Grant Funding announcements.

The projected year end position, without new actions to reduce cost pressures and/or improve the financial return on efficiency planning and cost control is:

Council Fund

- An operating deficit of £0.921m (excluding the impact of the pay award which will be met by reserves)
- A projected contingency reserve balance as at 31st March, 2021 of £1.418m

Housing Revenue Account

- Net in-year revenue expenditure forecast to be £0.364m lower than budget
- A projected closing balance as at 31st March, 2021 of £2.537m

To assist in mitigating the overall projected overspend a review of non-essential spend and a vacancy management process has been introduced. This has resulted in a temporary reduction in spend of -£0.316m at Month 5 which has helped to reduce the overall financial overspend position. This is in addition to £0.319m which was identified at Month 4 resulting in total savings to date of £0.635m.

RECOMMENDATIONS

1	To note the overall report and the projected Council Fund contingency sum as at 31 st March 2021.
2	To note the projected final level of balances on the Housing Revenue Account (HRA).

REPORT DETAILS

1.00	EXPLAINING THE MONTH 5 POSITION
1.01	<p>Council Fund Projected Position</p> <p>The projected year end position, without mitigation to reduce cost pressures and improve the yield on efficiency planning, is as follows:</p> <ul style="list-style-type: none">• An operating deficit of £0.921m (excluding the impact of the pay award which will be met by reserves)• A projected contingency reserve available balance as at 31 March 2021 of £1.418m. <p>To assist with mitigating the overall projected overspend the following measures have been introduced:-</p> <ol style="list-style-type: none">1) All non-essential spend is being reviewed and challenged with a view to ceasing/delaying where able and2) Introduction of a vacancy management process to consider new recruitment requests <p>The outcome of this initial work is shown within the report and will continue as part of the robust challenge of the future monthly monitoring position.</p>

1.02	<p>Table 1. Projected Position by Portfolio</p> <p>The table below shows the projected position by portfolio:</p> <table border="1" data-bbox="320 255 1329 1205"> <thead> <tr> <th data-bbox="320 255 767 450">Portfolio/Service Area</th> <th data-bbox="767 255 963 450">Approved Budget</th> <th data-bbox="963 255 1160 450">Projected Outturn</th> <th data-bbox="1160 255 1329 450">In-Year Over / (Under) spend</th> </tr> <tr> <td></td> <th data-bbox="767 405 963 450">£m</th> <th data-bbox="963 405 1160 450">£m</th> <th data-bbox="1160 405 1329 450">£m</th> </tr> </thead> <tbody> <tr> <td data-bbox="320 450 767 506">Social Services</td> <td data-bbox="767 450 963 506">68.247</td> <td data-bbox="963 450 1160 506">68.458</td> <td data-bbox="1160 450 1329 506">0.211</td> </tr> <tr> <td data-bbox="320 506 767 562">Out of County Placements</td> <td data-bbox="767 506 963 562">11.940</td> <td data-bbox="963 506 1160 562">12.081</td> <td data-bbox="1160 506 1329 562">0.141</td> </tr> <tr> <td data-bbox="320 562 767 618">Education & Youth</td> <td data-bbox="767 562 963 618">8.752</td> <td data-bbox="963 562 1160 618">8.302</td> <td data-bbox="1160 562 1329 618">(0.450)</td> </tr> <tr> <td data-bbox="320 618 767 674">Schools</td> <td data-bbox="767 618 963 674">98.508</td> <td data-bbox="963 618 1160 674">98.508</td> <td data-bbox="1160 618 1329 674">0.000</td> </tr> <tr> <td data-bbox="320 674 767 730">Streetscene & Transportation</td> <td data-bbox="767 674 963 730">30.380</td> <td data-bbox="963 674 1160 730">31.643</td> <td data-bbox="1160 674 1329 730">1.263</td> </tr> <tr> <td data-bbox="320 730 767 786">Planning & Environment</td> <td data-bbox="767 730 963 786">5.723</td> <td data-bbox="963 730 1160 786">6.182</td> <td data-bbox="1160 730 1329 786">0.459</td> </tr> <tr> <td data-bbox="320 786 767 842">People & Resources</td> <td data-bbox="767 786 963 842">4.456</td> <td data-bbox="963 786 1160 842">4.435</td> <td data-bbox="1160 786 1329 842">(0.021)</td> </tr> <tr> <td data-bbox="320 842 767 898">Governance</td> <td data-bbox="767 842 963 898">9.147</td> <td data-bbox="963 842 1160 898">9.699</td> <td data-bbox="1160 842 1329 898">0.552</td> </tr> <tr> <td data-bbox="320 898 767 954">Strategic Programmes</td> <td data-bbox="767 898 963 954">5.018</td> <td data-bbox="963 898 1160 954">4.803</td> <td data-bbox="1160 898 1329 954">(0.215)</td> </tr> <tr> <td data-bbox="320 954 767 1010">Housing & Assets</td> <td data-bbox="767 954 963 1010">16.085</td> <td data-bbox="963 954 1160 1010">15.703</td> <td data-bbox="1160 954 1329 1010">(0.382)</td> </tr> <tr> <td data-bbox="320 1010 767 1066">Chief Executive</td> <td data-bbox="767 1010 963 1066">2.781</td> <td data-bbox="963 1010 1160 1066">2.523</td> <td data-bbox="1160 1010 1329 1066">(0.258)</td> </tr> <tr> <td data-bbox="320 1066 767 1122">Central & Corporate Finance</td> <td data-bbox="767 1066 963 1122">24.950</td> <td data-bbox="963 1066 1160 1122">24.571</td> <td data-bbox="1160 1066 1329 1122">(0.379)</td> </tr> <tr> <td data-bbox="320 1122 767 1205">Total</td> <td data-bbox="767 1122 963 1205">285.987</td> <td data-bbox="963 1122 1160 1205">286.908</td> <td data-bbox="1160 1122 1329 1205">0.921</td> </tr> </tbody> </table>	Portfolio/Service Area	Approved Budget	Projected Outturn	In-Year Over / (Under) spend		£m	£m	£m	Social Services	68.247	68.458	0.211	Out of County Placements	11.940	12.081	0.141	Education & Youth	8.752	8.302	(0.450)	Schools	98.508	98.508	0.000	Streetscene & Transportation	30.380	31.643	1.263	Planning & Environment	5.723	6.182	0.459	People & Resources	4.456	4.435	(0.021)	Governance	9.147	9.699	0.552	Strategic Programmes	5.018	4.803	(0.215)	Housing & Assets	16.085	15.703	(0.382)	Chief Executive	2.781	2.523	(0.258)	Central & Corporate Finance	24.950	24.571	(0.379)	Total	285.987	286.908	0.921
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1.03	<p>The reasons for the favourable net movement of -£0.062m from the previous month are shown in Appendix 1. The reasons for the overall projected variances are summarised within Appendix 2 showing the detail of all variances over £0.050m and a summary of minor variances for each portfolio.</p>																																																												
	<p>Significant Variances to highlight this month</p>																																																												
1.04	<p>Social Services</p> <p><u>Older People Purchasing</u></p> <p>The net cost of Residential Care is projected to be £0.419m less than the budget. This includes the cost of residential care placements net of the income received for this service, such as property charges and contributions from health. There is currently a decline in the demand for residential care placements due to the pandemic.</p>																																																												
1.05	<p><u>Older People Provider Services</u></p> <p>Extra care is projected to be £0.183m less than budget. The facility in Holywell is yet to open and a full complement of staff has not yet been recruited. Care staff already recruited are currently redeployed to alternative in-house care services which has had cost avoidance benefits.</p>																																																												

