

# Pecyn Dogfen Gyhoeddus

**Gareth Owens LL.B Barrister/Bargyfreithiwr**  
Chief Officer (Governance)  
Prif Swyddog (Llywodraethu)



Swyddog Cyswllt:  
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At: Cyng Richard Jones (Cadeirydd)

Y Cynghorwyr: Mike Allport, Marion Bateman, Helen Brown, Clive Carver,  
Geoff Collett, Paul Cunningham, David Healey, Patrick Heesom, Joe Johnson,  
Hilary McGuill, Vicky Perfect a Kevin Rush

25 Chwefror 2022

Annwyl Gynghorydd,

**RHYBUDD O GYFARFOD ANGHYSBELL**  
**PWYLLGOR ADFER**  
**DYDD IAU, 3YDD MAWRTH, 2022 10.00 AM**

Yn gywir

Steven Goodrum  
Rheolwr Gwasanaethau Democraidd

Sylwch: Bydd hwn yn gyfarfod dros y we a bydd 'presenoldeb' wedi'i gyfyngu i Aelodau'r Pwyllgor a'r Aelodau hynny o'r Cyngor sydd wedi gofyn i Bennaeth y Gwasanaethau Democraidd am wahoddiad. Y Cadeirydd fydd yn penderfynu a yw'r rhain yn cael siarad ai peidio.

Bydd y cyfarfod yn cael ei ffrydio'n fyw ar wefan y Cyngor. Bydd recordiad o'r cyfarfod ar gael yn fuan ar ôl y cyfarfod ar <https://flintshire.publici.tv/core/portal/home>

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 COFNODION (Tudalennau 5 - 14)

**Pwrpas:** I gadarnhau, fel cofnod cywir gofnodion y cyfarfod ar 6 Ionawr 2022.

### 4 UCHELGAIS GOGLEDD CYMRU

**Pwrpas:** Deall a mynd i'r afael ag anghenion sgiliau'r rhanbarth yn y dyfodol.

### 5 AMCANION ADFERIAD CORFFORAETHOL (Tudalennau 15 - 22)

**Pwrpas:** Nodi cynnydd sydd wedi'i wneud yn erbyn yr Amcanion Adferiad Corfforaethol.

### 6 PROFFIL RISG ADFERIAD CORFFORAETHOL (Tudalennau 23 - 46)

**Pwrpas:** Adolygu'r Gofrestr Risg ddiweddaraf ar gyfer Adferiad Corfforaethol.

### 7 DATGANIAD O'R SEFYLLFA O RAN RISGIAU AR GYFER POB PORTFFOLIO (Tudalennau 47 - 82)

**Pwrpas:** Galluogi adolygiad o'r cynnydd a wnaed yn erbyn risgiau portffolio ers yr adroddiad cyntaf i'r Pwyllgor ym mis Mehefin 2021.

### 8 DIWEDDARIAD ADFERIAD CYMUNEDOL (AR LAFAR/CYFLWYNIAD)

**Pwrpas:** Derbyn y wybodaeth ddiweddaraf ar Adferiad Cymunedol gan gynnwys camau blaenoriaeth y Bwrdd Gwasanaeth Cyhoeddus ar y cyd o ran adferiad.

**Sylwch, efallai y bydd egwyl o 10 munud os yw'r cyfarfod yn para'n hirach na dwy awr.**

## **Nodyn Gweithdrefnol ar redeg cyfarfodydd**

Bydd y Cadeirydd yn agor y cyfarfodydd ac yn cyflwyno eu hunain.

Bydd nifer o Gynghorwyr yn mynychu cyfarfodydd. Bydd swyddogion hefyd yn mynychu cyfarfodydd i gyflwyno adroddiadau, gyda swyddogion Gwasanaethau Democrataidd yn trefnu a chynnal y cyfarfodydd.

Gofynnir i bawb sy'n mynychu i sicrhau bod eu ffonau symudol wedi diffodd a bod unrhyw sain gefndirol yn cael ei gadw mor dawel â phosib.

Dylai'r holl feicroffonau gael eu rhoi "ar miwt" yn ystod y cyfarfod a dim ond pan fyddwch yn cael eich gwahodd i siarad gan y Cadeirydd y dylid eu rhoi ymlaen. Pan fydd gwahoddedigion wedi gorffen siarad dylen nhw roi eu hunain yn ôl "ar miwt".

Er mwyn mynegi eu bod nhw eisiau siarad bydd Cynghorwyr yn defnyddio'r cyfleuster 'chat' neu yn defnyddio'r swyddogaeth 'raise hand' sy'n dangos eicon codi llaw electronig. Mae'r swyddogaeth 'chat' hefyd yn gallu cael ei ddefnyddio i ofyn cwestiynau, i wneud sylwadau perthnasol ac yn gyfle i'r swyddog gynghori neu ddiweddarau'r cynghorwyr.

Bydd y Cadeirydd yn galw ar y siaradwyr, gan gyfeirio at aelod etholedig fel 'Cynghorydd' a swyddogion yn ôl eu teitl swydd h.y. Prif Weithredwr neu enw. O bryd i'w gilydd mae'r swyddog sy'n cynghori'r Cadeirydd yn egluro pwyntiau gweithdrefnol neu'n awgrymu geiriad arall ar gyfer cynigion er mwyn cynorthwyo'r Pwyllgor.

Os, a phan y cynhelir pleidlais, mi fydd y Cadeirydd yn egluro mai dim ond y rheiny sy'n gwrthwynebu'r cynnig/cynigion, neu sy'n dymuno ymatal a fydd angen mynegi hynny drwy ddefnyddio'r swyddogaeth 'chat'. Bydd y swyddog sy'n cynghori'r Cadeirydd yn mynegi os bydd y cynigion yn cael eu derbyn.

Os oes angen pleidlais fwy ffurfiol, bydd hynny yn ôl galwad enwau – lle gofynnir i bob Cynghorydd yn ei dro (yn nhrefn yr wyddor) sut mae ef / hi yn dymuno pleidleisio.

Yng nghyfarfodydd Pwyllgorau Cynllunio a Chyngor Sir mae amseroedd siaradwyr yn gyfyngedig. Bydd cloch yn cael ei chanu i roi gwybod i'r siaradwyr bod ganddyn nhw funud ar ôl.

Bydd y cyfarfod yn cael ei ffrydio'n fyw ar wefan y Cyngor. Bydd recordiad o'r cyfarfod ar gael yn fuan ar ôl y cyfarfod ar <https://flintshire.publici.tv/core/portal/home>

Mae'r dudalen hon yn wag yn bwrpasol

# Eitem ar gyfer y Rhaglen 3

## **RECOVERY COMMITTEE** **6 JANUARY 2022**

Minutes of the meeting of the Recovery Committee of Flintshire County Council held remotely on Thursday, 6 January 2022

### **PRESENT: Councillor Richard Jones (Chairman)**

Councillors: Mike Allport, Marion Bateman, Clive Carver, Geoff Collett, David Healey, Patrick Heesom, Joe Johnson, Hilary McGuill and Kevin Rush

**SUBSTITUTE:** Councillor: Martin White (for Vicky Perfect)

**APOLOGIES:** Councillor Billy Mullin - Deputy Leader (Governance) and Cabinet Member for Corporate Management and Assets, Councillor Paul Cunningham and Corporate Manager (People and Organisational Development)

### **IN ATTENDANCE:**

Councillor Ian Roberts - Leader of the Council and Cabinet Member for Education, Councillor Christine Jones - Deputy Leader (Partnerships) and Cabinet Member for Social Services, Councillor Derek Butler - Cabinet Member for Economic Development, Councillor Paul Johnson - Cabinet Member for Finance, Social Value and Procurement, Chief Executive, Chief Officer (Governance), Chief Officer (Planning, Environment & Economy), Chief Officer (Streetscene & Transportation), Chief Officer (Education and Youth), Corporate Finance Manager, Senior Manager - Children, Service Manager - Enterprise and Regeneration, Strategic Performance Advisor, Community and Education Overview & Scrutiny Facilitator and Democratic Services Officer

## **51. DECLARATIONS OF INTEREST**

None.

## **52. MINUTES**

The minutes of the meeting held on 4 November 2021 were approved, as moved and seconded by Councillors Joe Johnson and Marion Bateman.

### **RESOLVED:**

That the minutes be approved as a correct record.

## **53. CORPORATE RECOVERY OBJECTIVES**

The Chief Executive introduced the update on progress with the corporate objectives in this second phase of recovery from the Covid-19 pandemic where the Omicron variant was starting to impact on services. Whilst the report focussed on recovery, its future emphasis was likely to be substantially impacted by the need to implement response actions throughout January and February 2022.

The overall recovery aims of the Council were as agreed previously and senior officers provided an update on each of the corporate recovery objectives within their areas of responsibility, as set out in the report.

## **Finance**

The Corporate Finance Manager advised that a report on the implications of the Welsh Local Government Provisional Settlement would be considered by the Corporate Resources Overview & Scrutiny Committee prior to Cabinet submitting detailed budget proposals to Council in February. Despite the positive Settlement, an increase in the additional budget requirement would be required to meet the impacts of pay awards and the Real Living Wage along with continued extra costs and lost income arising from the pandemic following the cessation of the Welsh Government (WG) Hardship Fund at the end of this financial year. Maintaining levels of reserves would be a key consideration of budget setting for 2022/23 and for the Medium Term Financial Strategy.

Councillor David Healey asked whether WG had agreed to fund national decisions such as the proposed uplift in teachers' pay. The Corporate Finance Manager confirmed that WG had been clear in advising that the impact of all pay awards would need to be met in full from within the Settlement. Councillor Ian Roberts said that recommendations had been submitted to the Minister by an independent pay review body and that the position would be carefully monitored in discussion with the Welsh Local Government Association (WLGA).

Following questions by Councillor Marion Bateman and the Chairman, the Corporate Finance Manager said that the £20.696m additional budget requirement reported in December was being reviewed in order to share an update.

## **Workforce**

The Chief Executive spoke about the impact of changing regulations and gave examples of measures introduced to continue to support and ensure the safety and well-being of the workforce, particularly in adapting to remote working. The development of a draft protocol to support the principles of hybrid working was likely to exceed the WG aspirational target for remote working. Whilst organisational redesign was heavily influenced by technical solutions, it was important to maximise flexibility to ensure that services continued to operate effectively.

The Chief Officer (Governance) acknowledged the challenges in working from home and gave assurance of flexibility to meet the needs of employees whilst ensuring their safety.

In thanking all staff, Councillor Ian Roberts paid particular tribute to those in Social Services, Streetscene, Housing and civic amenity sites for their work over the Christmas period. This was echoed by the Chairman and Councillor Christine Jones who paid tribute to teams within her portfolio.

The Chairman asked whether teachers and support staff were included in the flu vaccination programme. Later in the meeting, the Chief Officer (Education & Youth) was able to confirm that all school staff had been offered the flu vaccine and that she would remind Head Teachers at a forthcoming meeting.

### **Governance**

The Chief Officer (Governance) reported on improved recovery rates for Council Tax and National Non Domestic Rates which had been influenced by the pandemic and the extra workload of the Revenues team in distributing WG grants. Additional capacity to work with tenants had been agreed to help address the increase in rent arrears. The update also included progress with the ongoing expansion of digital means of service delivery.

In response to comments from the Chairman and Councillor Clive Carver, the Chief Officer provided clarification on the process for remote meetings which formed part of the multi-location policy due to be considered by the Council.

Information was shared with Councillor Hilary McGuill on the Winter Fuel Support Scheme which was being managed by the Benefits team. The Chief Executive also spoke about the Council's approach to managing its own energy costs and the element of support for businesses through the UK Government.

### **Service Recovery/Community Recovery/Regional Recovery**

The Chief Executive advised that business continuity plans had been refreshed and that priorities were now focussed on response to align with the current stage of the pandemic. A detailed report on economic recovery was included on a later agenda item. On regional recovery, the Recovery Co-ordinating Group had been reinstated to deal with the current situation and the Deeside Leisure Centre continued to be used as a vaccination centre.

In response to comments by the Chairman, the Chief Executive said that the response had been altered to reflect the Omicron variant. He also responded to Councillor Marion Bateman's point about the impact of a reduced period of isolation on the workforce and economy.

The recommendation was moved and seconded by the Chairman and Councillor Hilary McGuill.

### **RESOLVED:**

That the Committee is assured by progress in meeting the recovery objectives.

## **54. CORPORATE RECOVERY RISK PROFILE**

The Chief Executive presented an update on the Corporate Recovery Risk Register and Mitigations which demonstrated that risks continued to be managed well throughout the emergency situation.

The eight risks increasing in risk trend mainly related to staff absences and additional demand on services which reflected the current stage of the pandemic. Following the Chairman's comments on the availability of key workers and workforce turnover, the Chief Executive acknowledged the impact of the pandemic on individuals' life choices which was not unique to Flintshire. He made reference to the enhanced framework which had been put in place to support employees.

The Chairman proposed an additional recommendation that a communication be sent to all employees to express appreciation for their work across the organisation and the positive impact on delivery of public services. He was seconded by Councillor Hilary McGuill.

**RESOLVED:**

- (a) That the latest risk register and risk mitigation actions within the corporate portfolios be noted; and
- (b) That a communication be sent to all employees to thank them for their hard work during the pandemic and to outline how valuable their job is to ensure public services are maintained.

**55. RISKS AND ISSUES WITHIN PORTFOLIOS AND FEEDBACK FROM OVERVIEW & SCRUTINY**

The Chief Executive introduced the update on progress with areas of risk for each of the five service portfolios and feedback on those issues from Overview & Scrutiny Committees, as set out in the report.

**Education & Youth**

In summarising the main areas of risk, the Chief Officer (Education & Youth) provided on the approach to identify levels of school resilience in approaching the Christmas break and that the switch to remote learning - in consultation with Welsh Government (WG) - had been well received by Head Teachers and the majority of parents. There was an ongoing requirement for additional grant funding to provide necessary support to address the long term impact of the pandemic on pupils of all ages. A further high risk was the ability of schools to deal with challenges such as staff absences along with legislative changes and preparations for the rollout of the new curriculum. The WG position on school examinations was being closely monitored. Preparations were underway for schools to undertake risk assessments in readiness for re-opening in January. An update on the position of all schools would be shared with all Members once the data had been collated later in the day.

Councillor David Healey thanked the Chief Officer and her team for their support to schools and Head Teachers. In response to a question on improving ventilation in schools, she said that additional funding from WG would enable the Council to assess where remedial work should be prioritised.



Following comments by the Chairman, the Chief Officer said that the rising number of children being home educated and its effects on the Local Authority's responsibilities had been discussed by the Education & Youth Overview & Scrutiny Committee. On the challenges in sourcing supply staff which had increased nationwide during the pandemic, she would pass on the suggestion for WG to contact those organisations to reiterate their value to service delivery.

### **Housing and Assets**

The Chief Executive re-emphasised the impact of the pandemic on rental income and the support available to tenants experiencing difficulty who were willing to engage with the Council. The position on homelessness presentations continued to be monitored and additional funding from WG would help to increase staff capacity and other commissioned support services. Ongoing risks with raw material resources and costs were reflected nationally.

### **Planning, Environment & Economy**

The Chief Officer (Planning, Environment & Economy) reported that team resilience had benefitted from a successful recruitment campaign, with the exception of an unfilled vacancy within the Drainage and Flood Protection team. On the Local Development Plan, a response was expected from the Planning Inspectorate prior to the next stage of consulting on the changes.

### **Social Services**

The Senior Manager - Children said that the main areas of service demand were due to pressures on the three local hospitals and that child protection work had increased significantly as a result of national cases raising awareness. He explained the approach to prioritising Children's Services work on a case by case basis and gave assurance that safeguarding services were being maintained, albeit with a short-term impact on good practice models. Options were being explored to increase capacity and redeploy staff to support areas under pressure.

The Chairman asked what could be done about the lack of wraparound social care and its impact on hospital discharges, which was a national problem. As with other portfolios, the Senior Manager said that some individuals had chosen to leave services to pursue alternative employment opportunities during the pandemic. A working group set up with Human Resources would look at recruitment and retention across the organisation to increase capacity and identify long-term solutions.

The Chairman said that workforce retention was clearly a shared risk across portfolios. In response to comments, the Senior Manager acknowledged that demand on Social Services was becoming more challenging and that the virus of concern would be closely monitored over the coming weeks.

In response to remarks by Councillor Hilary McGuill, the Senior Manager said that career progression opportunities were a key part of the recruitment campaign in social care. He acknowledged safeguarding concerns about the

increased number of children who were educated at home or absent from school due to Covid, as did the Chief Officer (Education & Youth) who gave assurance of close working between Education and Social Services colleagues on a regular basis and through the Corporate Safeguarding Panel.

Councillor Christine Jones commented on the effectiveness of the panel and she shared concerns about the lack of legislation on elective home education.

The Facilitator advised that a letter highlighting the same concerns raised by the Education, Youth & Culture Overview & Scrutiny Committee had been sent to WG and that the response would be circulated to all Members.

The Chief Executive said that safeguarding was a shared responsibility across portfolios supported by training sessions.

In praising the work of Social Services teams, Councillor Marion Bateman asked about the number of Flintshire patients currently awaiting care packages to enable them to be discharged from hospital. The Senior Manager gave assurance that teams were working proactively to address the situation as much as possible, although numbers were increasing. He would seek an update on the current position from Susie Lunt.

### **Streetscene and Transportation**

The Chief Officer (Streetscene & Transportation) provided an update on sickness absence figures which had increased since publication of the report and the impact of legislative changes on Covid testing and self-certification rules. Recruitment issues were again a factor for some areas including HGV drivers. It was pleasing to note that waste collection and recycling sites had run smoothly over the Christmas period following deployment of staff and use of agency workers. Contractor staffing issues had resulted in some disruption to the supply chain and delays with gaining regulatory approval were affecting some schemes.

The Chairman asked about the potential risk to grant funding and was informed that meetings with WG were ongoing to ascertain the position.

In thanking all the senior officers for their informative updates, the Chairman moved the recommendation and was seconded by Councillor Marion Bateman.

### **RESOLVED:**

That the progress of the highlighted areas of risk within all five portfolios identified at earlier meetings of this Committee be noted.

## **56. FLINTSHIRE ECONOMY UPDATE**

The Chief Officer (Planning, Environment & Economy) introduced a report on current economic conditions in Flintshire and across the region, set in the context of the UK position. The report also summarised the governance structures in place to respond to economic recovery and work programmes.

The Service Manager - Enterprise and Regeneration explained that the report reflected the current transitional phase and reinforced Flintshire's position as one of the strongest economies in Wales. Although there had been fewer large-scale redundancies than predicted, the challenges in recruitment and retention had escalated throughout the pandemic. Two significant issues were lack of suitable sites and premises for investment and recruiting to key sectors. The regional work to support economic recovery was noted including the packages of support measures developed and awaiting funding decisions. The local group would ensure the effective co-ordination of workstreams to deliver the best impact for Flintshire. During an overview of the key schemes, it was noted that work was progressing to improve data on town centres and the outcome of the Welsh Government (WG) pilot on Town Centre Entrepreneurship Loans was awaited.

Thanking officers for the detailed report. Councillor David Healey called for the Government to provide greater incentives for businesses to take on apprentices. The Service Manager spoke about work locally and regionally to improve the flow of information to encourage learners and that as a result of the pandemic, many businesses were opening up to apprenticeship opportunities.

In response to comments from Councillor Clive Carver about the extent of digital improvements across the County including his ward, the Service Manager referred to workstreams under the Digital Strategy and the North Wales Growth Deal and would discuss further outside the meeting Councillor Carver's concerns.

Councillor Derek Butler welcomed the report in highlighting the robust economy in Flintshire and identifying issues for further improvement. He said that skill shortages and recruitment challenges were evident before the pandemic and Brexit, and that the Council should continue to make representations to WG to increase apprenticeship opportunities.

Councillors Hilary McGuill and Marion Bateman both commented that the lack of available commercial units did not encourage business expansion. In response to a question, the Service Manager provided clarification on the allocation of the latest round of grant funding to businesses and would check if there were new funding incentives to encourage employers to take on apprentices.

Councillor Derek Butler paid tribute to the work of the Service Manager and Revenues Manager and their teams in managing grant funding for businesses. He agreed with concerns about the lack of industrial units and suggested that the Council may wish to consider a build programme to meet demand.

On industrial units, the Chief Officer (Planning, Environment & Economy) clarified the Council's role in respect of land availability and gave examples of applications at various sites. He referred Members to the forthcoming Environment & Economy Overview & Scrutiny Committee report on the proposed approach to bid for UK Government Levelling Up funding to increase investment in the commercial property estate.

Whilst welcoming the report, the Chairman said that it did not fully address town centres and that information on workstreams should include a timetable to monitor progress. The Chief Officer (Planning, Environment & Economy) advised that the appointment of a town centre officer would support this work.

In response to a suggestion by the Chairman on engaging with schools to address the skills shortage, officers confirmed that the matter had been identified as a strategic risk and was a priority of the Economic Ambition Board (EAB) in addition to local workstreams.

Following debate on the best approach, the Facilitator suggested that a letter be sent to the EAB to establish their plans to engage with the education sector and to express the views of the Committee, which was welcomed by the Chairman.

The Chief Executive made a further suggestion that a representative of the EAB be invited to provide information to the Committee on promoting skills with the education sector. He would liaise with the Chief Officer and Facilitator on this. The Chairman moved the additional recommendation and was seconded by Councillor Joe Johnson.

**RESOLVED:**

- (a) That the contents and conclusions of the report be supported; and
- (b) That a letter be sent to the Economic Ambition Board to invite a representative to the 3<sup>rd</sup> March Committee meeting to outline future plans/work streams with the education sector to promote the educational/work opportunities across North Wales.

**57. COMMUNITY RECOVERY UPDATE**

The Chief Officer (Planning, Environment & Economy) gave an overview of the presentation slides previously shared with the Committee on the work of the Joint Public Services Board (PSB) and progress on the four priorities:

- Mental health
- Improving our environment
- Children and young people
- Poverty and inclusion

A further update would be provided at the next meeting of the Committee.

On that basis, the report was moved and seconded by Councillors Patrick Heesom and Joe Johnson.

**RESOLVED:**

That the presentation be noted.

**58. FORWARD WORK PROGRAMME**

As the February meeting was a provisional date set aside for any urgent business, the items agreed for the next scheduled meeting on 3 March 2022 were:

- Corporate Recovery Objectives
- Corporate Recovery Risk Profile
- Updated position statement on risks for each portfolio
- Community Recovery update
- The requested item on North Wales Economic Ambition Board, depending on the availability of those representatives

This was moved and seconded by Councillors Patrick Heesom and Marion Bateman.

**RESOLVED:**

- (a) That, subject to the need for any urgent business to be considered, the February meeting be cancelled; and
- (b) That the items suggested for the March meeting be supported.

**59. ATTENDANCE BY MEMBERS OF THE PRESS**

None.

The meeting commenced at 10am and ended at 1.10pm

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**Chairman**

Mae'r dudalen hon yn wag yn bwrpasol

# Eitem ar gyfer y Rhaglen 5



## RECOVERY COMMITTEE

<b>Date of Meeting</b>	Thursday 3 <sup>rd</sup> March 2022
<b>Report Subject</b>	Corporate Recovery Objectives
<b>Cabinet Member</b>	Collective Cabinet
<b>Report Author</b>	Chief Executive
<b>Type of Report</b>	Strategic

### EXECUTIVE SUMMARY

Wales, and the North Wales region is currently in a second period recovery from what was a further phase of infection created by the Omicron virus. As Wales starts to move cautiously out of a pandemic phase and the pandemic switches from pandemic to endemic, the work of recovery will require sustained and focussed activity within our communities to ensure that they are in a position of economic growth, strength and resilience.

This report currently provides an update on the corporate objectives adopted by the Council from a recovery perspective only.

### RECOMMENDATIONS

1	That the Committee is assured by progress in meeting the recovery objectives.
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## REPORT DETAILS

<b>1.00</b>	<b>RECOVERY STRATEGY AND GOVERNANCE</b>
1.01	Wales, and the North Wales region is currently in a second period recovery from what was a further phase of infection created by the Omicron virus. As Wales starts to move cautiously out of a pandemic phase and the pandemic switches from pandemic to endemic, the work of recovery will require sustained and focussed activity within our communities to ensure that they are in a position of economic growth, strength and resilience.
1.02	<p>The overall recovery aims of the organisation are:-</p> <p><b><u>Overall Organisational Recovery</u></b></p> <ol style="list-style-type: none"><li>1. To ensure the financial resilience and sustainability of the organisation in budget planning for 2022/23 and the medium-term;</li><li>2. To make a managed transition to a new operating model for working arrangements for the workforce;</li><li>3. To continue to protect the health and well-being of the workforce;</li><li>4. To continue to maintain good governance;</li><li>5. To restore public access to, and participation in, democratic meetings;</li><li>6. To continue to ensure organisational business continuity, and contingency planning for unforeseen developments with the pandemic’.</li></ol> <p>Updates on progress in meeting the corporate recovery objectives which underpin these aims are given below:</p> <p><b><u>Finance</u></b></p> <p><b>To ensure the financial sustainability of the organisation</b> We were able to successfully navigate our way through the last full financial year of the pandemic due in part to the assistance received from the Welsh Government Hardship Fund. Ensuring the overall financial sustainability of the Council is a key consideration in the ongoing work on the Medium Term Financial Strategy. Council on 15 February approved a balanced budget for the 2022/23 financial year.</p> <p><b>To continue to maximise national assistance from the hardship fund and other government funding</b> We are continuing to make monthly claims for additional costs and quarterly claims for income losses from the Welsh Government Hardship Fund. It has previously been confirmed that this funding will end at the end of the current financial year.</p> <p>The financial impacts of the claims will continue to be included in the monthly budget monitoring reports to Cabinet and Corporate Resources Overview and Scrutiny Committee. The approved budget for 2022/23 includes a contribution of £3.250m to the Council’s Emergency Reserve to</p>



safeguard against the continuation of additional costs and lost income arising from the pandemic where mitigations cannot be found.

**To continue to recover and restore income to target levels**

Income levels across most Council Services have returned to budgeted levels with the exception of car park income. It was previously confirmed that the Hardship Fund will continue to assist with any existing shortfalls in budgeted income in the current financial year. Portfolio Business Recovery Plans include income recovery considerations which have been made in conjunction with the annual uplift arising from the corporate fees and charges policy.

**To continue to recover and restore debt to target levels**

Income collection continues and we are actively engaging with tax-payers, tenants, customers and businesses to offer flexible arrangements. We are also taking steps to enforce payment against residents and businesses who have not paid nor engaged with the Council over several months.

**To maintain reserves and balances at levels that meet our needs**

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 has been a key consideration of the ongoing work on the Medium Term Financial Strategy and the setting of the Budget for 2022/23.

**Workforce**

**To ensure that the legal and ethical duties of the employer continue to be met in recovery**

We continue to navigate new legislation and provide guidance for complex situational questions, to tackle the short and long-term obstacles from ongoing impact of the pandemic e.g. working from home, self-isolation and long Covid. Key workers will be offered a flu vaccination again this year to ensure maximum protection. We will continue to provide revised guidance as the position changes.

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

The Council continues to review its policies and practices with a view to embedding new ways of working which achieves a range of benefits for both the organisation and our employees, including a better work-life balance, saved commuting time and costs, IT upskilling and increased levels of motivation whilst maintaining service levels.

**To agree and implement a new operating model and working arrangements which maximise the use of technology and digital workplace solutions**

We have implemented a number of digital and technological solutions to enable those who are able, to work remotely and maintain contact with service users. A draft hybrid working protocol is being reviewed to ensure it is fit for purpose as we move from pandemic to endemic and continues to support the principles of hybrid working (home/office). In recognition of Welsh Government's aspirational target for 30% of the Welsh workforce to work remotely, homeworking will continue to be the main option for

employees whose role allows it. The overriding objective of the protocol is to maximise flexibility which can be both effective and productive for both the Council and its employees, whilst promoting best practice in the management of hybrid working. We will regularly review our position to ensure that it is legally compliant and reflects best practice.

**To continue to review opportunities for organisational re-design based on the learning from the emergency response and recovery phases**

Changes in working practices and patterns of our front-line services, and the effectiveness of technological solutions in supporting home working 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 right to do so.

**Governance**

**To restore collection rates of Council Tax, NNDR, Sundry Debt and housing rents to target levels**

Recovery levels are still on target though below pre-pandemic levels. Housing rent arrears are still higher than last year, largely due to the impact on recovery of not being able to take court action for six months after issuing a Notice Seeking Possession.

**To complete the transition to a settled model for modern meetings**

We have a settled pattern of remote meetings that is reliable. Equipment has been installed in the council chamber for hybrid meetings but not tested. Testing and the necessary consequent revisions to process will hopefully be completed for the summer (assuming that infection levels/restrictions permit meeting in person).

**To restore accessibility to, and participation by, the public in member meetings**

This is now complete and the public have the same opportunity to participate in meetings as before the pandemic.

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

We continue to provide an increasing number of services via the website including and in particular to help with the pandemic. The funding from Welsh Government to help with the cost of council tax will be available on line for ease and speed of claiming.

**Service Recovery**

**To ensure the business continuity of all services**

All five service portfolios are still operating their recovery business plans. The plans have been reported to this Committee in sequence. A summary report on all five plans is included on this same agenda.

**To meet the specific recovery objectives for each portfolio as set out in their respective business recovery plans**

All five service portfolios are operating their recovery business plans effectively (see above).

**To plan the full recovery of services against any backlogs and temporarily reduced performance standards**

All five service portfolios are operating their recovery business plans effectively (see above).

**To ensure that contingency planning is in place should there be a return to a third phase of response**

We have resilient contingency planning arrangements in place. These can be drawn upon as necessary.

**Community Recovery**

**To protect the health and well-being of local communities**

Refer to the report made to the previous meetings of this Committee. There are no changes of significance to report.

**To support and protect the most vulnerable in society**

Refer to the report made to the previous meetings of this Committee. There are no changes of significance to report.

**To support the recovery of communities and build their resilience**

This work is coordinated at the sub-regional level by the combined Public Service Board (PSB) of Wrexham and Flintshire. The joint PSB have identified four themes as priorities:

- Mental Health
- Environment
- Poverty and Inequality
- Children and Young People

The Joint Public Service Board met on 7 October 2021 where commitment was made to continue to work together with Wrexham CBC to address these themes.

**To support the economic recovery of communities and local business sectors**

Refer to the report made to the previous meeting of this Committee. This report has also been shared with Environment and Economy Overview and Scrutiny Committee and Cabinet.

**Regional Recovery**

**To fully engage with the regional recovery strategy and as a member of the regional Recovery Co-ordinating Group**

The Council is a category one member of the regional Recovery Co-ordinating Group (RCG). We fully engage in both the development of the regional recovery strategy and the implementation of agreed strategy and plans at a local level.

**To effectively manage the local implementation of the regional *Prevention and Response strategy for the pandemic***

The regional Prevention and Response strategy – which covers containment of the virus through a number of plans and enforcement powers – was adopted by all partners including the Council and has

	<p>recently been revised. The Council implements the strategy, which includes Test, Trace and Protect and the Vaccination Programme, through our local partnership structures. Our local multi-agency Prevention and Surveillance Group oversees and directs all local activity. Work across all six county-level Prevention and Surveillance groups is coordinated by the six respective chairs.</p> <p><b>To effectively manage the local operation of the <i>Test, Trace and Protect</i> programme</b></p> <p>Flintshire is the lead local authority for this programme in partnership with the Health Board, and is the employing body for the tracing workforce for the whole region. The service is fully funded, with employees contracted to 30/03/2022 or 30/06/2022 at which time, unless advised otherwise, the service will cease to operate in its current form.</p> <p><b>To play a full part in the planning and delivery of partnership programmes e.g. the vaccination programme</b></p> <p>Flintshire continues to play a full part in the development and local implementation of all regional programmes. The Council is represented on the strategic group that has designed and oversees the vaccination programme which is delivered by the Health Board as the responsible executive agency. Deeside Leisure Centre will continue to be used as a vaccination centre until the end of March 2022.</p>
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<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
2.01	None specific

<b>3.00</b>	<b>CONSULTATIONS REQUIRED / CARRIED OUT</b>
3.01	Consultation on the second phase recovery strategy and governance arrangements has taken place with Chief Officers, the internal Emergency Management Response Team, Cabinet Members, and Group Leaders.