	It is anticipated that the facility will open in the Autumn and the projected costs reflect this.
1.06	<p><u>Mental Health services</u></p> <p>The Mental Health Residential Placement budget is projected to be £0.593m above budget which is based on the current social care needs of clients supported within the service. Care needs vary over time, sometimes suddenly, and costs are subject to the same changes.</p> <p>There are compensatory savings elsewhere in other service budgets on staffing, travel and supplies and services which partially offset the above overspend.</p>
1.07	<p><u>Children's Services</u></p> <p>Legal & Third Party costs are projected to be £0.341m above budget due to legal costs and direct payments. Legal costs are due to the number of current court cases and some use of external solicitors, although this has reduced from the previous year. The Council is legally obliged to offer direct payments and this service has seen an increase in demand.</p> <p>Professional Support is projected to be £0.392m above budget. To support adequate levels of child protection, the established staffing structure needs to be at a sufficient level to meet mandatory safeguarding standards. Vacancies are therefore minimised and additional temporary posts are sometimes required to be able to meet the challenges and demands of Children's Services.</p>
1.08	<p>Out of County Placements</p> <p>There is a projected overspend of £0.141m due to a significant number of new placements coming into the service. There are 10 new placements within the Children's Services area of the service and 6 new placements within Education as agreed by a recent Out of County placements panel.</p> <p>A contingency of £0.300m had been included in the projection at Month 4, however the additional costs of £0.444m arising from new placements have exceeded this contingency by £0.144m.</p>
1.09	<p>Education and Youth</p> <p><u>Integrated Youth Provision</u></p> <p>The main variance of £0.148m relates to Youth Centres which have remained closed throughout the pandemic with resultant savings on building cleaning charges, energy costs and some relief staffing costs. There are also projected savings of £0.074m within the Youth Justice Service which are mainly due to the delay in recruitment to a new manager post and savings on equipment purchase and training costs.</p>
1.10	<p><u>School Improvement Systems</u></p> <p>The projected underspend of £0.149m is due to lower payments in the summer term due to the school closures as a result of the pandemic.</p>

	Payments were made based on averages for January and February resulting in considerably lower payments than included in the current budget.
1.11	<p>Streetscene & Transportation</p> <p><u>Additional Security at Household Recycling Centres:</u></p> <p>The service has incurred additional revenue pressures of £0.070m from responding to and resolving previously reported security measures and remedial actions following vandalism at the Household Recycling Centres. The monthly costs are now running at up to £0.006m per month, mainly due to the introduction of a night time presence on the sites.</p>
1.12	<p><u>Waste Strategy</u></p> <p>The service has experienced a downturn in income generated by sales of electricity and it is currently projected to reach a level of some £0.105m during the year. All efforts are being made to identify potential mitigations which may be available. In addition, a shift in the market appetite for recycling of paper and cardboard are giving concern over income generation levels and this will be closely monitored during the year.</p>
1.13	<p><u>Impact of Pandemic</u></p> <p>The pandemic has also impacted across a number of service budgets including:</p> <ul style="list-style-type: none"> - a need for increased agency and overtime (£0.050m) - net car parking income loss of £0.550m (reduced following receipt of the first tranche of Welsh Government Income Loss funding) - additional vehicles and fuel (£0.080m) - additional private contractors and plant hire (£0.075m) <p>Opportunities for support from the Welsh Government Hardship and Income Loss Funds will continue to be explored throughout the year to meet some of these costs.</p>
1.14	<p>Planning & Environment</p> <p>Delays in sourcing core materials means that the construction industry is operating at minimal pace resulting in lower Building Control fee income estimated at £0.180m over a full year.</p>
1.15	There has been a marked negative impact on the Property Market and a reduced need for Land Charge searches. The estimated reduction of 60% on fees and charges results in a shortfall of £0.095m over a full year.
1.16	Planning Fee income is forecast to reduce by £0.210m for a full year in comparison to the previous year. We aim to recoup the first quarter losses of £0.105m from the WG Income Loss Fund. However, the loss is further mitigated by Town and Country Planning (Fees for Application, Deemed Applications and Site Visits – Wales) Regulations 2020 which have

	confirmed planning and related applications will be subject to a general fee increase of approximately 20% with effect from 24 August which could generate up to £0.100m, subject to market volatility.
1.17	Income reductions in Markets are estimated to be £0.140m for the full year following the cancellations of markets in the first quarter of the financial year.
1.18	<p>Housing & Assets</p> <p><u>Benefits Service</u></p> <p>Additional staffing resources have been required to meet extra demand including an increased inflow of changes in respect of Universal Credit. The increased cost of £0.119m can in part be met from the Hardship Fund for the first quarter.</p>
1.19	<p><u>Centralised Costs - Utilities and NDR</u></p> <p>This projected underspend of £0.773m is mainly due to savings in respect of energy costs and NDR at County Hall following the demolition of Phases 3 and 4 together with a reduction in gas and electricity prices. There is a risk that this projected underspend could reduce if we start to see more buildings become void by businesses occupying council buildings.</p>
1.20	<p><u>Council Fund Housing - Carelink Service</u></p> <p>The projected overspend of £0.163m is due to a reduction in the allocation of Housing Support Grant due to inability to meet eligibility criteria. A further key influence is the anticipated commencement of a new service contract for the Carelink service with a new provider.</p>
1.21	<p>Governance</p> <p>The national lockdown restrictions have resulted in the cessation of all recovery activities, especially enforcement/bailiff duties during months 1 to 5. All debt recovery activities, with the exception of enforcement/bailiff duties, re-commenced in August, starting with the issue of 1st reminder notices. The level of financial risk from fee income will be dependent on re-commencement of court action to secure Liability Orders - income from fees is expected to re-commence in month 7 as court summonses are issued, however this will be mitigated by the potential for an additional resource to assist in clearing the backlog of cases and provide service resilience.</p>
1.22	Within the Registrar service there is an estimated loss of income for the year of around £0.140m.
1.23	Legal Services have incurred additional costs of employing locums to cover absence to ensure continuing client service delivery in the area of child protection £0.132m. This is offset by savings within ICT totalling £0.044m.

1.24	<p>Central & Corporate Finance</p> <p>In the previous financial year there was a significant underspend in employer pension fund contributions of £1.010m and the budget for 2020/21 was adjusted by £0.800m. Based on the contributions to date and the previous year trend a positive variance of £0.300m is projected at this stage of the current year.</p>
1.25	<p>Strategic Programmes</p> <p>The Climate Change Levy (CCL) was in prior years paid as a separate one-off charge. However, from 2019/20 these charges have been included in service specific utility bills within the centralised budgets in Housing & Assets. Based on current consumption levels there is a projected £0.215m underspend within this centrally held budget.</p>
1.26	<p>Key Financial Risks – Council Tax Income and Council Tax Reduction Scheme</p> <p>In addition to the variances identified in paragraphs 1.04 – 1.25 there are significant impacts on Council Tax income and the Council Tax Reduction Scheme.</p> <p>The potential financial impact of these two areas is being reported separately and are not included in the overall projections. This is due to 1) the difficulties in predicting the impacts of these risks at this early stage and 2) the potential for these areas to be further supported by additional Welsh Government funding.</p> <p>However, if these cost pressures are not met by additional funding they will add to the projected overspend of £0.996m. An update on the latest position on each area is detailed below.</p>
1.27	<p>Council Tax Income</p> <p>As with all Councils the pandemic has significantly impacted on council tax collection. At this stage council tax income is 1.4% below target which equates to £1.37m and is a small improvement than at Month 4. Income is expected to continue to recover now that recovery processes have resumed in full and when agreed payment deferrals are settled.</p>
1.28	<p>However, it is unlikely that the full budgeted income will be achieved by the end of the financial year and it is estimated that there may be a shortfall of up to 0.6% which equates to £0.600m. Welsh Government are monitoring the situation but taking a longer term view as to any potential support when the recovery impacts are more certain.</p>
1.29	<p>Council Tax Reduction Scheme (CTRS)</p> <p>During the pandemic there has been a significant increase in demand with additional costs of £0.233m identified as at the first quarter. Welsh</p>

	<p>Government have confirmed funding for the first quarter estimated at £0.058m. However, the risk remains for the remaining three quarters of the year for existing clients together with the costs of any further increases in demand which is likely in the current economic climate and as the furlough scheme ceases. The impact of this increase in demand could potentially increase the cost pressure by up to a further £0.500m - £0.750m if there were to be no further Welsh Government funding.</p>
1.30	<p>OPEN RISKS</p> <p>Members were made aware when setting the budget that there were a number of open risks that would need to be kept under close review. An update on these is provided below.</p>
1.31	<p>Pay Award</p> <p>The 2020/21 budget provides for a 2% pay award for NJC staff across the Council. National negotiations for the 2020/21 pay award have now been concluded with an agreement of a 2.75% pay award which will be effective from 1st April 2020. The additional cost of this will need to be met from the Contingency Reserve in the current financial year and built into the budget from 2021/22 on a recurring basis. An initial estimate is that this will be in the region of £0.818m.</p> <p>The Teachers Pay Award which is effective from September 2020 has been recommended at 3.1% and is currently out for consultation. The financial impact of this for 2020/21 is estimated to be £0.535m and it is not yet known whether additional funding will be provided by Welsh Government to meet the difference in full or in part.</p>
1.32	<p>Charging for Post 16 Transport</p> <p>The budget for 2020/21 provides for expected additional income of £0.449m based on the assumption that charging would be introduced from September 2020. This policy decision was reversed by Cabinet in May.</p> <p>The developing financial solution through effective partnership working with Coleg Cambria will assist with mitigating the financial risk for 2020/21 and the outcome will be included in future reports. An agreement has been reached with the college that a level of the anticipated value of the journeys would be reimbursed to the Portfolio. However, the level of this reimbursement is currently £0.047m less than that included in the budget. Therefore this remains a risk to the containment of any costs associated with the journey provision.</p>
1.33	<p>Out of County Placements</p> <p>Additional funding of £2.7m was included in the budget for 2020/21 to address the historic significant increase in demand. At this stage, based on current activity there is an overall net projected overspend of £0.141m (underspend of £0.204m within Education offset by an overspend of £0.345m within Children's Services).</p>

	New Risks
1.34	<p>Free School Meals</p> <p>Schools have a delegated budget for free school meals (FSM) which is based on the number of pupils eligible for FSM. The budget for 2020/21 is £1.256m. Following the closure of schools in March, the Council made direct payments to families and there was a marked increase in the number of claims. Based on current free school meal claims and making projections for a range of take-up percentages in the remainder of the year, it is estimated that the budget could overspend by between £0.222m and £0.344m.</p>
1.35	<p>Transportation</p> <p>Under School Transport, there has been a significant financial increase in private hire coach, minibus and taxi quotations, which is due to the operators including the cost of the cleaning of vehicles, driver PPE and the fact the school contract is the only business they are receiving at the moment, i.e. no private hire for weekends, during the day such as swimming lessons, school trips or private tour excursions. There has also been additional financial pressure in relation to the re-procurement of a subsidised local bus contract in which we have seen a significant cost increase due to the operator now building the loss of fare revenue (reduced patronage) into their quotations.</p> <p>The Transport team are currently assessing the overall financial impact of this, and the outcome will be included in the next monitoring report.</p>
1.36	<p>Emergency Funding</p> <p>In addition to the Hardship Fund Welsh Government has confirmed further funding of £264 million across Wales to continue to support local government for additional costs and income losses. There are no details as yet on eligibility criteria for this funding, although it has been confirmed that income loss claims can continue to be made on a quarterly basis for the remainder of the financial year.</p> <p>Welsh Government have previously confirmed that additional costs for Social Care and Schools will continue to be a priority when considering the use of this funding which is encouraging to ensure that the Council can continue to meet the impact of these additional costs.</p> <p>The previous announcement on funding for the first quarter of increased demand for the Council Tax Reduction Scheme is also a positive outcome and is currently under consideration for the remainder of the financial year as well as any further increases in demand.</p>
1.37	<p>Achievement of Planned In-Year Efficiencies</p> <p>The 2020/21 budget contains £5.206m of specific efficiencies which are being tracked and monitored. The Council aims to achieve a 95% rate in 2020/21 as reflected in the MTFs KPI's.</p>

	<p>The current assessment of the efficiencies to be achieved in 2020/21 shows that £4.982m or 96% of the efficiencies will be achieved.</p> <p>The risk remains that any ongoing under-achievement of efficiencies will have a recurring and negative impact on the 2020/21 budget. Further details on the current status on efficiencies can be seen in Appendix 2 with the overall impact in relation to any impact for 2021/22 being reviewed as part of the ongoing work on the MTFs.</p>																																												
1.38	<p>Reserves and Balances</p> <p>Un-earmarked Reserves</p> <p>The level of Council Fund Contingency Reserve brought forward into 2020/21 was £2.370m as detailed in the 2019/20 outturn report. This is the amount available for general purposes following the set-aside of £3.0m for Emergency Funding. There is an estimated additional requirement of £0.818m arising from the outcome of the national pay award negotiations as set out in paragraph 1.32.</p>																																												
1.39	<p>Taking into account the above and, the current projected overspend at this stage, and previously agreed allocations, the balance on the Contingency Reserve at 31 March 2021 is projected to be £1.418m as detailed in Appendix 3.</p> <p>This assumes that the projected overspend of £0.921m is met from the amount available in the £3m emergency ring-fenced fund which would leave an amount of £1.965m remaining.</p>																																												
1.40	<p>Earmarked Reserves</p> <p>The table below gives a summary of earmarked reserves as at 1 April 2020 and provides an estimate of projected balances as at the end of the current financial year.</p> <p>Monitoring Summary Month 5</p> <table border="1"> <thead> <tr> <th>Reserve Type</th> <th>Balance as at 01/04/20</th> <th>Balance as at Month 5</th> <th>Balance as at 31/03/21</th> </tr> </thead> <tbody> <tr> <td>Service Balances</td> <td>1,614,705</td> <td>1,149,498</td> <td>1,115,950</td> </tr> <tr> <td>Specific Service Balances</td> <td>213,991</td> <td>213,991</td> <td>189,670</td> </tr> <tr> <td>Single Status/Equal Pay</td> <td>1,120,944</td> <td>1,120,944</td> <td>729,615</td> </tr> <tr> <td>Investment in Organisational Change</td> <td>1,693,937</td> <td>1,684,259</td> <td>1,369,522</td> </tr> <tr> <td>Benefits Equalisation</td> <td>132,822</td> <td>132,822</td> <td>132,822</td> </tr> <tr> <td>County Elections</td> <td>211,990</td> <td>211,990</td> <td>211,990</td> </tr> <tr> <td>Local Development Plan (LDP)</td> <td>180,000</td> <td>180,000</td> <td>180,000</td> </tr> <tr> <td>Waste Disposal</td> <td>82,648</td> <td>82,648</td> <td>82,648</td> </tr> <tr> <td>Enterprise Centres</td> <td>6,993</td> <td>6,993</td> <td>6,993</td> </tr> <tr> <td>Design Fees</td> <td>200,000</td> <td>200,000</td> <td>0</td> </tr> </tbody> </table>	Reserve Type	Balance as at 01/04/20	Balance as at Month 5	Balance as at 31/03/21	Service Balances	1,614,705	1,149,498	1,115,950	Specific Service Balances	213,991	213,991	189,670	Single Status/Equal Pay	1,120,944	1,120,944	729,615	Investment in Organisational Change	1,693,937	1,684,259	1,369,522	Benefits Equalisation	132,822	132,822	132,822	County Elections	211,990	211,990	211,990	Local Development Plan (LDP)	180,000	180,000	180,000	Waste Disposal	82,648	82,648	82,648	Enterprise Centres	6,993	6,993	6,993	Design Fees	200,000	200,000	0
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Winter Maintenance	250,000	250,000	250,000
Car Parking	45,403	45,403	45,403
Insurance Reserves	2,203,010	2,203,010	2,503,010
Cash Receipting Review	3,181	3,181	3,181
Flintshire Trainees	524,106	524,106	524,106
Rent Income Shortfall	30,979	30,979	30,979
Customer Service Strategy	22,468	22,468	22,468
Capita One	18,827	18,827	0
Supervision Fees	48,798	48,798	48,798
LMS Curriculum	420,896	455,158	362,583
Organisational Change/ADM	33,500	33,500	0
Carbon Reduction	25,221	25,221	25,221
Employment Claims	107,998	103,613	103,613
Property Claims	36,363	20,763	20,763
Community Benefit Fund NWRWTP	64,727	64,727	64,727
Total Balances	7,678,801	7,683,400	6,908,111
Schools Balances	111,957	111,957	111,957
Grants & Contributions	3,887,337	3,379,282	3,327,601
TOTAL	13,292,800	12,324,137	11,463,619

A review of the Earmarked Balances and Reserves is on-going, balances challenged and identified as no longer required are to be returned to the general fund.