<b>4.00</b>	<b>RISK MANAGEMENT</b>
4.01	None specific.

<b>5.00</b>	<b>APPENDICES</b>
5.01	None.

<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	None.

<b>6.00</b>	<b>CONTACT OFFICER DETAILS</b>
6.01	<b>Contact Officer:</b> Neal Cockerton <b>Telephone:</b> 01352 702101 <b>E-mail:</b> <a href="mailto:chief.executive@flintshire.gov.uk">chief.executive@flintshire.gov.uk</a>
<b>7.00</b>	<b>GLOSSARY OF TERMS</b>
7.01	None.

Mae'r dudalen hon yn wag yn bwrpasol

# Eitem ar gyfer y Rhaglen 6



## RECOVERY COMMITTEE

<b>Date of Meeting</b>	Thursday 3 <sup>rd</sup> March, 2022
<b>Report Subject</b>	Corporate Recovery Risk Profile
<b>Cabinet Member</b>	Deputy Leader for Governance and Cabinet Member for Corporate Management and Assets
<b>Report Author</b>	Chief Executive
<b>Type of Report</b>	Strategic

### EXECUTIVE SUMMARY

This report provides the Committee with an update on the Corporate Recovery Risk Register and Mitigations (shown at Appendix 1 and 2).

Risks continue to be managed well as they have throughout the pandemic. We currently have 31% of risks rated green, 63% rated as amber and 2% as red.

We have a total of 35 risks that have previously been closed. 34 of these closed due to reaching target risk rating. 1 risk was closed due to duplication. We have 0 risks which are to be closed at this review.

### RECOMMENDATIONS

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

<b>1.00</b>	<b>EXPLAINING THE CORPORATE RECOVERY RISK PROFILE</b>
1.01	<p>Analysis of the current risk profile for the Corporate Recovery Risk Register shows the following current status of risks:</p> <ul style="list-style-type: none"><li>• 11 (31 %) have a green risk rating</li><li>• 22 (63 %) have an amber risk rating</li><li>• 2 (6%) have a red risk rating</li></ul> <p>Analysis of the current risk profile for the Corporate Recovery Risk Register shows the following current trend of risks:</p> <ul style="list-style-type: none"><li>• 0 (0%) has a green ↓ trend rating</li><li>• 35 (100%) have a no change ↔ rating</li><li>• 0 (0%) have a red ↑ trend rating</li></ul>
1.02	<p>The two risks which have a current risk rating of red are:</p> <p><b>CW10</b> - Impacts of the third wave in the pandemic on the continuous availability of key workers to operate services in a further response phase</p> <p><b>CW14</b> - Increase in workforce turnover due to employees making personal life choices and impact of volatility and change in the employment market which impacts on successful recruitment to vacancies.</p> <p>Mitigating actions and management comments for each of these can be found in appendix 2.</p>
1.03	<p>There are no risks to be closed at this review.</p>
<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
2.01	<p>There are no specific resource implications for this report.</p>
<b>3.00</b>	<b>RISK MANAGEMENT</b>
3.01	<p>The subject of this report is risk management.</p>
<b>4.00</b>	<b>CONSULTATIONS REQUIRED/CARRIED OUT</b>
4.01	<p>Senior Officers and Chief Officers have contributed to the review of the corporate risk register and mitigations document.</p>



<b>5.00</b>	<b>APPENDICES</b>
5.01	Appendix 1: Corporate Risk Register Appendix 2: Corporate Risk Mitigations
<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	None.
<b>7.00</b>	<b>CONTACT OFFICER DETAILS</b>
7.01	<b>Contact Officer:</b> Jay Davies, Strategic Performance Advisor <b>Telephone:</b> 01352 702274 <b>E-mail:</b> <a href="mailto:jay.davies@flintshire.gov.uk">jay.davies@flintshire.gov.uk</a>
<b>8.00</b>	<b>GLOSSARY OF TERMS</b>
8.01	<b>Risk Management:</b> the process of identifying risks, evaluating their potential consequences (impact) and managing them. The aim is to reduce the frequency (likelihood) of risk events occurring (wherever this is possible) and minimise the severity of their consequences (impact) if they occur. Threats are managed by a process of controlling, transferring or retaining the risk. Opportunities are managed by identifying strategies to maximise the opportunity or reward for the organisation.

Mae'r dudalen hon yn wag yn bwrpasol

## Corporate Recovery Risk Register

Recovery Committee Version: 06

Reviewed: 25.2.22

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	
NC ↔	No change in risk trend since last review	
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 Updated	No replacement Government funding to replace income in an extended recovery phase Note: target risk dates updated to reflect the additional contribution made to the Emergency Reserve in the approved 2022/23 budget	Strategic	Gary Ferguson	Sara Dulson	R	A	G Q4 2022/23	NC ↔	Open
CF02	A continued loss of income in the recovery phase and beyond should public behaviour change	Strategic	Gary Ferguson	Sara Dulson	R	A	A Open	NC ↔	Open
CF03	A continued loss of income in trading services in recovery	Strategic	Gary Ferguson	Sara Dulson	R	A	A Q4 2021/22	NC ↔	Open
CF04	A continued loss of income for Aura as Deeside Leisure Centre is retained in part as a mass vaccination centre	Strategic	Neal Cockerton	Rachael Corbelli	R	A	G Q1 2022/23	NC ↔	Open
CF05	An increase in the overall level of debt owed to the Council	Strategic	Gary Ferguson	David Barnes	R	A	A Q4 2021/22	NC ↔	Open
CF19	A reduction in Business Rates collection impacts on (1) cash-flow and (2) the stability of the National Collection Pool	Strategic	Gary Ferguson	David Barnes	R	A	A Q4 2021/22	NC ↔	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
CF07 Updated	Insufficient reserves impact on the financial resilience of the Council to sustain a lengthy recovery phase Note: target risk rating updated to reflect the approval of a balanced budget for 2022/23	Strategic	Gary Ferguson	Sara Dulson	R	A	G Q4 2022/23	NC ↔	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	A reduction in Council Tax collection impacts on (1) cash-flow and (2) the annual budget	Strategic	David Barnes	Sara Dulson	R	A	A Q4 2021/22	NC ↔	Open
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	Jen Griffiths	Gary Ferguson	R	A	A Q4 2021/22	NC ↔	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	A	G Open	NC ↔	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	G	G Open	NC ↔	Open
CF12	Affordability of having to borrow at an earlier stage to fund the capital programme due to lower level of reserves being held	Strategic	Gary Ferguson	Liz Thomas	A	G	G Q4 2021/22	NC ↔	Open
CF13	Clwyd Pension Fund principal investments are (1) lower rates of return due to current market instability and (2) at higher default risk	Strategic	Gary Ferguson	Phil Latham	R	G	G Open	NC ↔	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	Impact on the Capital Programme of loss of/reduction in planned Government specific grants	Strategic	Neal Cockerton	Liz Thomas	A	G	G Q4 2021/22	NC ↔	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	G	G Q3 2022/23	NC ↔	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
CF18	Impact on the stability of the Medium-Term Financial Plan of negative Welsh Government Local Government Settlements from 2022/23 due to a change to fiscal policy as part of national recovery planning	Strategic	Neal Cockerton	Gary Ferguson	R	A	A Q4 2021/22	NC ↔	Open

## 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
CW03	Cost associated with carry forward of accrued leave across multiple leave years (i.e. from 2020/21 to 2021/22 and 2022/23)	Operational	Sharon Carney	Sara Dulson	A	G	G Q4 2021/22	NC ↔	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
CW09	Excessive and unsustainable demands for support for the regional Test, Trace and Protect (TTP) Programme depletes the workforce and impacts on service delivery	Strategic	Neal Cockerton	Sharon Carney	A	A	G Q4 2021/22	NC ↔	Open
CW10	Impacts of the third wave in the pandemic on the continuous availability of key workers to operate services in a further response phase	Strategic	Sharon Carney	Chief Officers	A	R	G Open	NC ↔	Open
CW11	Increase in demand for Occupational Health and supplementary services	Operational	Sharon Carney	Julie Luff	A	A	G Open	NC ↔	Open
CW14	Increase in workforce turnover due to employees making personal life choices and impact of volatility and highly	Operational	Sharon Carney	Business Partners	A	R	G Open	NC ↔	Open

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
	competitive employment market which impacts on our ability to fill vacancies and retain existing employees								
<b>CW21</b>	Impact on the most vulnerable members of our workforce due to ongoing remote working	<b>Operational</b>	<b>Sharon Carney</b>	<b>Business Partners</b>	<b>A</b>	<b>G</b>	<b>G Open</b>	<b>NC</b> ↔	<b>Open</b>
<b>CW22</b>	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	<b>Operational</b>	<b>Sharon Carney</b>	<b>Business Partners</b>	<b>A</b>	<b>G</b>	<b>G Open</b>	<b>NC</b> ↔	<b>Open</b>
<b>CW24</b>	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 and need support with blended learning.	<b>Operational</b>	<b>Sharon Carney</b>	<b>Business Partners</b>	<b>R</b>	<b>A</b>	<b>G Open</b>	<b>NC</b> ↔	<b>Open</b>
<b>CW27</b>	Impact on services due to the backlog of First Aiders whose qualification has expired as a result of the ongoing restrictions and now need to retrain to gain requalification	<b>Operational</b>	<b>Sharon Carney</b>	<b>Business Partners</b>	<b>R</b>	<b>G</b>	<b>G Q4 2021/22</b>	<b>NC</b> ↔	<b>Open</b>

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
<b>CW16</b>	Increased sickness absence both COVID and non COVID related	<b>Operational</b>	<b>Sharon Carney</b>	<b>Business Partners</b>	<b>A</b>	<b>A</b>	<b>G Open</b>	<b>NC</b> ↔	<b>Open</b>
<b>CW17</b>	Increased numbers of mental health related absences	<b>Operational</b>	<b>Sharon Carney</b>	<b>Julie Luff</b>	<b>A</b>	<b>A</b>	<b>G Open</b>	<b>NC</b> ↔	<b>Open</b>
<b>CW18</b>	Impact of deferred medical events – ability of employees to return to work within previously agreed timescales	<b>Operational</b>	<b>Sharon Carney</b>	<b>Business Partners</b>	<b>A</b>	<b>A</b>	<b>G Q4 2021/22</b>	<b>NC</b> ↔	<b>Open</b>
<b>CW28</b>	Impact of Long COVID and the ability of employees to return to work within previously agreed/anticipated timescales	<b>Operational</b>	<b>Sharon Carney</b>	<b>Business Partners</b>	<b>A</b>	<b>A</b>	<b>G Q4 2021/22</b>	<b>NC</b> ↔	<b>Open</b>

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
<b>CG01</b>	Cyber-attack through bogus Covid-19 email	<b>Strategic</b>	<b>Gareth Owens</b>	<b>Aled Griffith</b>	<b>R</b>	<b>A</b>	<b>A Open</b>	<b>NC</b> ↔	<b>Open</b>
<b>CG02</b>	Loss of data or system hack due to malware or the use of unauthorised apps	<b>Strategic</b>	<b>Gareth Owens</b>	<b>Aled Griffith</b>	<b>R</b>	<b>A</b>	<b>A Open</b>	<b>NC</b> ↔	<b>Open</b>
<b>CG04</b>	Diversion of resource to emergency management response and recovery work delays implementation of key digital and infrastructure projects	<b>Strategic</b>	<b>Gareth Owens</b>	<b>Mandy Humphreys</b>	<b>A</b>	<b>A</b>	<b>G Q2 2022/23</b>	<b>NC</b> ↔	<b>Open</b>
<b>CG14</b>	Delay in or increased cost of obtaining digital devices due to continued demand arising from the response to the pandemic	<b>Strategic</b>	<b>Gareth Owens</b>	<b>Aled Griffith</b>	<b>A</b>	<b>A</b>	<b>G Q2 2022/23</b>	<b>NC</b> ↔	<b>Open</b>

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	Legal challenge to a decision made under temporary remote working legislation on the grounds of insufficient process/a lack of transparency	Strategic	Gareth Owens	Matt Georgiou	R	G	G Q4 2021/22	NC ↔	Open
CG08	Emergency legislation is repealed prematurely and before we are ready to resume normal services	Strategic	Gareth Owens	Matt Georgiou	R	G	G Q4 2021/22	NC ↔	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
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	NC ↔	Closed
CW08b	Insufficient resilience in regional capacity operational systems to support CW08a	Risk removed due to duplication with CW08a and CW09							
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
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
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
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



Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
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
CG13	Changes to established managerial and democratic systems result in failure to properly authorise a decision	Strategic	Gareth Owens	Lisa Brownbill	R	G	G Q2 2020/21	NC ↔	Closed
CW09c	The impacts on workforce planning of the unavailability of antibody testing	Strategic	Colin Everett	Sharon Carney	A	G	G Q3 2020/21	NC ↔	Closed
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	NC ↔	Closed
CG03	Data loss or inaccuracy due to disrupted ways of working	Operational	Gareth Owens	Alun Kime	R	G	G Q4 2020/21	NC ↔	Closed
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	G	G Q3 2020/21	NC ↔	Closed
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	G	G Open	NC ↔	Closed
CG09	Technology and/or the functioning of remote meetings impedes inclusive and effective decision-making	Operational	Gareth Owens	Robert Robins	A	A	G Q3 2021/22	NC ↔	Closed
CG10	Technology failure during member meeting prevents or undermines inclusive and effective decision-making	Operational	Gareth Owens	Aled Griffith	A	A	G Open	NC ↔	Closed
Tudalen 31 CW26	The impacts on workforce planning in critical work groups as a result of facilitating COVID vaccinations to key workers	Operational	Sharon Carney	Julie Luff	R	A	G Q2 2021/22	NC ↔	Closed
CW20a	Impact on our workforce due to schools operating in a different way and the requirement for working parents to assist with home schooling during normal working hours	Operational	Sharon Carney	Business Partners	A	A	G Open	NC ↔	Closed
CF20	Insufficient capacity to deliver grants and rate relief whilst also recovering lost income/debts may impact debt recovery capacity	Strategic	Gary Ferguson	David Barnes	R	A	A Q1 2021/22	NC ↔	Closed
CF06	Insufficient reserves remain following the response phase	Strategic	Gary Ferguson	Sara Dulson	R	A	G Q1 2021/22	NC ↔	Closed
CF09	Budget impacts of additional immediate demand under the Council Tax Reduction Scheme (CTRS) due to a shortfall in Government subsidy	Strategic	Jen Griffiths	Sara Dulson	A	G	G Q4 2021/22	NC ↔	Closed
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	NC ↔	Closed
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 Q2 2021/22	NC ↔	Closed
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 Q4 2020/21	NC ↔	Closed
CW12	Impact of changes to service performance/continuity from any changes to service models in the recovery phase	Strategic	Sharon Carney	Chief Officers	A	G	G Q4 2020/21	NC ↔	Closed
CW25	Impact on International/European PPE supply chain following Brexit	Operational	Andrew Farrow	Vanessa Johnson	A	A	G Q1 2021/22	NC ↔	Closed

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
	Note: risk closed due to PPE supply chain not being impacted upon								
<b>CW13</b>	Increase in workforce turnover due to new competition for public sector occupational groups in the employment market and/or employees making personal life choices - competition, certainty	<b>Operational</b>	<b>Sharon Carney</b>	<b>Chief Officers</b>	<b>A</b>	<b>G</b>	<b>G Open</b>	<b>NC</b> ↔	<b>Closed</b>
<b>CW20</b>	Impact on our workforce due to schools operating in a different way and the impact on working parents whose role does not allow them to work from home, or who have caring responsibilities for children or other dependents	<b>Operational</b>	<b>Sharon Carney</b>	<b>Business Partners</b>	<b>A</b>	<b>G</b>	<b>G Q1 2021/22</b>	<b>NC</b> ↔	<b>Closed</b>

Risk Matrix

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



# Corporate Recovery Risk Register

Recovery Committee Version: 06

Reviewed: 25.2.22

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	No replacement Government funding to replace income lost during the response phase	↔	IM	Target risk date updated due to a need to assess the provisional settlement received on 21 December. Income claims totaling £4.2m were submitted to Welsh Government in 2020/21 and these have been settled in full including those areas initially settled at 50%. Welsh Government have confirmed the continuation of the Hardship Fund until the end of March 2022 so claims will continue to be made for lost income on a quarterly basis.
Tudalen 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 continue to be included in Portfolio Business Recovery Plans. The risk is reduced now that funding is confirmed for the full 2021/22 financial year.
CF03	A continued loss of income in trading services in recovery	↔	IM	As CF01 above.
CF04	A continued loss of income for Aura as Deeside Leisure Centre is retained in part as a mass vaccination centre	↔	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.
CF05	An increase in the overall level of debt owed to the Council	↔	MT	Income collection continues and we actively engaging with tax-payers, tenants, customers and businesses to offer flexible arrangements. We are also taking steps to enforce payment against residents and businesses who have not paid nor engaged with the Council over several months. This risk is being taken into account in the review of the Medium-Term Financial Strategy (MTFS) including a review of the adequacy of levels of bad debt provision across the Council Additional funding (circa £1.05m) from WG to compensate for losses of 2020/21 council tax collections is helping to provide financial resilience as we enter the recovery phase.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF19	A reduction in Business Rates collection impacts on (1) cash-flow and (2) the stability of the National Collection Pool	↔	MT	Income collection continues through the re-introduction of formal recovery processes. 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 has re-commenced in cases where businesses ignore repeated request for payment. This risk of losses in collection continues to be 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.

Finance - Reserves

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
CF08	A reduction in Council Tax collection impacts on (1) cash-flow and (2) annual budget	↔	MT	The financial support of circa £1.05m from Welsh Government to mitigate the impacts of council tax income loss in 2020/21 has helped to reduce the risk levels. Debt Recovery processes have re-commenced to increase collection rates and ongoing risks are being taken into account in the review of the Medium-Term Financial Strategy (MTFS).
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	↔	MT	Although there has been no increase in the base subsidy for 2021/22 the budget includes provision for the impact of a council tax increase and meeting in-year demand. At this stage no significant cost pressure is being projected although the position will need to be closely monitored now that the furlough scheme has ceased.

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	The position in relation to the construction industry remains volatile in terms of raw material costs, as a result of post Brexit impact and Covid the situation in other areas continues to be monitored but is less pronounced. Inflationary pressures may now start to work their way through goods and services. Our normal procurement and value for money tendering exercises continue.

Finance - Treasury Management

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF11 Tudalen P35	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 initially were primarily with the Government Debt Management Office to protect security and liquidity. The position was reviewed and investments were subsequently extended to Money Market Funds, where appropriate, which generate a higher rate of return. Current interest rates/investment returns continue to be low, although recent inflationary movement may start to assist.
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 2020 the Fund suffered as with all investors with the COVID 19 driven market volatility and falls. Since then markets have recovered significantly and have been considerably more stable. The funding level (value of assets as a proportion of liabilities) has recovered and is ahead of target but much uncertainty remains. The Fund has a range of risk management tools and when combined with the range of internal controls in place with officers and advisers who 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. Initial discussions with employers on the potential impact on costs from the Actuarial Valuation 2022 commenced at the annual meeting on 24 November.

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.
Tudalen 36 CF16 dated	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	Target risk date updated due Capital Programme 22/23 – 24/25 approval in December. The Capital Programme for 2021/22 to 2023/24 was approved by Council in December. 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 - Financial Settlements

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF18	Impact on the stability of the Medium-Term Financial Plan of negative Welsh Government Local Government Settlements from 2022/23 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. The 2021/22 settlement only provided funding certainty for 1 year, although the Council was able to approve a legal and balanced budget at Cabinet and Council on 16 February. The Council will continue to push for three year funding settlements from 2022/23 onwards. The Provisional Welsh Local Government for 2022/23 is scheduled for 21 <sup>st</sup> December 2021 with final budget proposals being considered in February 2022.

Workforce

Workforce - Financial

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
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Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW03	Cost associated with carry forward of accrued leave across multiple leave years (i.e. from 2020/21 to 2021/22 and 2022/23)	↔	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. Following an assessment by each portfolio the anticipated level of carry-forward anticipated has not materialised. Services have been managing leave effectively and only a handful of services have needed to ask employees to cancel or postpone leave as a direct result of COVID.

Workforce - Capacity

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
Tudalen 37 CW09	Excessive and unsustainable demands for support for the regional Test, Trace and Protect (TTP) Programme depletes the workforce and impacts on service delivery	↔	IM	The fixed term contracts of the existing workforce are due to end on 31/03/2022 or 30/06/2022. Some of the workforce are returning to their previous roles/occupations so there is a level of natural attrition. The introduction of an e-form has reduced the level of work on the team which in turn has reduced the requirement for us to utilise our deployment 'bank' employees.
CW10	Impacts of the third wave in the pandemic on the continuous availability of key workers to operate services in a further response phase	↔	MT	This remains an open risk and has increased in recent weeks due to the rapid spread of Omicron. Key workers will be invited to attend for a flu vaccine when they are available.
CW11	Increase in demand for Occupational Health and supplementary services	↔	MT	The team continue to prioritise resources based on clinical need.
CW14	Increase in workforce turnover due to employees making personal life choices and impact of volatility and change in the employment market which impacts on successful recruitment to vacancies.	↔	MT	This risk has materialised. Service managers wishing to recruit to a vacancy complete a business case which is 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, and to identify areas where there is a recruitment and/or retention challenge

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW21	Impact on the most vulnerable members of our workforce due to ongoing 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.
Tudalen CW24	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. Target risk date updated due to ongoing restrictions
	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 and need support with blended learning.	↔	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'. Employees, should, wherever possible, look at sharing the responsibility, to minimise any impact and are encouraged to work flexibly to try and achieve a work life balance Target risk date updated to reflect the ongoing impact on working parents
CW27	Impact on services due to the backlog of First Aiders whose qualification has expired as a result of the ongoing restrictions and now need to retrain to gain requalification	↔	MT	Our insurers have confirmed that First Aiders whose qualification has lapsed can continue to provide support in the event it is needed. We have worked closely in partnership with Coleg Cambria, to ensure those that needed to obtain or regain their qualification have attended and completed or been offered a place.

Workforce – Health & Wellbeing

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 currently running at higher than the seasonal averages for the past few years.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
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. We continue to offer targeted support to individuals and teams showing signs of fatigue/anxiety. All employees are able to access support via CareFirst 24/7, attend stress management course and access counselling based on clinical assessment.
CW18	Impact of deferred medical events – ability of employees to return to work within previously agreed timescales	↔	IM	Deferred medical events continue to be 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 five requests for extension to sick pay have been approved to date.
CW28	Impact of Long COVID and the ability of employees to return to work within previously agreed/anticipated timescales.	↔	IM	Employees with long COVID, like other employees have their absence managed through the Council's Attendance Management Policy. Where there is a confirmed case of long COVID (via GP or other medical practitioner) the absence will not count towards triggers but payments will remain as per policy. We will however, consider an application for extension to sick pay in line with the other COVID related provisions on a case by case basis.

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. The impact will remain as significant due to the potential disruption to services and the continued attempts to compromise security.
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.



Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
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 placed huge demand on the ICT Service to quickly develop and implement new ways of working and supporting technologies. This drew resource away from, and thus delayed, large infrastructure projects such as the move to Office 365. The completion of the move to Office 365 is time sensitive and the ICT Service is therefore prioritising the delivery of this project. In addition, new projects of high priority are also due to start and capacity within the ICT service is extremely stretched with external resources proving difficult to source. There are also a large number of high priority projects that have been approved and prioritised by the Digital Strategy Board but need to be scheduled and resourced. These are being regularly reviewed as part of the Digital Strategy Board programme management process.
CG14	Delay in or increased cost of obtaining digital devices due to demand	↔	MT	Increased delivery times and/or increased costs are occurring due to scarcity of digital devices in the market place. Projects being advised to set realistic timescales and the IT Service are working with suppliers to attempt to minimise these delays as much as possible. Lead times on equipment are currently increasing to a global chipset shortage.

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 and public speaking has been reintroduced for meetings where members of the public were previously entitled to attend and speak
CG08	Emergency legislation is repealed prematurely and before we are ready to resume normal services	↔	IM	Welsh Government has recently shared the expiry dates of all emergency legislation and agreed to extend dates if required, which has reduced the risk of resuming previous/full statutory duties prematurely.

Previously Closed Risks

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CW01	Impact on Council ADM subsidies of our applications for Furlough being declined by HMRC under Government	↓	IM	-



Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
	guidelines and interpretation resulting in additional costs to the Council			
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	-
Tudalen CW04	Cost associated with retrospective approval of claims for overtime and other payments (i.e. ex-gratia)	↔	MT	-
CW08b CW11	Insufficient resilience in regional capacity operational systems to support CW08a	Risk removed due to duplication with CW08a and CW09		
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	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
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 those whose recovery has been affected by cessation of or interruption to medical treatment	↓	MT	-
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	-
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	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CG06	Resumption of democratic processes reduces our capacity to support recovery work	↓	IM	-
CG12	Changes to established managerial and democratic systems results in challengeable decision-making	↓	IM	-
CG13	Changes to established managerial and democratic systems result in failure to properly authorise a decision	↔	IM	-
Tudaleng CW09c	The impacts on workforce planning of the unavailability of antibody testing	↔	IM	-
CG05	Loss of functional capacity due to the inability to use mass 'roll-out' of tools on devices being used at home	↔	IM	-
CG03	Data loss or inaccuracy due to disrupted ways of working	↔	IM	-
CW07	The operational impacts of managing high levels of accrued annual leave across multiple leave years	↔	MT	-
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	-
CG09	Technology and/or the functioning of remote	↔	IM	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
	meetings impedes inclusive and effective decision-making			
CG10	Technology failure during member meeting prevents or undermines inclusive and effective decision-making	↔	IM	-
CW26	The impact on workforce planning in critical work groups as a result of facilitating COVID vaccinations to key workers.	↔	IM	-
Tudalen 44 CW20a	Impact on our workforce due to schools operating in a different way and the requirement for working parents to assist with home schooling during normal working hours	↔	MT	-
CW20	Impact on our workforce due to schools operating in a different way and the impact on working parents whose role does not allow them to work from home, or who have caring responsibilities for children or other dependents	↔	IM	-
CF06	Insufficient reserves remain following the response phase	↔	IM	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
CF20	Insufficient capacity to deliver grants and rate relief whilst also recovering lost income/debts may impact debt recovery capacity	↔	MT	-
CF09	Budget impacts of additional demand under the CTRS due to a shortfall in Government subsidy	↔	IM	-
Tudalen F17 45	Budget instability due to the continuation of unplanned expenditure e.g. the operation of additional residential care homes and without additional Government grant	↔	MT	-
CW01a	Impact on the ADMs of the introduction of tapered Government financial contributions to the ADMs under the adjusted Furlough Scheme	↔	IM	-
CW08a	The availability and responsiveness of the regional antigen testing service to support the health and resilience of the workforce	↔	IM	-
CW12	Impact of changes to service performance/continuity from	↔	MT	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
	any changes to service models in the recovery phase			
CW25	Impact on International/European PPE supply chain following Brexit	↔	MT	-
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	-

# Eitem ar gyfer y Rhaglen 7



## RECOVERY COMMITTEE

<b>Date of Meeting</b>	Thursday 3 <sup>rd</sup> March 2022
<b>Report Subject</b>	Position statement on risks for each Portfolio
<b>Cabinet Member</b>	Collective Cabinet
<b>Report Author</b>	Chief Executive
<b>Type of Report</b>	Operational

### EXECUTIVE SUMMARY

Portfolio Recovery Business Plans were developed for exiting the first response phase to the pandemic in 2020.

This Committee has had oversight of the Recovery Business Plans for all five service portfolios during meetings in 2021 (June – August). During each of the meetings the relevant Chief Officers were asked to highlight significant areas of risk. This report today presents progress and updates on those areas of risk for each of the portfolios.

### RECOMMENDATIONS

1	To review progress of the highlighted areas of risk within all five portfolios reported at earlier meetings of this committee.
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## REPORT DETAILS

1.00	EXPLAINING THE RISKS AND ISSUES WITHIN PORTFOLIOS
1.01	In the following sections updates will be provided for the highlighted areas of risk from each of the service portfolios.
1.02	<p>The following portfolio risks were identified as highlighted areas of risk and reported at recent meetings of the Recovery Committee:</p> <p><b><u>Education &amp; Youth</u></b></p> <ul style="list-style-type: none"><li>• <b>Managing uncertainty around operational changes which may need to be implemented for the start of the new term.</b> Schools continue to face significant challenges in managing the impact of Covid-19 cases on pupils and staff. There is still very limited availability of supply staff again this term for a range of school posts and continues to stretch schools' operational capacity. This is keeping anxiety levels amongst staff and school leaders at an elevated level. Guidance for the TTP process has been reviewed and updated to streamline information sharing and reduce workload for both TTP and schools and this has helped headteacher workload. The Education Portfolio, Environmental Health Officers and the TTP team continue to provide high levels of support to schools. However, the resilience of school leaders is stretched and the ongoing risk of disrupted education for learners remains high. A small number of class closures for short periods of time during the first half of the Spring Term have been put in place when there was insufficient staff cover to operate safely and pupils moved to remote learning. The reporting of staff absences to Welsh Government on a weekly basis has remained at Amber for the duration of this half term.<p><i>The Education, Youth &amp; Culture OSC considered a report at its meeting on 16<sup>th</sup> September and a verbal update from the Chief Officer (Education &amp; Youth) at the Committee meeting on 21<sup>st</sup> October. The outcome of the discussion was presented to the Recovery Committee in the report considered at the 4<sup>th</sup> November, 2021 meeting.</i></p></li><li>• <b>The impact the pandemic has had on children and young people, specifically on their health and emotional well-being and their ability to engage with learning.</b> Feedback from schools continues to be that many learners are demonstrating the impact of having missed long periods of teaching. Schools are regularly reporting higher levels of pupils struggling to re-engage and conform to appropriate behaviour expectations whilst in school because of the lack of structure for a long period of time. Schools report that these behavioural challenges, are taking a great deal of time to manage and resolve, and this coupled with staff absences, are adding to the current pressures. There has also been an increase in the levels of anti-social behaviour in the community. Portfolio services such as the Integrated Youth Provision and Youth Justice Team are working</li></ul>



with North Wales Police and other partners to provide appropriate interventions.

Schools have funding from WG to employ more staff and deliver intervention programmes but staff absences from Covid-19 and the need to cover/rearrange classes is sometimes disrupting delivery. The Inclusion Team continue to offer training to school staff on a number of intervention programmes that are proven to be successful in supporting pupil emotional health and wellbeing, however this risk remains high.

*The Committee received a verbal update from the Chief Officer (Education & Youth) at the Committee meeting on 21<sup>st</sup> October. The outcome of the discussion was presented to the Recovery Committee in the report considered at the 4<sup>th</sup> November, 2021 meeting.*

- **The resilience of schools in managing a significant number of changes i.e. the new curriculum, Additional Learning Needs transformation and the introduction of school inspections.**  
This is a long term issue. Schools are being supported by the Education Portfolio and by the regional school improvement service, GwE, to help them balance the demands of these significant changes, but feedback from Headteachers is that balancing all the priorities whilst dealing with Covid-19 cases and staff absences continues to be hugely challenging. The reality of life in schools continues to be fed back regularly at regional and national meetings and Headteachers have also recently shared their issues directly with the Minister for Education in a national conference. The challenges of releasing staff to access training as a result of staffing challenges from the pandemic has been acknowledged with schools able to be involved at their own pace and flexibly when needed. A pause period of a fortnight was added during January 2022 as a result of significant staffing challenges across the system. This risk remains high.