1.41	<p>Housing Revenue Account</p> <p>The 2019/20 Outturn Report to Cabinet on 16 June 2020 showed an un-earmarked closing balance at the end of 2019/20 of £2.009m and a closing balance of earmarked reserves of £0.437m.</p>
1.42	<p>The 2020/21 budget for the HRA is £36.683m which includes a movement of £0.164m to reserves.</p>
1.43	<p>The monitoring for the HRA is projecting in year expenditure to be £0.364m lower than budget and a closing un-earmarked balance as at 31 March 2021 of £2.373m, which at 6.44% of total expenditure satisfies the prudent approach of ensuring a minimum level of 3%. Appendix 4 attached refers.</p>
1.44	<p>The budget contribution towards capital expenditure (CERA) is £12.928m.</p>

2.00	RESOURCE IMPLICATIONS
2.01	As set out within the report.

3.00	IMPACT ASSESSMENT AND RISK MANAGEMENT
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3.01	The financial impacts of the emergency as set out in the report are a combination of actual costs and losses to date and estimates of costs and losses for the future. There is the possibility that the estimates will change over time. The budget will be monitored closely and mitigation actions taken wherever possible.

4.00	CONSULTATIONS REQUIRED/CARRIED OUT
4.01	None specific.

5.00	APPENDICES
5.01	Appendix 1: Council Fund – Movement in Variances from Month 4 Appendix 2: Council Fund – Budget Variances Appendix 3: Council Fund – Programme of Efficiencies Appendix 4: Council Fund – Movement on Un-earmarked Reserves Appendix 5: Housing Revenue Account Variances

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	Various budget records.

7.00	CONTACT OFFICER DETAILS
7.01	Contact Officer: Dave Ledsham Strategic Finance Manager Telephone: 01352 704503 E-mail: dave.ledsham@flintshire.gov.uk

8.00	GLOSSARY OF TERMS
8.01	Budget: a statement expressing the Council's policies and service levels in financial terms for a particular financial year. In its broadest sense it includes both the revenue budget and capital programme and any authorised amendments to them. Council Fund: the fund to which all the Council's revenue expenditure is charged. Financial Year: the period of twelve months commencing on 1 April.

Housing Revenue Account: the Housing Revenue Account (HRA) is a local authority account showing current income and expenditure on housing services related to its own housing stock. The account is separate from the Council Fund and trading accounts and is funded primarily from rents and government subsidy.

Intermediate Care Fund: Funding provided by Welsh Government to encourage integrated working between local authorities, health and housing.

Projected Outturn: projection of the expenditure to the end of the financial year, made on the basis of actual expenditure incurred to date.

Reserves: these are balances in hand that have accumulated over previous years and are held for defined (earmarked reserves) and general (general reserves) purposes. Councils are required to regularly review the level and purpose of their reserves and to take account of the advice of the Chief Finance Officer.

Revenue: a term used to describe the day-to-day costs of running Council services and income deriving from those services. It also includes charges for the repayment of debt, including interest, and may include direct financing of capital expenditure.

Variance: difference between latest budget and actual income or expenditure. Can be to date if reflecting the current or most up to date position or projected, for example projected to the end of the month or financial year.

Virement: the transfer of budget provision from one budget head to another. Virement decisions apply to both revenue and capital expenditure heads, and between expenditure and income, and may include transfers from contingency provisions. Virements may not however be approved between capital and revenue budget heads.

Budget Monitoring Report
Council Fund Variances

MONTH 5 - SUMMARY

Service	Movement between Periods (£m)	Narrative for Movement between Periods greater than £0.025m
Social Services		
Older People		
Localities	0.304	A budget virement of £0.300m was agreed in the month 4 Revenue Budget Monitoring Report from the Localities budget and the Resources and Regulated Services budget.
Resources & Regulated Services	-0.405	Budget virement of £0.300m from the Localities budget. Client contributions for in-house residential care have increased by £0.050m. Identified as part of the non-essential spend review a commitment in the residential homes purchasing budget has reduced by £0.020m. Additional delays for opening Holywell Extra Care have meant an increased underspend of £0.035m.
Minor Variances	-0.002	
Adults of Working Age		
Resources & Regulated Services	0.037	This variance is due as a result of changes to care package costs within the Disability service.
Minor Variances	-0.003	
Children's Services		
Family Placement	-0.038	There has been a reduction a reduction in fostering payments.
Professional Support	0.072	There is a planned recruitment of newly qualified social workers who will be supported to develop their experience and help reduce the use of agency staff in the future.
Minor Variances	-0.013	
Safeguarding & Commissioning		
Minor Variances	0.024	
Total Social Services (excl Out of County)	-0.023	
Out of County		
Children's Services	0.230	Influx of new placements and recent placement changes and full use of £0.150m contingency
Education & Youth	0.062	Influx of new placements agreed by Out of County panel and full use of £0.150m contingency
Total Out of County	0.292	
Education & Youth		
Minor Variances	0.003	
Total Education & Youth	0.003	
Schools	-0.000	
Streetscene & Transportation		
Service Delivery	0.017	
Highways Network	-0.068	Street Lighting energy inflation of £0.075m met from a central inflation allocation
Regulatory Services	-0.061	Reduction in NNDR charge estimates at Parc Adfer following confirmation of actual values.

Impact of Covid-19	-0.100	Refinement of agency usage requirement forecast.
Other Minor Variances	0.106	
Total Streetscene & Transportation	-0.198	
Planning, Environment & Economy		
Community	-0.025	Minor variances across the service
Minor Variances	0.019	
Total Planning & Environment	-0.005	
People & Resources		
HR & OD	-0.012	
Corporate Finance	-0.009	
Holding Accounts		
Total People & Resources	-0.021	
Governance		
Internal Audit	0.034	Movement following the virement of postage costs and efficiency target from Revenues
Revenues	-0.105	Movement following the virement of postage costs and unachieved efficiency to Central Despatch £0.090m. Minor variances across the service.
Minor Variances	0.004	
Total Governance	-0.067	
Strategic Programmes		
Minor Variances	-0.013	
Total Strategic Programmes	-0.013	
Housing & Assets		
Minor Variances	-0.038	
Total Housing & Assets	-0.038	
Chief Executive's	-0.001	
Central & Corporate Finance	0.010	
Grand Total	-0.062	

Budget Monitoring Report
Council Fund Variances

MONTH 5 - SUMMARY

Service	Approved Budget (£m)	Projected Outturn (£m)	Annual Variance (£m)	Impact of Covid-19 (£m)	Last Month Variance (£m)	Cause of Major Variances greater than £0.050m	Action Required
Social Services							
Older People							
Localities	19.495	18.861	-0.633	-0.058	-0.938	The net cost of Residential Care is £0.419m underspent. This includes the cost of residential care placements net of income received, such as property charges and contributions from Health. There is currently a decline in the demand for residential care placements due to COVID-19. Day Care is £0.058m under budget and it is projected that Day Care provision will not resume until later in the year. Domiciliary and Direct Payments are reporting a combined overspend of £0.015m and are projected on recent levels of care provision. The Localities Team staff budget is underspending by £0.116m due to a number of staff not yet paid at top of grade, some temporary reduced hours and in-year savings on travel costs. The Minor Adaptations budget is £0.048m underspent based on expected activity and there is also a small underspend on SLAs paid to the third sector of £0.009m.	Continue to monitor and review
Resources & Regulated Services	7.680	7.533	-0.147		0.258	The Councils in-house care provision is reporting an underspend of £0.147m. Day Care is reporting an overspend of £0.013m. Day centres are currently closed due to the ongoing pandemic and will continue to be for the foreseeable future, the staff are currently deployed to support residential care. The overspend on day centres is due to several small variances. Homecare is underspent by £0.005m, costs are projected based on last years levels of activity as current costs have been lower than expected in the year to date. However, these are likely to return to expected levels as the year progresses. Residential care is overspent by £0.027m due to a number of small variances. Extra care is underspending by £0.183m. Plas Yr Ywen in Holywell has not yet opened (expected November, 2020) and a full compliment of staff has not yet been recruited. Care staff already recruited are currently redeployed to alternative in-house care services and this has avoided significant costs due to COVID-19.	Continue to monitor and review
Impact of Covid-19	0.000	-0.000	-0.000	-0.000	-0.000		
Minor Variances	1.217	1.188	-0.029		-0.027		
Adults of Working Age							
Administrative Support	0.321	0.232	-0.088		-0.084	Not all staff are currently paid at top of scale and some staff have been seconded. There are also in-year savings on staff travel costs.	
Residential Placements	1.297	1.890	0.593		0.597	This outturn is the cost of social care for people within the Mental Health Service. These costs include nursing and residential care, domiciliary and Direct Payments. Care needs for individuals within this service vary from time to time, sometimes at short notice, and costs are impacted by these changes.	Agreed changes to care packages are discussed at regular panel meetings, any increases or decreases to costs are recorded.
Minor Variances	29.602	29.462	-0.139		-0.181		
Children's Services							
Family Placement	2.621	2.792	0.172		0.209	The overspend is due to current demands on the service from the number of fostering placements, which in some instances avoid making an Out of County placement which would be more expensive. The main pressure areas are payments for foster carers, foster agencies and special guardianship payments.	Continue to monitor and review
Legal & Third Party	0.225	0.566	0.341		0.325	Legal costs are overspent due to the number of cases going through the courts and the use of external legal professionals. Direct payments have also increased in demand.	Continue to monitor and review
Professional Support	5.270	5.662	0.392		0.320	To support adequate levels of child protection, the established staffing structure needs to be at a sufficient level to meet mandatory safeguarding standards. Vacancies are therefore minimised and additional temporary posts are sometimes required to be able to meet the challenges and demands of Childrens Services.	Continue to monitor and review
Minor Variances	1.469	1.474	0.004		0.034		
Safeguarding & Commissioning							
Charging Policy income	-3.060	-3.136	-0.076		-0.088	Charging Policy income is expected to exceed the budget. This is based on the weekly charge cap and the number of service users who financially contribute to their care.	
Management & Support	-2.057	-2.183	-0.125		-0.123	The underspend is due to not having to pay a financial contribution to the Regional Collaboration Unit for 2020/21	
Impact of Covid-19	0.000	0.000	0.000	0.000	-0.000		
Minor Variances	4.168	4.114	-0.054		-0.068		
Total Social Services (excl Out of County)	68.247	68.458	0.211	-0.058	0.234		
Out of County							
Children's Services	7.437	7.781	0.345		0.115	A recent influx of new placements (10 in total) has resulted in a significant increase in the projection which has fully utilised the contingency provision for new placements which had been included in projections in earlier months. The increase in projection is further influenced by a number of recent placement changes some of which were at higher cost and some at a lower cost with a net adverse impact.	Continue to robustly challenge placement proposals presented to the Out of County panel and explore opportunities for cost reductions across the whole of the current cohort.
Education & Youth	4.504	4.300	-0.204		-0.266	The projected underspend has reduced due to 6 new placements having recently been agreed by the Out of County panel with a minor offsetting adjustment due to one placement ending.	Continue to robustly challenge placement proposals presented to the Out of County panel and explore opportunities for cost reductions across the whole of the current cohort.
Total Out of County	11.940	12.081	0.141	0.000	-0.151		
Education & Youth							
Inclusion & Progression	4.275	4.261	-0.014		-0.016		
Integrated Youth Provision	1.351	1.135	-0.215	-0.148	-0.224	Includes a projected underspend of -£0.148m on Youth Centres due to closures arising from COVID-19 safety measures producing	Continue to review as part of the ongoing challenge
School Improvement Systems	1.709	1.560	-0.149	-0.149	-0.136	Variance relates to significantly lower Summer Term 2020 payments due to COVID-19. Hours paid are based on an average for Jan/Feb resulting in considerably lower expenditure in comparison to previous years	
Minor Variances	5.692	5.606	-0.086		-0.094	Cumulative Minor Variances	
Total Education & Youth	8.752	8.302	-0.450	-0.297	-0.453		
Schools	98.508	98.508	-0.000		-0.000		

Budget Monitoring Report
Council Fund Variances

MONTH 5 - SUMMARY

Service	Approved Budget (£m)	Projected Outturn (£m)	Annual Variance (£m)	Impact of Covid-19 (£m)	Last Month Variance (£m)	Cause of Major Variances greater than £0.050m	Action Required
Streetscene & Transportation							
Service Delivery	8.685	8.957	0.273		0.256	The service has incurred additional revenue pressures from responding to and resolving previously reported security measures and remedial actions following vandalism at the Household Recycling Centres. This matter has been widely reported during 2019-20 and has not abated. The monthly costs are now running at up to £0.006m per month, mainly due to the introduction of a night time presence on the sites. In addition a pressure has arisen around Hire of Plant in operations which is a direct result of the delayed delivery of equipment from JCB due to staff being currently on furlough, every effort is being made to secure coverage of this pressure via Welsh Government Grant Claims as a direct result of COVID 19. A reduction in the use of baseline agency and overtime relating to the agreed demand plan has resulted in an improved position within workforce.	
Highways Network	7.659	7.751	0.092		0.161	The anticipated pressure in the Insurance Premium has now been removed following confirmation of the actual premium. Inflation in relation to Street Lighting energy increased by £0.075m in 2020/21 and this has been met from a central inflation allocation from Month 5. However, a pressure for Fuel NSI increases remains within the figures, despite fuel prices being deflated during the initial phase of the Pandemic, prices are now increasing rapidly alongside increases in volumes of consumption. A stringent review has taken place around levels of commitment within Street Lighting and this has given rise to an increase in the forecast whilst work is ongoing as part of the Non-Essential spend review to continually challenge increased commitments.	
Transportation	9.297	9.261	-0.036		-0.050	Increased transport provision to Children placed Out of County of £0.044m and Adult Social Care of £0.063m. Discussions are ongoing with Social Services colleagues around any potential transfer of resource into this budget. Following Welsh Government Guidance a number of operators have been supported by receiving 75% of their contracted values and the consequential mitigation of these payments has to date covered the pressures identified above.	
Regulatory Services	4.740	4.918	0.178		0.240	This service has experienced a downturn in the levels of income generated by sales of Electricity and this is currently anticipated to reach a level of £0.120m. All best efforts are being made to identify any potential mitigations to reduce this. It should be noted that disposals of kerbside residual waste to both Parc Adfer and Thorncliffe, including haulage by LWT, have increased over the past few months and are currently at around 12% higher when comparing to last year. This has resulted in increased costs of disposal. At month 5 the impact of this is approximately £0.105m. In addition to this, the position for Parc Adfer has improved at month 5 in relation to the receipt of the actual value for the NNDR charge, reducing forecast overspend position. There has also been an increase in the volume of co-mingled recycling (tins/plastic bottles) being disposed of directly without separation at the Standard Transfer Station. This is in part due to increased recycling volumes and the sites incapacity to process the material due to volume limits and the breakdown of machinery. Funding has been secured/bid for to upgrade the site but this is causing financial impact now to the sum of approximately £0.030-£0.040m. There has also been a downturn in the rebate for co-mingled waste due to a considerable drop in the value per ton of approximately £70 - £80 per ton. As reported above, all recycling income loss has been projected to be funded by Welsh Government.	
Impact of Covid-19	0.000	0.755	0.755	0.755	0.855	Following a full reconciliation and review of Streetscene expenditure and income loss relating to the Coronavirus Pandemic, all relevant pressures have now been consolidated to one code. This has been done in order to facilitate enhanced reporting and monitoring of the impact. All risks identified are now recorded in this forecast and at month 5 they include; £0.050m Agency and overtime (reduced from £0.150m at month 4), £0.550m car parking income loss (amended following receipt of the first tranche of Welsh government funding, £0.080m in relation to additional vehicles and fuel and £0.075m in relation to additional private contractors and plant hire.	It should also be noted that following the disallowing of expenditure from claims to Welsh Government of the Grass Cutting contract, let due to all operatives being diverted to waste routes, an application for £0.042m has been made for the release of part of the £3m COVID-19 Contingency Reserve allocation.
Other Minor Variances	0.000	0.075	0.075		0.000		
Total Streetscene & Transportation	30.380	31.643	1.263	0.755	1.461		
Planning, Environment & Economy							
Business	1.684	1.731	0.047		0.053	Historic income target £0.025m remains unrealised, minor variances across the service	
Development	0.015	0.225	0.210	0.295	0.188	Pressure within the Building Control service is due in the main, to delays in sourcing core materials means that the construction industry is operating at a low level of capacity. This is resulting in a projected Building Control fee income loss of £0.180m for the financial year. There has been a lull in the property market affecting a reduced need for Land Charge searches adding to the overspend. An estimated reduction of 60% on fees and charges would result in a shortfall of £0.095m for the financial year. The overall variance is mitigated by a confirmed Fee increase for planning and related applications of approx 20% with effect from 24 August, 2020.	
Access	1.307	1.354	0.047	0.050	0.053	Minor variances across the service each below £0.025m	
Regeneration	0.508	0.665	0.157	0.110	0.151	There has been a significant impact on income levels following the closure of Markets in the first quarter of the financial year.	
Impact of Covid-19	0.000	0.000	0.000	0.000	-0.000		
Minor Variances	2.208	2.207	-0.002		0.020		
Total Planning & Environment	5.723	6.182	0.459	0.455	0.465		
People & Resources							
HR & OD	2.383	2.364	-0.019		-0.007		
Corporate Finance	2.073	2.071	-0.002		0.007		
Impact of Covid-19	0.000	0.000	0.000	0.000	0.000		
Holding Accounts	0.000	0.000	0.000		0.000		
Total People & Resources	4.456	4.435	-0.021	0.000	0.000		