*The Committee received a verbal update from the Chief Officer (Education & Youth) at the Committee meeting on 21<sup>st</sup> October. The outcome of the discussion was presented to the Recovery Committee in the report considered at the 4<sup>th</sup> November, 2021 meeting.*

### **Housing & Assets**

- **Rental Income collections continues to be impacted by the pandemic.**  
To support tenants during the pandemic, Welsh Government introduced a package of measures to protect tenants from debt enforcement action which could ultimately result in evictions. These measures have now been lifted but there remains, up to at least 24 March 2022, a requirement to give an extended period of six months (instead of three months) when issuing 'Notices of Seeking Possession'. This is the statutory process we must follow before starting court proceedings for non-payment of rent. Rent arrears

currently remain £95k above levels seen in 2020-21 and £400k above pre-pandemic levels. Resource levels are being increased to support the improvement of rent collections as part of the Covid-19 recovery strategy. In addition to this, two Accommodation Support Officers have been embedded into the Rent Income service to ensure tenants receive the right level of support at the very earliest opportunity.

This will continue to place further pressure on the HRA Business Plan.

*The Community, Housing & Assets OSC considered a detailed report and received a detailed presentation on Housing Rent Income at its meeting held on 8<sup>th</sup> December, 2021. The Committee were concerned around the level of debt but thanked the Officers for the work they were doing to mitigate this. The Committee will continue to receive regular update reports.*

- **Homelessness presentations increase as current protections around evictions and furlough end and landlords take measures to commence and follow through on stalled evictions.**

Presentations for homelessness continue to be strong and the numbers of evictions and expirations of notices within the private rented sector are increasing following lifting of many of the Covid-19 protections for housing. Numbers of households in emergency and temporary accommodation has grown steadily during the year with a significant increase in the 2<sup>nd</sup> half of the 21-22 year.

Financial protections through the emergency hardship grant from Welsh Government have covered a significant amount of the increased costs associated with the greater demand for emergency accommodation during the pandemic. Further access to funding is available for 22-23, but there is likely to be an increase financial pressure as we move further into the post pandemic period, due to increased homelessness and fewer opportunities for people to secure long term settled housing in an expensive private rented sector. Potentially more people will need emergency housing and opportunities for exiting homelessness are fewer.

The significant pressure point for homelessness continues to be for single people who require 1 bed homes. These are not in plentiful supply within the local social housing supply and the private rented sector is expensive with many benefit dependent residents priced out of the market. This can also be said for many other household types including families, but the scale of the challenge is greatest when considering the limited 1 bed supply and the high levels of single people in emergency housing.

Additional funding through discretionary housing payments is being utilised to protect people from housing related debts and reduces the potential for homelessness, but it should be noted that a significant number of residents are being issued notices within the private rented sector due to landlords wishing to sell their property,

not always due to poor tenancy conduct through issues such as rent arrears.

A significant uplift in Housing Support Grant in 21-22 plus a 3 year settlement from 22-23 onwards enables us to deliver and commission more housing related support services. These services are aimed at solving housing problems before they escalate to a risk of homelessness, or focus on helping people exit homelessness promptly. The housing support and homelessness sector, like other public service areas is however experiencing challenges around recruitment and workforce retention. We are working with partners to look at ways to overcome these challenges nationally, regionally and locally.

- **Raw material supplies shortages lead to increased costs, programme delays and increased cases of contractual disputes.**

Whilst we continue to identify alternative suppliers or source stock and hold for future use the situation continues to be challenging. Since the last update the labour position has not improved with skilled trades people increasingly difficult to source and recruit. As noted previously those that have historically been engaged in construction activity have left the UK and remain in Europe

The situation is regularly under review due to wider international impacts a direct result of the Pandemic and the ongoing residual impacts of Brexit.

*The Community, Housing & Assets OSC considered a verbal update from the Chief Officer (Housing & Assets) at the Committee meeting held on 13<sup>th</sup> October. The outcome of the discussion was presented to the Recovery Committee in the report considered at the 4<sup>th</sup> November, 2021 meeting.*

### **Planning, Environment & Economy**

- **The resilience of various teams due to unprecedented demand to services during the emergency situation.**

In September Cabinet supported the Business Cases to recruit into the following areas which were under particular pressure: Planning Enforcement; Environmental Health; Drainage and Flood Protection and Town Centre Regeneration.

Successful recruitment has been undertaken into the majority of those areas, with the exception being the Drainage and Flood Protection team where recruitment for the vacancy of the Team Manager role has been advertised for a third time with no success. With another member of that small team now leaving, work is on-going to identify how this area of work will be able to be delivered in addition to having to update our Strategic Flood Risk Consequences Assessment following the deferral of Technical Advice Note 15(Drainage).

Fortunately, the pressures of the Omicron variant did not detract from our Food Hygiene and Environmental Health teams who are continuing to catch up with significant backlogs of work. We have been fortunate to employ colleagues with expertise in acoustics who will assist us in addressing an increasing number of noise complaints. In a very competitive labour market, we have done well to successfully recruit into these posts.

- **The delivery of the Local Development Plan**

By mid-November the LDP Examination in Public (EIP) had a single, outstanding issue to address, the implications of new guidance from Natural Resources Wales (NRW) on phosphate levels in rivers. Following an exchange between the Inspector and the Council in relation to this issue, the Inspector has now confirmed that she is happy with the approach which the Council is proposing. Frustratingly, that agreement was received at a time which prevented the opportunity to undertake the six week consultation on changes arising from the EIP prior to the pre-election period commencing on 18<sup>th</sup> March. As a result, that consultation will have to be undertaken following the election in May. A briefing on the LDP will form the basis of an all-Member briefing as part of the induction of Councilors in May.

The proposed changes will have to be endorsed for release by Cabinet in June and the consultation triggered thereafter. Responses to the consultation will inform the Inspector's binding report which will then need to be endorsed by Council to adopt the Plan.

- **Back Office System**

This significant project will introduce a new back office ICT system (AGILE) for the whole Portfolio increasing the opportunity for our customers to access key data themselves and improving case management, performance management and record keeping. The progress of this project has been reported to Environment & Economy Overview and Scrutiny Committee in September of last year. The Development Management function will be delivered first, before moving on to other sections of the Portfolio. Training of key staff has been undertaken in November and December with training of other users across the Portfolio scheduled.

*The Environment & Economy Overview and Scrutiny Committee will receive another demonstration of the system on 8<sup>th</sup> March. Training will be provided to all Members following the elections so that they can maximise the benefits that the system offers.*

### Social Services

- **Recruitment of staff to work in the sector, encompassing social work, occupational therapy and direct social work.**
- **The fragility of the market around Elderly Mentally Infirm (EMI) nursing and the recruitment of staff.**

- **Funding and fees linked to market stability.**

The three identified risk areas for social services are closely linked and require responses at a national, regional and local level. The challenges are within the context of wider health and social care pressures arising from Covid-19, demand for services rising higher than pre-Covid levels and reduced workforce capacity. We have instigated focussed and co-ordinated activity with partners to deliver actions to alleviate the pressures on the service. Our drive to keep services functioning and able to meet demand are being led professionally with a focus on meeting the needs of children and adults with most critical and substantial needs.

Locally, specific challenges in recruiting experienced level 3 childcare social workers have necessitated the implementation of a time limited market supplement to ensure we have sufficient capacity and resilience to effectively support children and families. This forms part of wider strategic approach to the recruitment and retention of the operational social care workforce across adult and children services within the local authority and the independent sector. This approach will require national investment and support both for pay and fee rate increases.

We are working regionally and locally with independent sector colleagues to develop a co-ordinated and collaborative approach to recruitment and managing our collective response to supporting people in need of care and support. Market supply in the independent sector continues to place pressure on sourcing domiciliary support, there is a waiting list for domiciliary care services across Flintshire.

We have increasing challenges in the provision of residential care, dementia care and nursing home care placements. We are working jointly with health colleges to respond to specific issues that require an integrated response.

Due to the increasing demand and lack of capacity in adult social work and occupational therapy services, there is as a result a waiting list for assessment in operation, this is particular affecting older people services, including occupational therapy, where there is increasing demand and complexity of need. We are closely monitoring the waiting lists and are currently meeting our statutory duties, by meeting critical need only.

*The Social & Health Care OSC considered the stability of the social care market (to include fees and funding) and Social Care workforce pressures and responses at the special Committee meeting on 30<sup>th</sup> September. Assurance was given that work was ongoing locally, regionally and nationally to respond to the challenges faced.*

*Welsh Government have committed to find the Real Living Wages for front-line care staff, however work continues around a sustainable care fee model.*

## Streetscene and Transportation

- **Reduced numbers of frontline workers and contractors to deliver services safely due to the requirement for self-isolation and increased sickness absence levels.**

The service continues to experience high numbers of frontline workforce needing to self-isolate and this is still impacting on effective service delivery when combined with general sickness absence and annual leave requests.

Frontline services are continuing to be delivered through agency and overtime; however, some areas of the service are under increasing pressure, such as waste and recycling with collection rounds having to be “doubled up” in order to complete rounds. Resources have been deployed from other areas of the service, such as street cleansing and grounds maintenance. The current risk rating remains at “red” due to continuing high sickness absence levels. Additional risks have been introduced to the HGV driver shortage and difficulty in recruiting and/or retaining skilled staff and workforce. Risk trend remains static currently.

*The Environment & Economy OSC considered a report on the above risk at its meeting on 9<sup>th</sup> November 2021.*

- **Unable to progress with key infrastructure improvement projects due to lack of resilience in staff, contractors and supply chain.**

Supply chain issues are continuing to hamper progress on some major infrastructure projects, which is resulting in delays to schemes, which are largely funded by external grant schemes. Each grant funded project is given a project team to control delivery within specified timescales. Additional partners (e.g. consultants; WRAP Cymru) are continuing to support us with delivery of key projects. The current risk rating continues to be red due to ongoing disruption in the supply chain. Early discussions have been held with funding award bodies regarding potential risks to grant funding not being expended within the specified timescales and confirmation of carry forward of funding obtained. Risk trend remains static currently.

*The Environment & Economy OSC considered a report on the above risk at its meeting on 9<sup>th</sup> November, 2021.*

- **Unable to gain regulatory approval (planning; drainage; environmental permitting) to progress key infrastructure projects in a timely manner due to delays in processing applications.**

A number of large infrastructure improvement projects are still in progress and continue to be monitored through the relevant Project Boards. The development of these projects does rely on regulatory approval to move forward, such as planning consent, drainage (SUDs) and environmental permitting. Any undue delay in the approval processes could lead to delays for the projects and impact on available grant funding. Also, the impact of having to redirect services to alternative locations can be costly (e.g. recycling

	<p>collections). The project teams continue to work with the relevant regulatory bodies to ensure that all aspects are progressed to deadlines. External partners (e.g. WRAP Cymru) are continuing to provide industry-related expertise and support to assist with progress and mitigate against further delays to projects. Risk trend remains static currently.</p> <p><i>The Environment &amp; Economy OSC considered a report on the above risk at its meeting on 9<sup>th</sup> November, 2021.</i></p>
1.03	The risks identified above have all been included in the 'Council Plan & Governance Risk Mapping' document to ensure that they are reported to the relevant Overview & Scrutiny Committee for consideration.

<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
2.01	None specifically.

<b>3.00</b>	<b>IMPACT ASSESSMENT AND RISK MANAGEMENT</b>
3.01	This report specifically covers highlighted areas of risk for each of the service portfolios and they continue to recover from the pandemic emergency situation and is based upon a framework of risk management.

<b>4.00</b>	<b>CONSULTATIONS REQUIRED/CARRIED OUT</b>
4.01	The plans have been developed with wide consultation with officers within and across portfolios.

<b>5.00</b>	<b>APPENDICES</b>
5.01	<p>Appendix 1: Education &amp; Youth Risk Register</p> <p>Appendix 2: Housing &amp; Assets Risk Register</p> <p>Appendix 3: Planning, Environment &amp; Economy Risk Register</p> <p>Appendix 4: Social Services Risk Register</p> <p>Appendix 5: Streetscene &amp; Transportation Risk Register</p>

<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	None.

<b>7.00</b>	<b>CONTACT OFFICER DETAILS</b>
7.01	<p><b>Contact Officer:</b> Jay Davies, Strategic Performance Advisor</p> <p><b>Telephone:</b> 01352 702744</p> <p><b>E-mail:</b> <a href="mailto:jay.davies@flintshire.gov.uk">jay.davies@flintshire.gov.uk</a></p>

<b>8.00</b>	<b>GLOSSARY OF TERMS</b>
8.01	<b>Risk Management:</b> the process of identifying risks, evaluating their potential consequences (impact) and managing them. The aim is to reduce the frequency (likelihood) of risk events occurring (wherever this is possible) and minimise the severity of their consequences (impact) if they occur. Threats are managed by a process of controlling, transferring or retaining the risk. Opportunities are managed by identifying strategies to maximise the opportunity or reward for the organisation.



Education and Youth Portfolio Risk Register

Published: 25.02.22

Risk Register - Part 1 (Portfolio Management)

Finance

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	
NC	No change in risk trend since last review	
Risk Status	Open denotes a live risk	Closed denotes a closed risk
*Denotes the risk is specific to the 'Recovery'		

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY01	Secondary schools are not financially viable due to insufficient base funding and falling pupil numbers	Strategic	Claire Homard	David Bateman/Liz Thomas	R	R	A Open	NC ↔	Open
EY04	Increased financial costs to the Inclusion Service due to legal challenges	Strategic	Claire Homard	Jeanette Rock	R	Y	A Q2 2022/23	NC ↔	Open
EY05	Insufficient financial resources to support children and young people's emotional health	Strategic	Claire Homard	Jeanette Rock/Ann Roberts	A	Y	Y Q2 2022/23	NC ↔	Open
EY06	Insufficient funding to deliver new archive premises	Strategic	Claire Homard	Claire Harrington	R	R	A Q4 2021/22	NC ↔	Open

Workforce

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY07	Capacity on service delivery is impacted by portfolio workforce absence	Operational	Claire Homard	DMT	Y	Y	G Q4 2021/22	NC ↔	Open

Property & Assets

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY11	Fluctuating pupil demography impacts on sufficiency of school places	Strategic	Damian Hughes	n/a	A	Y	Y Open	NC ↔	Open
EY12	Deteriorating school buildings adversely impacts on curriculum delivery	Strategic	Damian Hughes	n/a	A	Y	Y Open	NC ↔	Open
EY13	Inability to fully deliver on Welsh Government 21 <sup>st</sup> Century School Building Programme due to financial, workforce and contractor implications	Strategic	Claire Homard	Damian Hughes	A	Y	Y Open	NC ↔	Open

Governance/Legal

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY15	Non-compliance with the Additional Learning Needs Education Tribunal (ALNET) Act 2018	Strategic	Jeanette Rock	Paula Roberts	Y	Y	G Q2 2022/23	NC ↔	Open

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY16	Failure to make statutory provision for learners with Special Educational Needs (SEN) due to resource availability	Operational	Jeanette Rock	Paula Roberts	A	R	Y Q2 2022/23	NC ↔	Open
EY17	Failure to meet the statutory targets in the Welsh in Education Strategic Plan due to insufficient parental take up of Welsh medium education	Strategic	Claire Homard	Vicky Barlow	A	A	Y Q4 2030/31	NC ↔	Open
EY19	Insufficient local education provision to support learners with mental health needs	Operational	Jeanette Rock	Tim Ford / John Grant	R	Y	Y Q2 2022/23	NC ↔	Open
EY20	Increased number of Special Educational Needs Tribunals due to an inability to meet the statutory assessment process requirements and accurately identify individual needs (link to EY 16)	Operational	Jeanette Rock	Linda Callahan	A	Y	Y Q2 2022/23	NC ↔	Open