Budget Monitoring Report
Council Fund Variances

MONTH 5 - SUMMARY

Service	Approved Budget (£m)	Projected Outturn (£m)	Annual Variance (£m)	Impact of Covid-19 (£m)	Last Month Variance (£m)	Cause of Major Variances greater than £0.050m	Action Required
Governance							
Legal Services	0.730	0.907	0.177		0.173	Overspend as a result of employing locums covering absence to ensure continuing client service delivery in the area of child protection £0.132m; together with previous years efficiency target that was dependant on demand reduction in another service that has not occurred, thereby preventing the consequent achievement of the efficiency £0.091m. Total overspend is mitigated by vacant posts, expected fee income and commitment challenge across the service.	
Democratic Services	2.094	2.039	-0.056		-0.043	Favourable variance following reduced take up of Members Allowances £0.024m Minor Variances across the service each less than £0.010m.	
Internal Audit	0.822	0.818	-0.003		-0.038		
Procurement	0.320	0.304	-0.016		-0.016		
ICT	4.427	4.383	-0.044		-0.065	Minor variances across the service	
Customer Services	0.724	0.786	0.062	0.071	0.071	Within the Registration Service there is an estimated loss of income for the remainder of the year due to fee income from the cancellation and suspension of wedding ceremonies due to the pandemic. This is mitigated in part by vacancies and commitment challenge	
Revenues	0.030	0.462	0.432	0.432	0.537	The national lockdown restrictions have resulted in the cessation of all recovery activities, especially enforcement/bailiff duties during periods 01 to 05. All debt recovery activities, with the exception of enforcement/bailiff duties, re-commenced in August, starting with the issue of 1st reminder notices. The level of financial risk from fee income will be dependent on re-commencement of court action to secure Liability Orders - income from fees is expected to re-commence in Period 07 as court summonses are issued, however this will be mitigated by the potential for an additional resource to assist in clearing the backlog of cases and provide service resilience. This is mitigated in part with an increasing surplus on the Council Tax Surplus fund.	
Impact of Covid-19	0.000	0.000	0.000	0.000	-0.000		
Minor Variances	1.142	1.123	-0.019		-0.054		
Total Governance	9.147	9.699	0.553	0.503	0.619		
Strategic Programmes							
Minor Variances	5.018	4.803	-0.215		-0.202	The Climate Change Levy (formerly the Carbon Reduction Levy) was in prior years paid as a separate one-off charge. However, from 2019/20, the energy provider changed the way they issued costs for CCL and these charges are now included in service specific utility bills within the centralised budgets in Housing & Assets, thus providing a projected £0.202m underspend from the centrally held budget in Strategic Programmes.	
Total Strategic Programmes	5.018	4.803	-0.215	0.000	-0.202		
Housing & Assets							
Enterprise Centres	-0.217	-0.123	0.094		0.090	Pressure due to loss of income in respect of void units	
Caretaking & Security	0.262	0.198	-0.064		-0.064	Mainly staffing cost savings pending completion of restructure	
Centralised Costs	3.353	2.580	-0.773		-0.743	Overall savings predominantly as a result of the demolition of Phase 3 & 4 of County Hall. A reduction in gas and electric prices also contributing to the underspend.	
Benefits	11.657	11.874	0.217	0.119	0.223	Potential net pressure of up to £0.750m on the Council Tax reduction scheme due to additional take up arising from the COVID-19 pandemic impact on employment. This figure takes account of £0.058m of WG emergency funding support in respect of the April to June element of the overall pressure but the £0.750m is not included in the variance figures. Variance includes pressure of £0.119m on staffing costs due the additional demand caused by the COVID-19 pandemic and overpayments.	
Council Fund Housing	-0.328	-0.164	0.163		0.165	Reduction of internal Housing Support grant allocation due to eligibility issues and pressure arising from new service contract for Carelink	
Minor Variances	1.358	1.339	-0.019		-0.014		
Total Housing & Assets	16.085	15.703	-0.382	0.119	-0.344		
Chief Executive's	2.781	2.523	-0.259		-0.257	Vacant posts across the Service	
Impact of Covid-19	0.000	-0.000	-0.000	-0.000	-0.000		
Central & Corporate Finance	24.950	24.571	-0.379		-0.389	Over recovery of planned pension contributions recoupage against actuarial projections based on the level of contributions received to date and forecast to the end of the financial year.	
Impact of Covid-19	0.000	-0.000	-0.000	-0.000	-0.000		
Grand Total	285.987	286.908	0.921	1.477	0.963		