Partnerships

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
Tudalen 58 EY34 updated	Adult Community Learning Partnership with Wrexham County Borough Council is not effective in procuring suitable providers to deliver quality learning opportunities for participants Note: current risk trend has reduced to green and risk trend reducing due to the procurement of three lead providers delivering an extensive range of courses with good engagement level.	Strategic	Vicky Barlow	Dawn Spence	Y	G	G Q4 2021/22	G ↓	Open
EY 35	Adult Community Learning partnership Delivery Plan is ineffective in ensuring engagement and achievement of adult learners	Operational	Vicky Barlow	Dawn Spence	A	Y	Q4 2021/22	NC ↔	Open

External Regulation

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY22	Inability to meet the recommendations arising from the Local Authority's Estyn Inspection 2019	Strategic	Claire Homard	Vicky Barlow	A	Y	G Q4 2022/23	NC ↔	Open
EY23	Poor outcome of Ministry of Justice Inspection due to non-compliance with National Youth Justice Standards and ineffective governance from Youth Justice Board	Strategic	James Warr	James Warr	A	Y	G Q4 2021/22	NC ↔	Open
EY24	Inability to meet national archive accreditation standards due to poor quality of the accommodation	Strategic	Claire Homard	Claire Harrington	A	A	G Q4 2024/25	NC ↔	Open

## Risk Register - Part 2 (Portfolio Service &amp; Performance)

## School Improvement

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY25	Schools insufficiently prepared to implement new curriculum which impacts adversely on learners	Strategic	Vicky Barlow	Jane Borthwick	A	Y	G Q2 2021/22	NC ↔	Open
EY26	Ineffective school leadership results in poor pupil outcomes which increases risk of schools being placed in statutory Estyn categories.	Strategic	Vicky Barlow	Jane Borthwick	A	Y	G Open	NC ↔	Open
EY27	School leadership and governance is ineffective due to lack of engagement in professional development and support programmes	Operational	Vicky Barlow	Kim Brookes	Y	Y	G Open	NC ↔	Open
EY28	Ineffective school leadership results in standards of Welsh in schools falling below the national average	Operational	Vicky Barlow	Rhian Roberts	A	Y	Y Open	NC ↔	Open
EY29	Reduced performance in Science, Technology , Engineering and Maths subjects at Post 16 could impact on access to local apprenticeships and progression into higher education	Operational	Vicky Barlow	Dawn Spence	Y	Y	G Open	NC ↔	Open
Tudalen 59 EY33 updated	Inability of schools to operate safely and deliver statutory education due to reduction in staffing levels Note: risk trend is increasing as schools are continuing to experience some difficulty in recruiting supply staff	Operational	Claire Homard	Vicky Barlow	Y	A	Y Open	R ↑	Open

## Inclusion &amp; Progression

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY30	Increased numbers of young people not in Education, Training & Employment due to lack of pupil engagement	Operational	Jeanette Rock	John Grant	Y	G	G Q4 2022/23	NC ↔	Open

## Integrated Youth Provision

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
EY31	Increase in young people subject to intervention by the Youth Justice Services due to the impact of school closures and revised service delivery models.	Operational	James Warr	James Warr	A	Y	G Q4 2021/22	NC ↔	Open
EY32	Young people in the Youth Justice Service not accessing minimum statutory education offer due to lack of pupil engagement	Strategic	James Warr	James Warr	A	A	G Q4 2021/22	NC ↔	Open

## 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
EY02	Inability to delivery statutory Youth Services due to uncertainty about grant funding	Strategic	Ann Roberts	Dave Chisnall	A	G	G Open	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
EY03	Inability to deliver Inclusion & Progression Services due to uncertainty about grant funding	Strategic	Jeanette Rock	John Grant/ Lisa Davies	A	G	G Q3 2020/21	G ↓	Closed
*EY08	Inability to provide emergency childcare provision during school closure period due to workforce availability	Operational	Vicky Barlow	Jeanette Rock	A	G	G Q2 2020/21	G ↓	Closed
*EY09	Insufficient emergency childcare provision in summer holidays if school hubs directed to close by Welsh Government	Operational	Claire Homard	Vicky Barlow	A	Y	G Q2 2020/21	G ↓	Closed
*EY10	Inability of schools to reopen safely to deliver statutory education due to reductions in workforce, availability of sufficient PPE and infrastructure (catering/transport)	Strategic	Claire Homard	Vicky Barlow	R	A	G Q3 2020/21	G ↓	Closed
EY14	Welsh Government Childcare Capital programme is not fully completed resulting in a reduction of childcare places	Strategic	Gail Bennett						closed
EY18	Young people unable to access counselling services due to the closure of schools	Operational	Jeanette Rock	Nigel Pattinson	A	G	G Q4 2021/22	G ↓	Closed
*EY21	Reduced safeguarding referrals due to school closures	Strategic	Claire Homard	Vicky Barlow	R	Y	Y Q2 2020/21	G ↓	Closed

Risk Matrix

Tudalen 60

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							

Housing and Assets Portfolio Risk Register

Published: 25.02.22

Risk Register - Part 1 (Portfolio Management)

Finance

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
NC ↔	No Change in the risk trend since last reviewed	
*Denotes the risk is specific to the 'Recovery'		
HA	Housing and Assets	

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*CF14	Increasing rent arrears and Impact on the Housing Revenue Account (HRA) Business Plan	Operational	Neal Cockerton	Rachael Corbelli / Sean O Donnell/Dawn Kent/David Barnes	R	R	A Open	NC ↔	Open
HA01	Demand on resources and budgets to complete work backlog of inspections and follow on works caused by carrying out essential repairs only	Operational	Sean O Donnell	Vinny Thornton/Kevin Eccles	A	G	G Q4 2021/22	NC ↔	Open
HA02 Updated	Impact on Housing Revenue Account (HRA) budget and business plan with increased disrepair claims. Note: risk to be closed as no direct correlation or link to any increase and Covid.	Operational	Sean O Donnell	Vinny Thornton/Kevin Eccles	A	G	G Q4 2021/22	G ↓	Closed
HA04 Updated	Increased financial risk due to unprecedented and unpredictable increased demand for Council Tax Reduction Scheme (CTRS) due to business closure, unemployment; reduced hours of work Note: reducing risk trend as current risk showing no signs of returning to the levels of 2020/21	Strategic	Jen Griffiths	Anna Friend	R	G	A Open	G ↓	Open
*HA05 Updated	Food poverty response continues for a longer period creating financial pressures, impacting on our ability to continue deliveries. Note: risk to be closed as shielding has come to an end	Operational	Jen Griffiths	Claire Flint	A	G	A Open	G ↓	Closed
HA06	Impacts on income stream based on delayed/non recovery of housing benefit overpayment.	Strategic	Jen Griffiths	Anna Friend	R	R	A Open	NC ↔	Open
HA08	Service unavailability, increased delays, increased costs due to suppliers being unable to provide raw materials i.e. Steel, plaster etc following reduction in production	Operational	Ian Edwards	Howard Parsonage / Adam Foley	A	A	G Q1 2022/23	NC ↔	Open
*HA09	Increases in Homelessness impacts on workforce capacity increased risk of legal challenge and budgets (Discretionary Housing Payments, and Spend to Save Prevention Funds)	Operational	Martin Cooil	Deb Kenyon	R	A	A Open	NC ↔	Open
*CP01 Updated	A reduction in the value/level of capital receipts impacts on the Capital Programme Note: risk to be closed due to No decline in market values as a result of Covid.	Strategic	Neal Cockerton	Lisa McLellan	A	G	G Q4 2021/22	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
*CP02 Updated	Impact on income levels due to inability to renegotiate higher rents on lease renewals Note: risk to be closed due to the market remaining buoyant at present	Operational	Lisa McLellan	Gill Fairhurst	A	G	G Q4 2021/22	G ↓	Closed
*CP03 Updated	Impact on income due to tenants seeking an extension of rent deferrals. Note: risk to be closed due remaining amount outstanding is less than £4k	Operational	Lisa McLellan	Gill Fairhurst	R	G	A Q4 2021/22	G ↓	Closed
*CP06 Updated	An increase in property costs due to the unsustainability of Community Assets. Note: risk to be closed due no requests for support from CAT groups as a result of restrictions being imposed	Strategic	Neal Cockerton	Lisa McLellan/Gill Fairhurst	A	G	G Q4 2021/22	G ↓	Closed
*CP07 Updated	An increase in property costs for the Council due to the unsustainability of Alternative Delivery Models (ADM's) Note: risk to be closed as Alternative Delivery Models remain stable and viable.	Strategic	Neal Cockerton	Lisa McLellan	A	G	G Q4 2021/22	G ↓	Closed
*CP11 Updated	Costs and complexities with the return and reinstatement of Deeside Leisure Centre (DLC) due to an extended period of use as an emergency hospital. Note: risk trend reducing as reinstatement work with the exception of the ice risk have been substantially completed.	Operational	Neal Cockerton	Mike Welch	R	G	A Q4 2021/22	G ↓	Open
*HA18	Reduced house delivery and increased cost ability to spend allocated grant impacts negatively resulting in Welsh Government claw back	Operational	Paul Calland	Kieron O'Mahoney	A	A	G Q4 2021/22	NC ↔	Open
HA19	Increasing rent arrears impacts negatively on North East Wales Homes Business Plan.	Operational	Paul Calland	Paula Marshall	A	G	G Q4 2021/22	NC ↔	Open
*HA20	Increase in demand for responsive repairs and planned works once lock down restrictions are eased (NEW Homes) Increased cost and resource	Operational	Paul Calland	Paula Marshall	A	A	G Q4 2021/22	NC ↔	Open
*HA21	Backlogged voids impact negatively on the New Homes Business Plan	Operational	Paul Calland	Paula Marshall	A	G	G Q4 2021/22	NC ↔	Open
HA22 Updated	Increased financial pressures on the Housing Revenue Account (HRA) due to high demand for responsive repairs and planned works. Note risk to be closed as there are no significant increase in demands	Operational	Sean O Donnell	Vinny Thornton/Kevin Eccles	A	G	A Q4 2021/22	G ↓	Closed

Workforce

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*HA24 Updated	Unable to enforce tenancy conditions due to current legal protections and court legal system backlog. Note: risk to be closed as cases are now progressing to court via a review panel	Operational	Dawn Kent	Janet Martin	A	G	G Q4 2021/22	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
*HA25 Updated	Unable to apply to social distancing rules during project delivery putting surveyors, contractors and clients' health at risk Note: risk to be closed as there are no cases on hold due to Covid	Operational	Jen Griffiths	Robin Davies	A	G	G Q4 2021/22	G ↓	Closed

## Property and Assets

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
HA27	Increasing service demands to respond to HA04	Operational	Jen Griffiths	Anna Friend	R	A	A Open	NC ↔	Open
*CP09	Services remain out of use for longer period suppliers' failure and availability of equipment/materials	Operational	Sean O Donnell/Glyn Garbutt	Jon Jones/Philip Paton	A	A	G Q4 2021/22	NC ↔	Open
*HA30 Updated	Weak performance and reputational damage as development programmes are slow to commence. Note: current risk decreasing to amber as old jobs started or completed with new jobs due to commence.	Operational	Jen Griffiths	Robin Davies	A	A	G Q4 2021/22	G ↓	Open
*HA31	Delays on project starts dependant on components availability	Operational	Jen Griffiths	Robin Davies	A	A	G Q4 2021/22	NC ↔	Open
*HA33 Updated	People not having suitably safe and adapted accommodation due to the delay of service reinstatement. Quality of life issues customers and reputational damage Note: Current risk trend decreasing due to most cases started or due to start	Operational	Jen Griffiths	Robin Davies	A	A	G Q4 2021/22	G ↓	Open
*HA34 Updated	Suppliers unable to provide components for critical installations leading to increased delay and service unavailability for long periods of time. Note: risk trend reducing due to reports of minimal difficulties in sourcing parts/components for plant or equipment.	Operational	Sean O Donnell/ Glyn Garbutt	Philip Parton	A	G	G Q4 2021/22	G ↓	Open
*HA35 Updated	Construction site controls post lockdown lead to slow construction progress and increased costs. Note: risk trend reducing as all construction sites are operating normally and to programme	Operational	Ian Edwards	Howard Parsonage/Adam Foley	A	G	G Q4 2021/22	G ↓	Open

## Governance and Legal

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*HA36 Updated	Breach of compliance, potential health and safety issue around statutory inspections of declined access due to social distancing and shielding customers. Note: risk to be closed. Managed through established no access procedure and shielding come to an end.	Operational	Sean O Donnell	Kevin Eccles	A	G	G Q4 2021/22	G ↓	Closed
*HA38 Updated	Increase in anti-social behaviour and breaches of new social distancing rules Note: risk to be closed as restrictions are no longer in place	Operational	Dawn Kent	Mike Angell	A	G	G Q4 2021/22	G ↓	Closed

## ICT &amp; Systems

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
HA40	Unable to deliver key operational services due to lack of support and responsiveness from external system suppliers.	Strategic	Neal Cockerton	Service Managers	A	G	A Open	NC ↔	Open

## Risk Register - Part 2 (Portfolio Service &amp; Performance)

## Housing Programmes

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*HA41	SHARP programme slow to recover impacting negatively on our own house build programme and targets	Strategic	Paul Calland	Kieron O'Mahoney	A	A	G Q4 2021/22	NC ↔	Open

## Housing &amp; Asset Management

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*HA42	Increased housing void backlog requiring proactive management to ensure properties let quickly and safely	Operational	Sean O Donnell	Ian Peters/ Dawn Kent	A	A	G Q4 2021/22	NC ↔	Open

## Homeless Prevention Services

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*HA43	Increased demand for Housing Support Grant services and capacity issues create delays and lengthy waits for services	Operational	Martin Cooil	Lisa Pearson	R	A	A Open	NC ↔	Open
*HA44	SARTH register demand increases creating unmet need due to shortages of existing social housing (Flintshire County Council and Partners)	Operational	Martin Cooil	Sian Humphries	R	A	A Open	NC ↔	Open
*HA45	Private landlords face increasing financial pressures leading to instability within the Private Rented Sector, less affordable properties and increased demand and costs for social housing providers and homeless service	Operational	Martin Cooil		R	A	A Open	NC ↔	Open

## 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
*HA03	Rent loss and backlog of voids caused by delayed house moves	Operational	Dawn Kent	Janet Martin	A	G	G Q4 2021/22	G ↓	Closed
HA07	Delays in the Capital Programme due to contractors going into administration	Risk removed due to duplication *CP08							
*CP04	Impact on income due to an increase level of voids within our commercial and industrial estate.	Operational	Lisa McLellan	Gill Fairhurst	A	G	G Q4 2021/22	G ↓	Closed
CP05	The level of voids within our commercial and industrial estate increases – due to less demand from prospective new tenants – with an impact on income targets	This risk has been merged with CP04							



Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*CP08	Delays in the Capital Programme due to contractors going into administration Note: Construction companies back to normal levels post lockdown.	Operational	Neal Cockerton	Ian Edwards/Glyn Garbutt	A	G	G Q4 2021/22	G ↓	Closed
*CP10	Increased cost and insurance claims due to Increased levels of vandalism or break-ins (connected to CP04 & CP06)	Operational	Lisa McLellan	Paul Brockley/Gill Fairhurst	A	G	G Q4 2021/22	G ↓	Closed
HA23	Increase costs and reputational damage due to inability to complete Welsh Housing Quality Standards (WHQS) by 2020	Operational	Peter McHugh	Sean O Donnell	R	G	G Q4 2021/22	G ↓	Closed
*HA26	Delays in service delivery if there is a shortage/lack of availability of Personal Protective Equipment (PPE) for contractors and Flintshire County Council (FCC) staff	Operational	Jen Griffiths	Robin Davies	A	G	G Q4 2021/22	G ↓	Closed
*HA32	Inability to deliver housing adaptations due to the health of the clients and vulnerability	Operational	Jen Griffiths	Robin Davies	A	G	G Q4 2021/22	G ↓	Closed
*HA37	Property access and restrictions prevent routine and obligatory inspections.	Operational	Dawn Kent	Mike Angell	A	G	G Q4 2021/22	G ↓	Closed
HA39	Inability to comply with Gas Safety Regulation (Gas servicing)	Operational	Peter McHugh	Kevin Eccles	A	G	G Q3 2021/22	G ↓	Closed

Risk Matrix

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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							

Mae'r dudalen hon yn wag yn bwrpasol

Planning, Environment and Economy Portfolio Risk Register

Published: 25.02.22

Risk Register - Part 1 (Portfolio Management)

Finance

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
*Denotes the risk is specific to the 'Recovery'		
PE	Planning, Environment and Economy	

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*PE02	Failure to meet income targets for Portfolio due to downturn in submission of planning applications, building regulations applications, Highways DC applications and licensing applications	Operational	Andrew Farrow	Sian Jones	R	Y	Y Q4 2021/22	NC ↔	Open
*PE03	Unable to regenerate Town Centres through implementation of the Town Centre Strategy due to insufficient resources and the compound economic consequences of the emergency situation	Strategic	Niall Waller	Rachael Byrne	R	A	A Q4 2021/22	NC ↔	Open
*PE24	Failure to deliver the Flintshire element of Regional Growth Deal projects	Strategic	Niall Waller	Rachael Byrne	Y	Y	G Q4 2022/23	NC ↔	Open
*PE05	Failure to meet income targets for Minerals and Waste Shared Service due to downturn in submission of planning applications and reduced compliance visits during lockdown and a subsequent potential economic downturn	Operational	Gary Nancarrow	Robin Williams	R	A	G Q4 2021/22	NC ↔	Open
PE25	Domestic energy service is self-funding so remains vulnerable to a shortfall in income levels.	Operational	Niall Waller	Joseph Muxlow	A	Y	G Q4 2022/23	NC ↔	Open
PE23	Financial risks arising from programme for private sector homes improvements	Operational	Niall Waller	Joseph Muxlow	Y	G	G Q4 2022/23	NC ↔	Open
PE26	Essential Services are disrupted and/or stopped due to contract failure	Strategic	Andrew Farrow	Lynne Fensome	A	Y	G Q4 2021/22	NC ↔	Open

Workforce

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*PE07	Impact on service delivery due to the resilience of staff and succession planning	Operational	Andrew Farrow	PEESMT	R	A	A Q4 2021/22	NC ↔	Open
*PE27 Updated	Risk to officers who do not adhere to the hybrid model developed for return to the offices Note: risk trend is reducing due to increasing familiarity with the Portfolio's ways of working and increasing confidence in our ability to provide a safe workplace with the measures in place to prevent the spread of Covid within the workforce	Operational	Andrew Farrow	PEESMT	R	Y	G Q3 2021/22	G ↓	Open
PE28 New	Risk to service delivery through inability to recruit into vacant posts	Operational	Andrew Farrow	PEESMT	R	A	G Q3 2021/22	New	Open

## External Regulation

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
PE11	Non-compliance with Welsh Government Carbon Reduction Target due to external factors such as willingness of the wider public to support initiatives, access to funding to develop projects	Strategic	Andrew Farrow	Alex Ellis	R	Y	G Q4 2021/22	NC ↔	Open
PE12	The implications of Ash Die back on finances and reputation of the Council due to the scale of the problem and the ability to make safe Highways and Council amenity land	Strategic	Tom Woodall	John Purchase	B	A	A Q4 2021/22	NC ↔	Open
*PE14 Updated	Non-compliance with Sustainable Urban Drainage System legislation due to capacity of the team Note: risk trend is increasing due to a further loss of existing staff from this team and a continuing inability to attract applicants to vacant posts	Operational	Andy Roberts	TBC	R	R	A Q3 2021/22	R ↑	Open
*PE16	Capacity within the Community and Business Protection teams to resume planned and reactionary programmes of inspections due to existing backlog of work accumulated during the pandemic, ongoing Covid work and recruitment issues due to the national shortage of Environmental Health Officers	Operational	Sian Jones	Helen O'Loughlin/ Marian Davies/ Lisette Bembridge	R	A	Y Q4 2021/22	NC ↔	Open
Tudalen PE17	Non-compliance with Welsh Language Standards due to the Welsh Language Commissioner's instruction to Flintshire County Council for translation of planning applications and consultation responses	Operational	Lynne Fensome	Sue Davies	R	A	Y Q4 2021/22	NC ↔	Open

## IT &amp; Systems

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*PE21 Updated	Integration and assimilation to new case management system is not achieved Note: risk trend is reducing due to testing of migrated data and technical requirements before setting a go live date.	Project	Lynne Fensome	Sue Davies	R	Y	G Q4 2021/22	G ↓	Open

## 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
*PE19	Unsustainable demand on the Employment Mentoring service due to the economic implications of lockdown and the increase in referrals from Job Centres of those seeking employment	Operational	Niall Waller	Sharon Jones	R	A	G Q4 2021/22	G ↓	Closed
*PE18	Procurement, integration and assimilation to new case management system is not achieved due to market forces and compliance with Flintshire County Council terms of contract	Project	Lynne Fensome	Sue Davies	R	G	G Q4 2021/22	G ↓	Closed
*PE13	Welsh Government call in the Local Development Plan due to our inability to meet the delivery agreement timetable	Strategic	Andy Roberts	Adrian Walters	B	G	G Q3 2020/21	G ↓	Closed
PE08 PE15	Decrease in Food Safety and Food Standards following exit from the European Union	Operational	Sian Jones	Helen O'Loughlin	B	G	G Q4 2021/22	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
PE22	Increased anxiety among officers required to attend their work base due to non-compliance with risk assessment and increasing numbers of officers testing positive for coronavirus	Operational	Andrew Farrow	PEESMT	R	G	G Q2 2021/22	G ↓	Closed
*PE06	Decreasing availability of funding to deliver fuel poverty projects due to re-prioritisation of funding streams	Operational	Niall Waller	Joseph Muxlow	R	G	G Q1 2021/22	G ↓	Closed
*PE04	Failure to prepare and deliver Growth Deal projects due to potential realigning of capital funding	Strategic	Niall Waller	Rachael Byrne	A	G	G Q1 2021/22	G ↓	Closed
*PE01	Loss of Community Benefits by not maximising the inclusion of social value in Contracts	Strategic	Niall Waller	Olivia Hughes	A	G	G Q4 2021/22	G ↓	Closed
*PE09	Reluctance of staff to return to their work base and "normal working patterns on lifting of lockdown restrictions due to anxiety levels linked to increased exposure and personal circumstances and failure to take account into the personal preferences of officers in designing future service delivery models	Operational	Andrew Farrow	PEESMT	R	G	G Q2 2021/22	G ↓	Closed
PE10	Energy Saving initiatives not included in Capital Projects due to non-involvement of Energy Team with Property and Assets team on design of projects which may result in those projects accruing higher long-term costs	Strategic	Andy Roberts	Energy Team	R	G	G Q4 2021/22	G ↓	Closed
*PE20	Increase in non-compliant sites due to inability to conduct enforcement and site monitoring inspections	Operational	Andrew Farrow	Gary Nancarrow/Sian Jones/Andy Roberts/Tom Woodall	R	G	G Q4 2021/22	G ↓	Closed

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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							

Mae'r dudalen hon yn wag yn bwrpasol

Social Services Portfolio Risk Register

Published: 25.02.2022

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
NC ↔	No change in risk trend since last review
Risk Status	Open denotes a live risk      Closed denotes a closed risk
*Denotes the risk is specific to the 'Recovery'	
SS	Social Services

Risk Register - Part 1 (Portfolio Management)

Financial

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
SS01	Expenditure on out of county placements increases as placement costs increase in a demand led market. (The market development element of this risk is Amber; the risk to the budget remains Red)	Strategic	Craig Macleod/ Jeanette Rock	Peter Robson / Paula Roberts	R	R A	A Open	NC ↔	Open
SS30	The pressure created by the escalating cost of agency workers and our inability to retain staff is not part of the identified pressures and will be additional to any current or future budget plans	Strategic	Neil Ayling	Jonathan Davies	A	A	G Open	NC ↔	Open
SS31	Commissioned providers exiting the market because of escalating costs, where a long term sustainable fee model is unaffordable for Local Authorities.	Strategic	Jane Davies	Dawn Holt	R	A	Y Q3 2022/23	NC ↔	Open

Reputational

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
SS29	Insufficient capacity in the social care workforce (social work and occupational therapy) is a risk to the reputation of the Council and its ability to fulfill its statutory and essential functions with respect to social care.	Strategic	Susie Lunt	Craig Macleod	R	R	G Open	NC ↔	Open

External Regulation

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
SS06	Some individuals are illegally detained awaiting Liberty Protection assessments because there is insufficient capacity to absorb the introduction of Community assessments	Strategic	Jane Davies	Jayne Belton	A	Y	Y Open	NC ↔	Open
SS32	Legislative risks and risks to managing court proceedings and safeguarding processes	Operational	Craig Macleod	Susie Lunt	A	Y	G Q4 22/23	NC ↔	Open

ICT Systems

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
SS08	Failure of the Clipper Finance system due to the age of the software and its incompatibility with new server technology	Project	Jane Davies	Katrina Shankar	G	G	G Open	NC ↔	Open

Risk Register - Part 2 (Portfolio Service & Performance)

Adult Services

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
SS09 Updated	Insufficient numbers of residential and nursing beds to meet demand because of the long term fragility and instability of the care home sector and challenges in the recruitment of staff Note: Current risk rating has increased to amber as a nursing home has exited the market.	Strategic	Jane Davies	Dawn Holt	R	A	Y Open	↑ R	Open
SS10 Tudalen	Insufficient capacity to provide the quantities and levels of care to clients at home and in the community because of challenges in recruitment of direct care workers and instability in the care market	Strategic	Jane Davies	Dawn Holt	R	A	Y Open	NC ↔	Open
SS33 72	Vacancy pressures in Adult Services due to difficulties in recruitment and retention of qualified and experienced social workers impact on service delivery.	Operational	Susie Lunt	Jane Davies	R	R	G Open	NC ↔	Open

Children's Services / Early Years

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
SS19	More children and families experience ACE's (Adverse Childhood Experiences) as family relationships breakdown, or become strained, due to the pressures of lockdown and rising financial pressures.	Strategic	Craig Macleod	Gail Bennett	A	Y	Y Open	NC ↔	Open
SS22	An insufficient supply of placements leads to young people being placed in unregulated settings.	Strategic	Craig Macleod	Peter Robson	R	R	A Open	NC ↔	Open
SS34	Vacancy pressures in Children's Services due to difficulties in recruitment and retention of qualified and experienced social workers impact on service delivery.	Operational	Craig Macleod	Jane Davies	R	R	G Open	NC ↔	Open
SS35	The Market Supplement Policy ends after 12 months with no exit strategy and no plans for the future for those workers. A task and finish group has been established to focus on recruitment and retention.	Project	Craig Macleod		R	A	G Q4 22/23	NC ↔	Open
SS36	Risk to regional working if workforce recruitment and retention is not co-ordinated with other North Wales Authorities.	Project	Craig Macleod		A	A	G Q4 22/23	NC ↔	Open



Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
SS42	Following National media coverage in relation to child deaths there has been an increase in child protection referrals which require S47 investigation, this is placing extra demand on the service.	Operational	Craig Macleod	Jenny Frost	A	Y	G Open	NC ↔	Open

Adult & Children's Services

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*SS24	Pressures on the care system as unpaid carers and families are not able to continue in their caring role due to the reductions in respite and day services	Operational	Dawn Holt	Jo Taylor	R	Y	Y Open	NC ↔	Open
*SS27	Insufficient capacity to cope with a sharp increase in referrals to child and adult services	Operational	Craig Macleod	Dawn Holt	R	Y	A Open	NC ↔	Open
SS37	Vacancy pressures across Social Services due to difficulties in recruitment and retention of qualified and experienced occupational therapists impact on service delivery	Operational	Susie Lunt	Jane Davies	R	R	G Open	NC ↔	Open
SS38	Risk of escalating complaints from individuals as waiting times increase and individuals express dissatisfaction with services	Operational	Jane Davies	Ian Maclaren	Y	Y	G Q4 22/23	NC ↔	Open
Tudal 73 SS39	Partnership working is adversely impacted as we are increasingly unable to provide a timely response	Operational	Jane Davies	Dawn Holt	R	R	G Q4 22/23	NC ↔	Open
SS40	Recruitment difficulties are compounded by a rising absence rate, as staff miss the support of their colleagues due to long term home working.	Operational	Craig Macleod	Jane Davies	A	A	G Q4 22/23	NC ↔	Open
SS41	Agency rates become unaffordable as demand for qualified social workers exceeds supply.	Operational	Craig Macleod	Susie Lunt	R	R	G Q4 22/23	NC ↔	Open

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
*SS02	Expenditure on experienced agency workers increases due to the reduction in opportunities for face to face training and development for existing / new staff	Operational	Jane Davies	-	A	G	Y Q1 2021/22	NC ↔	Closed
SS04	It becomes increasingly difficult to recruit and retain staff in the residential sector due to the significant requirements for the registration of care staff under the Regulation and Inspection of Social Care Act	Strategic	Jane Davies	Dawn Holt	A	Y	Y Q4 2020/21	NC ↔	Closed
*SS05	Workforce depleted by sickness due to long term impact of working under extremely stressful conditions	Operational	Jane Davies		A	G	Y Q4 2020/21	NC ↔	Closed
*SS07	We are unable to progress with the processing of complaints and Information Requests due to physical distancing requirements and travel restrictions	Operational	Jane Davies	Jacque Slee	Y	G	G Q2 2020/21	NC ↔	Closed

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*SS11	Unpreparedness to meet the needs of clients discharged from hospital because they have been discharged prematurely and without a full assessment	Operational	Susie Lunt	Janet Bellis	R	G	Y Q4 2020/21	NC ↔	Closed
SS12	Objectives for the Alternative Delivery Model (ADM) Learning Disability Day and Work Opportunities (Hft) project will not be achieved because of physical distancing requirements and the reduction in face to face delivery	Project	Dawn Holt	Emma Murphy	A	G	A Q1 2021/22	NC ↔	Closed
SS13	Development of Microcare will not progress due to difficulties recruiting and training potential carers	Project	Dawn Holt	Rob Loudon	Y	G	G Q4 2020/21	NC ↔	Closed
SS14	Objectives for the development of Ty Tryffynnon will not be achieved due to very tight timescales	Project	Dawn Holt	Christy Hoskings	Y	G	G Q2 2020/21	NC ↔	Closed
SS15	Opening of Plas Yr Ywen Extra Care will be delayed due to redeployment of staff to support critical services	Project	Mark Holt	Carol Dove	Y	G	G Q4 2020/21	NC ↔	Closed
SS16	The re-commissioning of Supported Living Properties will not achieve continuity of care through TUPE for the individuals concerned	Project	Dawn Holt	Carol Dove	Y	G	G Q4 2020/21	NC ↔	Closed
Tudalen 74 SS17	The redevelopment of Marleyfield Care Home will not be achieved within budget and timescales because of delays in the construction supply chain and risk of infection for residents	Project	Dawn Holt	Gareth Jones	G	G	G Q4 2020/21	NC ↔	Closed
SS18	Objectives in the project plan for Person Shaped Support (PSS) Trio and Short Break Care will not be achieved due to physical distancing requirements and the reduction in face to face care	Project	Dawn Holt	Emma Murphy	Y	G	G Q1 2021/22	NC ↔	Closed
*SS20	We will not meet our ambition to safely reduce our identified cohort of children looked after due to delays in the court process	Project	Peter Robson	Craig Macleod	R	G	Y Q1 2021/22	NC ↔	Closed
*SS21	Targets for Mockingbird are missed due to a failure to recruit foster carers to the scheme given the constraints on completing assessments for carers and providing training	Project	Craig Macleod	Peter Robson	A	G	Y Q1 2021/22	NC ↔	Closed
*SS23	Impacts on vulnerable people through a withdrawal of resources from non-essential services to prioritise meeting demand in essential services	Operational	Susie Lunt	Craig Macleod	R	Y	Y Q4 2020/21	NC ↔	Closed
*SS25	Insufficiency in the supplies of equipment for people to keep themselves safe due to the diversion of equipment to temporary hospital facilities, and the supply of PPE	Operational	Susie Lunt	Steve Featherstone	R	G	Y Q2 2020/21	NC ↔	Closed
*SS28	Individuals with a learning disability or autism are unable to access services due to the suspension of transformation programmes	Project	Susie Lunt	Jo Taylor	R	Y	Y Q3 2020/21	NC ↔	Closed
*SS26	Adults and children are not effectively safeguarded due to restrictions in their visibility during shielding/social isolation and targeted criminal activity designed to exploit vulnerable people.	Operational	Jane Davies	Craig Macleod	R	G	Y Q1 2021/22	NC ↔	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							