2020/21 Efficiencies Outturn Tracker - M5

Efficiency Description	Accountable Officer	Efficiency Target	Projected Efficiency	(Under)/Over Achievement	Efficiency Open/Closed (O/C)	Confidence in Achievement of Efficiency - Based on (see below) R = High Assumption A = Medium Assumption G = Figures Confirmed
Portfolio		2020/21 £m	2020/21 £m	2020/21 £m		
Corporate						
Employer Pension Contributions	Reduced requirement due to recovery	Rachel Parry Jones	0.800	0.800	0.000	C G
Actuarial Review	Reduced contribution rate	All	2.646	2.646	0.000	C G
Single Person Discount Review	One Off Efficiency	David Barnes	0.300	0.300	0.000	O G
Total Corporate Services			3.746	3.746	0.000	
Social Services						
Reviewing Function	Reduction of Post	Neil Ayling	0.025	0.264	0.239	O G
Supported Living	Reduction of Voids	Neil Ayling	0.025	0.005	(0.020)	O G
Communications	Reduction in Mobile Hardware	Neil Ayling	0.030	0.020	(0.010)	O G
Vacancy Management Saving	Appropriate Vacancy Management	Neil Ayling	0.030	0.025	(0.005)	O G
Strategic Use of Grant Funding	Core Funding Replacement Solution	Neil Ayling	0.100	0.170	0.070	O G
Regional Collaboration Wrexham CBC	Reduction in Posts	Neil Ayling	0.030	0.010	(0.020)	O G
Additional Social Services Grant	Social Services Grant	Neil Ayling	0.426	0.000	(0.426)	O G
Total Social Services			0.666	0.494	(0.172)	
Education & Youth						
Integrated Youth Provision	Youth Centres - Premises	Claire Homard	0.014	0.014	0.000	O G
Total Education & Youth			0.014	0.014	0.000	
Streetscene & Transportation						
Discretionary Transport Review - Post 16 Transport	Joint with Education	Steve O Jones	0.449	0.402	(0.047)	O R
Income from External Works		Steve O Jones	0.010	0.010	0.000	O G
Garden Waste Charges	Additional take up of service	Steve O Jones	0.030	0.030	0.000	O G
NWRP Gate Fee Benefit	Utilisation of WG Grant funding	Steve O Jones	0.200	0.200	0.000	O A
Total Streetscene & Transportation			0.689	0.642	(0.047)	
Planning, Environment & Economy						
Countryside	Additional Tree Income	Tom Woodall	0.010	0.010	0.000	O G
Countryside	Review of Spending	Tom Woodall	0.017	0.017	0.000	O G
Review of Pest Control	Trading Standards Investigations and Community Safety	Sian Jones	0.035	0.035	0.000	O G
Development Management	Increased Planning Fee Income	Mandy Lewis	0.015	0.015	0.000	O G
Minerals & Waste	Adoption of new SLA with Partners	Gary Nancarrow	0.005	0.000	(0.005)	O G
Portfolio Admin	Supplies and Services Review	Lynne Fensome	0.005	0.005	0.000	O G
Regeneration	Bus Dev, Housing and Markets	Niall Waller	0.004	0.004	0.000	O G
Total Planning, Environment & Economy			0.091	0.086	(0.005)	
Total 2020/21 Budget Efficiencies			5.206	4.982	(0.224)	

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	%	£
Total 2020/21 Budget Efficiencies	100	5.206
Total Projected 2020/21 Budget Efficiencies Underachieved	-4	(0.224)
Total Projected 2020/21 Budget Efficiencies Achieved	96	4.982
Total 2020/21 Budget Efficiencies (Less Previously agreed Decisions)	100	0.000
Total Projected 2020/21 Budget Efficiencies Underachieved	0	0.000
Total Projected 2020/21 Budget Efficiencies Achieved	0	0.000

Movements on Council Fund Unearmarked Reserves

	£m	£m
Total Reserves as at 1 April 2020	11.025	
Less - Base Level	(5.769)	
Total Reserves above base level available for delegation to Cabinet		5.256
Less - allocation for ongoing resourcing of the Victim Contact Team		
Less - amount approved for Childrens Services ' Front Door Pressures'		(0.134)
Less - COVID-19 Emergency Funding Allocation*		(2.886)
*Month 5 projected outturn of £0.921m will be funded from this		
Less - projected national pay award increase		0.818
Total Contingency Reserve available for use		1.418

Service	Revised Budget (£m)	Projected Outturn (£m)	Variance (£m)	Last Month Variance (£m)	Cause of Major Variance	Action Required
Housing Revenue Account						
Income	-36.683	-36.479	0.204	0.190	There is a pressure forecast of £0.204m. Of this £0.118m relates to loss of income on properties which are not tenanted as we are running at 2.03% void rate compared to 1.75% in the Business Plan. £0.065m relates to garages, £0.066m relates to void water charges. Additional rental income is projected of £0.064m. The remaining £0.009m is attributed to Minor Variances	
Capital Financing - Loan Charges	9.027	9.027	0.000	0.000		
Estate Management	1.861	1.765	-0.096	-0.022	Additional expenditure of £0.058m is anticipated during the year in respect of the purchase of software. This is offset by salary efficiencies arising from vacancy savings and the pay award of £0.132m. The remaining £0.022 is minor variances	
Landlord Service Costs	1.434	1.482	0.049	0.009	There is a projected pressure of £0.049k of which £0.036k relates to forecast material spend, this is offset by savings in HRM. £0.013k are minor variances.	
Repairs & Maintenance	8.907	8.427	-0.481	-0.440	Reduction in Materials for Responsive and Voids expenditure due to Covid restrictions (£0.221m). Reduced projection of Responsive sub contractor spend on basis of Covid restrictions (£0.138m). Staffing Vacancy savings (£0.109m). Overall staffing saving (£0.089m). Increased Fleet projection based on Q1 charges £0.050m. Minor variances £0.026m.	
Management & Support Services	2.515	2.475	-0.040	-0.032	Efficiency projected of £0.040m of this £0.020m relates to salary savings. £0.016m relates to underspend on training due to Covid restrictions, and £0.04m to minor variances	
Capital Expenditure From Revenue (CERA)	12.928	12.928	0.000	0.000		
HRA Projects	-0.153	-0.153	0.000	0.000		
Contribution To / (From) Reserves	0.164	0.164	0.000	0.000		
Total Housing Revenue Account	0.000	-0.364	-0.364	-0.295		

Mae'r dudalen hon yn wag yn bwrpasol

Eitem ar gyfer y Rhaglen 6



CORPORATE RESOURCES OVERVIEW & SCRUTINY COMMITTEE

Date of Meeting	Thursday 15 th October 2020
Report Subject	Action Tracking
Cabinet Member	Not applicable
Report Author	Head of Democratic Services
Type of Report	Operational

EXECUTIVE SUMMARY

The report shows the action points from previous meetings of the Corporate Resources Overview & Scrutiny Committee and the progress made in completing them. The majority of the requested actions have been completed. Any outstanding will be reported back to the next monthly meeting.

RECOMMENDATIONS

1	That the committee notes the progress which has been made.
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REPORT DETAILS

1.00	EXPLAINING THE ACTION TRACKING REPORT
1.01	In previous meetings, requests for information, reports or actions have been made. These have been summarised as action points. Following the meeting of the committee in July 2018, it was recognised that there was a need to formalise such reporting back, as 'Matters Arising' is not an item which can feature on an agenda.

1.02	<p>This paper summarises those points and where appropriate provides an update on the actions resulting from them.</p> <p>The Action Tracking details are attached in appendix A.</p>
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2.00	RESOURCE IMPLICATIONS
2.01	The creation of the Action Tracking report increases work flow but should provide greater understanding and efficiency.

3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	In some cases, action owners have been contacted to provide an update on their actions.

4.00	RISK MANAGEMENT
4.01	Not applicable.

5.00	APPENDICES
5.01	Appendix A – CRO&SC Action Points

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	<p>Minutes of previous meetings of the committee as identified in the report.</p> <p>Contact Officer: Robert Robins, Head of Democratic Services Telephone: 01352 702320 E-mail: robert.robins@flintshire.gov.uk</p>

7.00	GLOSSARY OF TERMS
7.01	None.

Action Tracking Appendix for October 2020 CRO&SC

Tudalen 59

Meeting	Agenda item	Action Required	Action Officer(s)	Action taken	Timescale
11.04.19	5. Forward Work Programme	4. To discuss with OSC Chairs the approach to scrutinising decisions on NWEAB Reserved Matters at a later stage.	Robert Robins	An all members workshop , which the Regional Director will attend is being organised	Two sessions held: 01/10/20
11.07.19	4. Action Tracking	Welsh Local Government Association (WLGA) representatives to be invited to a meeting in September 2019.	Chief Executive/ Robert Robins	Discussion with WLGA	In due course
14.11.19	8. Capital Programme 2020/21 – 2022/23	6. That a seminar on capital financing be organised for the early part of 2020	Neal Cockerton/ Robert Robins	Suitable 'slot' being sought later in the year.	In due course
13.02.20	Employment & Workforce quarterly Update	1. For future reports, provide data for previous quarter and the equivalent quarter for the preceding year as context and on particular trends in services causing concerns. 2. New Appraisal format to the May meeting. 3. Check Cllr R B Jones' query on 3.35 days lost per FTE (questioned whether it was 3.15?)	Sharon Carney /Andrew Adams	Responses: 1. Response: Noted. Will provide data as required for future reports. 2. Noted. 3. It is assumed that the 3.15 is that reported in the 'Council Plan Q3 update' 3.15 is the total days lost per FTE for the period (Q3) which includes Schools and Non-Schools. The dashboard in the 'Employment and Workforce Quarterly Update' provides days lost per FTE for Schools and Non-School employees separately. Totals as follows: Schools – 2.77 days lost per FTE Non Schools – 3.35 days lost per FTE Schools and Non Schools combined – 3.15 days lost per FTE.	Included within future reports

Mae'r dudalen hon yn wag yn bwrpasol

Eitem ar gyfer y Rhaglen 7



CORPORATE RESOURCES OVERVIEW & SCRUTINY COMMITTEE

Date of Meeting	Thursday 15 th October 2020
Report Subject	Forward Work Programme
Cabinet Member	Not applicable
Report Author	Head of Democratic Services
Type of Report	Operational

EXECUTIVE SUMMARY

Overview & Scrutiny presents a unique opportunity for Members to determine the Forward Work programme of the Committee of which they are Members. By reviewing and prioritising the Forward Work Programme Members are able to ensure it is Member-led and includes the right issues. A copy of the Forward Work Programme is attached at Appendix 1 for Members' consideration which has been updated following the last meeting.

The Committee is asked to consider, and amend where necessary, the Forward Work Programme for the Corporate Resources Overview & Scrutiny Committee.

RECOMMENDATION

1	That the Committee considers the draft Forward Work Programme and approve/amend as necessary.
2	That the Head of Democratic Services, in consultation with the Chair of the Committee be authorised to vary the Forward Work Programme between meetings, as the need arises.

REPORT DETAILS

1.00	EXPLAINING THE FORWARD WORK PROGRAMME
1.01	Items feed into a Committee's Forward Work Programme from a number of sources. Members can suggest topics for review by Overview & Scrutiny Committees, members of the public can suggest topics, items can be referred by the Cabinet for consultation purposes, or by County Council or Chief Officers. Other possible items are identified from the Cabinet Work Programme and the Improvement Plan.
1.02	<p>In identifying topics for future consideration, it is useful for a 'test of significance' to be applied. This can be achieved by asking a range of questions as follows:</p> <ol style="list-style-type: none">1. Will the review contribute to the Council's priorities and/or objectives?2. Is it an area of major change or risk?3. Are there issues of concern in performance?4. Is there new Government guidance of legislation?5. Is it prompted by the work carried out by Regulators/Internal Audit?6. Is the issue of public or Member concern?
2.00	RESOURCE IMPLICATIONS
2.01	None as a result of this report.
3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	Publication of this report constitutes consultation.
4.00	RISK MANAGEMENT
4.01	None as a result of this report.
5.00	APPENDICES
5.01	Appendix 1 – Draft Forward Work Programme
6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	<p>None.</p> <p>Contact Officer: Robert Robins Head of Democratic Services</p> <p>Telephone: 01352 702320</p> <p>E-mail: robert.robins@flintshire.gov.uk</p>

7.00	GLOSSARY OF TERMS
7.01	Improvement Plan: the document which sets out the annual priorities of the Council. It is a requirement of the Local Government (Wales) Measure 2009 to set Improvement Objectives and publish an Improvement Plan.

Mae'r dudalen hon yn wag yn bwrpasol

Corporate Resources Overview & Scrutiny Committee Forward Work Programme 2020/21

DATE	ISSUE	O&S FOCUS / PURPOSE	REPORT(S) FROM
Thursday 15 th October 2020 10.00	Emergency situation Briefing (Verbal)	Information and assurance	Chief Executive
	Risk Register	Monitoring and assurance on particular risks	Chief Executive , Gareth Owens Gary Ferguson Sharon Carney
	Action tracking Forward work programme	Progress chasing Approval	Robert Robins
	Revenue Budget Monitoring (Month 5)	Monitoring	Dave Ledsham
12 nd November 11.00	Special Meeting of the Committee to initiate budget consultation	Consultation	Chief Executive and Gary Ferguson
Thursday 12 th November 2020 10.00	Emergency Situation Briefing (Verbal)	Information and assurance	Chief Executive
	Risk Register	Monitoring and assurance on particular risks	Chief Executive , Gareth Owens Gary Ferguson Sharon Carney
	Action tracking Forward work programme	Progress chasing Approval	Robert Robins
	Budget	Completion of the O&S consultation	

Tudalen 65

Corporate Resources Overview & Scrutiny Committee Forward Work Programme 2020/21

Tudalen 66	Economic Ambition Board update	Monitoring	Chief Executive Gareth Owens Andrew Farrow	
	Mid- year Performance Indicators for Recovery, Portfolio and Public Accountability Measures	Monitoring	Jay Davies	
	Revenue Budget Monitoring (Month 6)	Monitoring	Dave Ledsham	
	Public Services Ombudsman for Wales Annual Letter 2019-20 and Complaints against Flintshire County Council 2020-21	Monitoring	Rebecca Jones	
	Pension Fund update	Monitoring	Phil Latham	
	Thursday 10 th December 2020 10.00	Emergency Situation Briefing (Verbal)	Information and assurance	Chief Executive
	Risk Register	Monitoring and assurance on particular risks	Chief Executive , Gareth Owens Gary Ferguson Sharon Carney	
	Action tracking Forward work programme	Progress chasing Approval	Robert Robins	
	Council Plan	Monitoring and assurance	Chief Executive & Jay Davies	
	Revenue Budget Monitoring (Month 7)	Monitoring	Dave Ledsham	
Employment & Workforce update to include Absence trends and analysis for Quarters 1 & 2	Monitoring	Sharon Carney and Andrew Adams		

Corporate Resources Overview & Scrutiny Committee Forward Work Programme 2020/21

Tudalen 67	Thursday 14 th January 2021 10.00	Emergency Situation Briefing (Verbal)	Information and assurance	Chief Executive
		Risk Register	Monitoring and assurance on particular risks	Chief Executive , Gareth Owens Gary Ferguson Sharon Carney
		Action tracking Forward work programme	Progress chasing Approval	Robert Robins
		Community Safety Partnership Annual Report	Monitoring & Assurance	Sian Jones
		Revenue Budget Monitoring (Month 7)	Monitoring	Dave Ledsham
	Thursday 11 th February 2021 10.00	Emergency Situation Briefing (Verbal)	Information and assurance	Chief Executive
		Risk Register	Monitoring and assurance on particular risks	Chief Executive , Gareth Owens Gary Ferguson Sharon Carney
		Monthly Revenue Budget Monitoring 2020/21 (Month 9)	Monitoring	Dave Ledsham
	Thursday 11 th March 2021 10.00	Emergency Situation Briefing (Verbal)	Information and assurance	Chief Executive
		Risk Register	Monitoring and assurance on particular risks	Chief Executive , Gareth Owens Gary Ferguson Sharon Carney
	Action tracking Forward Work programme	Progress chasing Approval	Robert Robins	

Corporate Resources Overview & Scrutiny Committee Forward Work Programme 2020/21

	Monthly Revenue Budget Monitoring 2020/21 (Month 10)	Monitoring	Dave Ledsham
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Item to be allocated

- North Wales Councils Regional Emergency Planning Service,
- North Wales Fire & Rescue authority – annual consultation
- Alignment of risks identified from the Annual Governance Statement

Tudalen 68