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Mae'r dudalen hon yn wag yn bwrpasol

Streetscene and Transportation Portfolio Risk Register

Published: 25.02.2022

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	
NC ↔	Risk has not changed since the last review	
Risk Status	Open denotes a live risk	Closed denotes a closed risk
*Denotes the risk is specific to the 'Recovery'		
ST	Streetscene and Transportation	

Risk Register - Part 1 (Portfolio Management)

Finance

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*ST01	Public bus services (commercial and subsidised) are financially unsustainable due to reduced passenger numbers	Operational	Anthony Stanford	Ceri Hansom	R	R	G Open	NC ↔	Open
*ST02	Increased transport operating costs due to reducing number of available transport operators to provide services	Operational	Anthony Stanford	Ceri Hansom	R	R	G Open	NC ↔	Open
*ST02a	Increased transport operating costs due to the retendering of services	Operational	Anthony Stanford	Ceri Hansom	R	A	G Open	NC ↔	Open
*ST04	Increased operational costs (resource, workforce) for Bereavement Services due to increased number of deaths	Operational	Anthony Stanford	Richard Blake	A	G	G Open	NC ↔	Open
ST06	Unable to ensure highways infrastructure remains safe and capable of supporting economic growth due to reduced funding	Strategic	B Wilkinson	Area Managers	Y	A	Y Open	NC ↔	Open
ST07	Unable to respond to Ash Die Back due to insufficient resource or funding	Strategic	B Wilkinson	Area Managers	Y	A	Y Open	NC ↔	Open
*ST08	Increase in third party claims due to changes in Highway Inspection process	Strategic	B Wilkinson	Area Managers	Y	G	G Q1 2021/22	NC ↔	Open
*ST09	Loss of income from the sale of recyclable materials due to reduced market demand	Operational	Ruth Tulley	G Povey	A	Y	Y Open	NC ↔	Open
*ST10	Increased expenditure on contract, labour, plant, vehicles and materials due to changing work patterns in response to pandemic	Strategic	Neil Cox	Gareth Thomas, Kevin Edwards, Jamie Bennet	A	A	A Open	NC ↔	Open
*ST10a	Increased expenditure on the disposal of residual waste due to increased tonnage collected from residential properties	Strategic	Ruth Tulley	G Povey	A	A	Y Open	NC ↔	Open
*ST11	Significant loss of income from the suspension of services due to COVID-19 response	Strategic	Ruth Tulley	Vicky Plant	R	A	G Open	NC ↔	Open

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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
ST48	Increased expenditure on service response to adverse weather conditions (flooding; wind; storms)	Operational	B Wilkinson	Area Managers	R	A	G Open	NC ↔	Open
ST55	Uncertainty and delays to confirmation of future grant funding from Welsh Government to enable service planning	Strategic	Katie Wilby	Anthony Stanford, Barry Wilkinson, Ruth Tulley, Neil Cox	R	A	G	NC ↔	Open
ST56	Increased expenditure on energy as costs remain at unprecedented levels and exceed budgets	Operational	Katie Wilby	Anthony Stanford, Barry Wilkinson, Ruth Tulley, Neil Cox	R	Y	G	NC ↔	Open

Workforce

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*ST12 Updated	Reduced numbers of frontline workers and contractors to deliver services safely due to increased sickness levels Note: Risk trend is decreasing and current risk rating decreased to amber due to reduced sickness absence. Target risk date changed to open	Operational	Neil Cox	Gareth Thomas / Kevin Edwards / Jamie Bennett	A	A	G Open	G ↓	Open
Tudalen 78 *ST12a	Reduced numbers of frontline workers and contractors to deliver services safely due to the requirement for self-isolation	Operational	Neil Cox	Gareth Thomas / Kevin Edwards / Jamie Bennett	A	A	G Q2 2021/22	NC ↔	Open
*ST14	An increase in staff absence due to physical and verbal abuse while undertaking duties	Operational	Operational Managers	Supervisors	A	G	G Open	NC ↔	Open
ST15	Workforce industrial action will impact on our ability to deliver key operational services	Strategic	Neil Cox	Gareth Thomas, Kevin Edwards, Jamie Bennet	G	Y	G Open	NC ↔	Open
*ST16	Inability to provide staff with key training due to social distancing measures	Operational	Ruth Tulley	Gemma Boniface	Y	Y	G Q2 2021/22	NC ↔	Open
*ST17	Increased referrals to occupational health for mental health issues due to the impacts of remote working or continuing to work in frontline services	Strategic	Katie Wilby	Ruth Cartwright, Neil Cox, Barry Wilkinson, Anthony Stanford	A	Y	G Open	NC ↔	Open
*ST17a	Increased risk of ill health due to mental health and well-being, personal and/or family issues	Strategic	Katie Wilby	Ruth Cartwright, Neil Cox, Barry Wilkinson, Anthony Stanford	R	A	G Open	NC ↔	Open
*ST20	Missing key changes in employees' health and wellbeing due to Face to Face Occupational Health Surveillance appointments being placed on hold	Operational	Ruth Tulley	Gemma Boniface	Y	Y	G Q2 2021/22	NC ↔	Open
*ST45	Inability to deliver key frontline services due to the shortage of HGV drivers	Operational	Neil Cox	Gareth Thomas, Kevin Edwards, Jamie Bennet	A	R	G Open	NC ↔	Open
*ST46	Inability to deliver service due to the difficulty of recruiting and/or retaining skilled staff and workforce.	Operational	Katie Wilby	Ruth Cartwright, Neil Cox, Barry Wilkinson, Anthony Stanford	A	R	G Open	NC ↔	Open

## Property &amp; Assets

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
ST21	Loss of depot facilities will impact our ability to deliver operational services	Operational	Neil Cox	Gareth Thomas, Kevin Edwards, Jamie Bennet	R	G	G Open	NC ↔	Open
ST23	Impact of adverse weather conditions on the highway network resulting in damage to infrastructure	Strategic	B Wilkinson	Area Managers	A	A	A Open	NC ↔	Open
ST24a	Unable to progress with key infrastructure improvement projects due to resilience in staff, contractors and supply chain	Strategic	Anthony Stanford	Richard Flood	A	R	G Q4 2021/22	NC ↔	Open
*ST26	Lack of available space at the Alltami depot facility to be able to provide full service due to social distancing measure	Operational	Neil Cox	Gareth Thomas	R	A	Y Q4 2021/22	NC ↔	Open

## Governance/Legal

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*ST27	Breach of legislation / Non-compliance with legislation (Environmental Permits, Health & Safety, Vehicle Operators' license, TROs) due to the inability to provide work services	Strategic	Katie Wilby	Ruth Tulley, Neil Cox, Barry Wilkinson, Anthony Stanford	A	Y	G Open	NC ↔	Open

## Internal Regulation

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
ST28	Unable to accept and process waste and recycling due to the loss of Environmental Permit	Strategic	Ruth Tulley	G Povey	A	G	G Q4 2020/21	NC ↔	Open
*ST28a	Unable to gain regulatory approval (planning; Drainage; environmental permitting) to progress key infrastructure projects in a timely manner due to delays in processing applications.	Operational	Katie Wilby	Steven Parry, Gaby Povey	A	R	G Q4 2021/22	NC ↔	Open
*ST30	Expiry of statutory training certifications due to the inability to undertake testing / training	Strategic	Ruth Tulley	Gemma Boniface	G	A	G Q2 2021/22	NC ↔	Open

## ICT &amp; Systems

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
ST33	Unable to deliver key operational services due to the failure of telecommunications, ITC, mobile phone networks	Strategic	Katie Wilby	Ruth Tulley, Neil Cox, Barry Wilkinson, Anthony Stanford	R	G	G Open	NC ↔	Open
ST47	Unable to deliver key services due to the delay in progressing IT development projects	Strategic	Katie Wilby	Ruth Tulley, Neil Cox, Barry Wilkinson, Anthony Stanford	G	A	G Open	NC ↔	Open



## Risk Register - Part 2 (Portfolio Service &amp; Performance Risks)

## Service Delivery

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*ST34	Lack of available materials (tarmac, stone) to undertake planned works due to product availability	Strategic	Neil Cox	Gareth Thomas, Kevin Edwards, Jamie Bennet	A	A	G Q4 2021/22	NC ↔	Open
*ST35	Lack of preparedness to respond to multiple emergencies or major incidents during the pandemic (severe weather event, fire, major transport accident) due to resource being focused on delivering key services	Strategic	Neil Cox	Gareth Thomas, Kevin Edwards, Jamie Bennet	A	A	G OPEN	NC ↔	Open
*ST36	Loss of key suppliers or partner organisations to deliver key operational services due to company insolvencies	Strategic	Neil Cox	Gareth Thomas, Kevin Edwards, Jamie Bennet	A	A	G Open	NC ↔	Open
*ST36a	Loss of key suppliers or partner organisations to deliver key operational services due break in operations (fire, loss of permit, sickness)	Operational	Ruth Tulley	Katie Wilby, Barry Wilkinson, Anthony Stanford	A	A	G Open	NC ↔	Open
ST36b	Essential Services are disrupted and/or stopped due to contract failure	Strategic	Katie Wilby	Ruth Tulley, Barry Wilkinson, Anthony Stanford	A	A	G Open	NC ↔	Open

## Highway Policy

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
ST49	Inability to deliver nonessential highway network schemes due to service resilience	Strategic	Anthony Stanford	Richard Flood	A	A	G Open	NC ↔	Open

## Fleet

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
ST40	Interruption of available fuel to sufficiently operate fleet vehicles	Strategic	B Wilkinson	Fleet Manager	G	Y	G OPEN	NC ↔	Open
*ST40a	Increasing fuel costs due to instability in the fuel market	Operational	B Wilkinson	Fleet Manager	A	A	G OPEN	NC ↔	Open

## Waste Strategy

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*ST41	Unable to dispose of waste and recycling products due to end producer availability	Operational	Ruth Tulley	G Povey	R	A	G Open	NC ↔	Open
ST50	Inability to achieve national recycling targets due to increased residual waste tonnages collected	Strategic	Ruth Tulley	G Povey	R	A	G Open	NC ↔	Open



## Parking and Enforcement

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*ST42a	An increase in dangerous and obstructive parking in residential areas preventing operational service delivery (waste and recycling collections; gritting; highway maintenance) due to increased working from home.	Operational	Neil Cox	Kevin Edwards	Y	A	G Open	NC ↔	Open
*ST43a Updated	An increase in environmental crime (littering, dog fouling, side waste) due to increased footfall in public and open spaces and residents not disposing of waste appropriately Note: risk trend is decreasing and current risk rating decreased to yellow due to reduced reports of environmental crime	Operational	Ruth Tulley	Vicky Plant	A	Y	G Q4 2021/22	G ↓	Open

## Compliance and Training

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
ST51 Updated	Inability to deliver training session due to vacancy of the training officer position Note: risk trend is decreasing and current risk rating decreased to green due to successful appointment of an operational trainer	Operational	Ruth Tulley	Gemma Boniface	A	G	G Q1 2022/23	G ↓	Open
Tudalen ST52	Inability to deliver service due to untrained workforce	Operational	Ruth Tulley	Gemma Boniface	R	A	G OPEN	NC ↔	Open
ST53	Loss of training data due to inadequate recording process	Operational	Ruth Tulley	Gemma Boniface	R	A	G Q2 2022/23	NC ↔	Open
81 ST54	Increased expenditure on procuring training database systems	Operational	Ruth Tulley	Gemma Boniface	Y	Y	G Q2 2022/23	NC ↔	Open

## Closed Risk

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*ST29	Loss of Industry Standard accreditations due to the inability to undertake external audits	Operational	R Cartwright	G Povey / P Murphy	G	G	G Q3 2020/21	NC ↔	Closed
*ST31	Expiry of calibrated equipment due to the inability to undertake testing	Operational	Ruth Cartwright	Gemma Boniface	G	G	G Q3 2020/21	NC ↔	Closed
*ST13	Limited Personal Protective Equipment (PPE) for workforce to conduct operations safely due to lack of availability in supply chain	Operational	Gareth Thomas	Steve O'Shaughnessy	A	G	G Q2 2020/21	NC ↔	Closed
*ST19	Unable to build resilience and provide generic work functions due to remote working	Operational	Ruth Cartwright	Vicky Plant	Y	G	G Q2 2020/21	NC ↔	Closed
*ST24	Unable to progress with key infrastructure improvement projects due to prolonged pandemic impacts due to reduced grant funding	Strategic	Anthony Stanford	Richard Flood	G	G	G Q4 2020/21	NC ↔	Closed
*ST42	An increase in dangerous and obstructive parking due to the suspension of parking enforcement	Operational	Ruth Cartwright	Vicky Plant	A	G	G Open	NC ↔	Closed
*ST03	Increasing cost of undertaking Public Health Funerals due to inability of families to fund funeral	Operational	Anthony Stanford	Richard Blake	A	G	G Q4 2020/21	NC ↔	Closed

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
*ST05	National targets not being met for Road Safety and Active Travel due to an inability to complete essential schemes	Strategic	Anthony Stanford	Richard Flood	R	G	G Q4 2020/21	NC ↔	Closed
*ST18	Backlog of administrative work due to home working (permit processing, payment refunds, tag printing)	Operational	Ruth Cartwright	Vicky Plant	A	G	G Q4 2020/21	NC ↔	Closed
*ST22	Lack of available burial capacity due to increased demand	Operational	Anthony Stanford	Richard Blake	R	G	G Q4 2020/21	NC ↔	Closed
*ST32	Backlog in vehicle MOTs due to the closure of test centres	Operational	B Wilkinson	Fleet Manager	R	G	Y Q4 2020/21	G ↓	Closed
*ST44	Increase in large scale fly tipping due to the closure of Household Recycling Centres and illegal waste collection companies operating	Operational	Ruth Cartwright	Vicky plant	A	G	G Open	NC ↔	Closed
*ST25	Inadequate vehicle capacity to transport pupils and passengers whilst adhering to social distancing	Operational	Anthony Stanford	Ceri Hansom	R	G	Y Open	NC ↔	Closed
*ST38	Unable to undertake pedestrian/cycle safety training due to schools not operating and reduced funding	Operational	Anthony Stanford	Richard Flood	A	G	G Open	NC ↔	Closed
*ST39	Unable to undertake traffic surveys to support financial bids for transport schemes or justify implementing new safety measures	Strategic	Anthony Stanford	Richard Flood	R	G	G Open	NC ↔	Closed
*ST43	An increase in environmental crime (littering, dog fouling, side waste) due to the suspension of monitoring patrols	Operational	Ruth Cartwright	Vicky Plant	A	Y	G Open	NC ↔	Closed
*ST02b	Increased transport operating costs due to industrial action undertaken by contractors leading to re-procurement of routes	Operational	Anthony Stanford	Ceri Hansom	R	A	G Q4 2021/22		Closed
ST15a	Inability to deliver key transport services due to contractor industrial action	Operational	Anthony Stanford	Ceri Hansom	A	A	G Q4 2021/22		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							