

2022/23

Flintshire County Council  
Annual Governance Statement

Mid-Year Progress Update

Version 3

## What is the purpose of this document?

This document details our progress made against the actions from the assessment of Council’s Corporate Governance Framework where areas of best practise and areas for further improvement were identified.

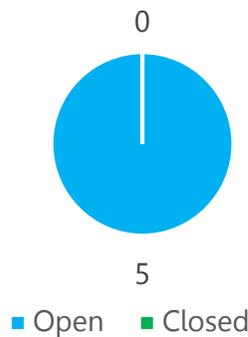
### Areas for Improvement

|                    | Area for Improvement  |
|--------------------|---|
| <b>Principle A</b> | (A1) Ensure members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the Organisation  |
| <b>Principle B</b> | (B17, B18, B21, B23, B24, B25) Circumstances have curtailed our ability to consult and engage, but not the willingness to do so. Further planning required following the legislation on Local Government and Elections (Wales) Act 2021.  |
| <b>Principle C</b> | (C29, C32) Delivering defined outcomes on a <b>sustainable</b> basis within the resources that will be available and considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision. |
| <b>Principle E</b> | (E51, E53, E57, E61) Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority’s resources are allocated so that outcomes are achieved effectively and efficiently.                         |
| <b>Principle F</b> | (F66, F73, F74) An Internal Audit review of the Risk Management Framework and Risk Register was undertaken during 2022/23 and has highlighted some areas for improvement to build upon the risk management framework and processes going forward.                                     |

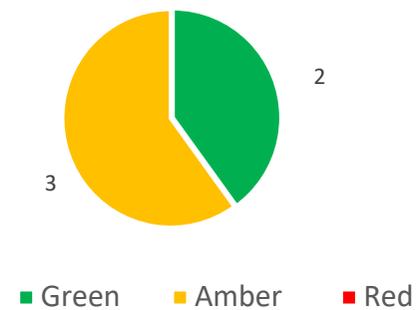
## Dashboard overview for significant Governance Issues reported in the 2022/23 AGS

The charts below give a high-level overview of the progress made for the areas identified of significance for Governance issues as identified as part of the AGS review.

**Total number of issues**



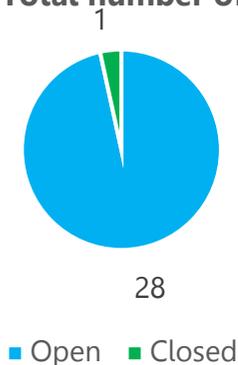
**Progress RAG**



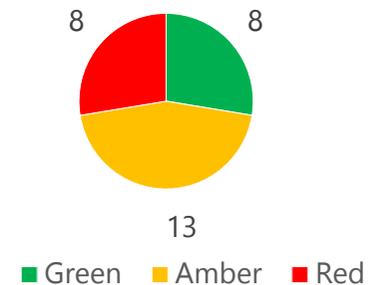
## Dashboard overview for significant Strategic Issues reported in the 2022/23 AGS

The charts below give a high-level overview of the progress made for the areas identified of significance for Strategic issues.

**Total number of Issues**



**Progress RAG**



## Progress updates for significant governance issues identified during 2022/23

The review of the effectiveness of the Council’s governance framework identified the following significant internal governance issues during 2022/23. Progress updates of how the issue has been addressed and if it remains open is provided below:

| Internal Council Governance issues  | Mitigation Actions  | Current Status | Progress Update   | Progress RAG |
|---|---|----------------|---|--------------|
| (A1) Ensure members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the Organisation                            | <ul style="list-style-type: none"> <li>Action plan for to enhance new Members understanding of their role</li> <li>Workshop for Members to provide relevant training and learning opportunities</li> </ul>  | <b>Open</b>    | <p>The induction program delivered in May, June and July 2022 provided a detailed introduction to the role of a Councillor, including behaviors and expectations associated with the role.</p> <p>This is continually evolving, with the intention that over the course of the current term, more specific training will be delivered to Members appropriate to their roles. For example, Chairing Skills training was targeted at <u>all</u> Chairs and Vice-Chairs in September 2023 to help improve meeting management. A Scrutiny Questioning Skills session was delivered for members of our scrutiny committees in October 2023 to help ensure Members are aware of the role of scrutiny.</p> <p>A session on communication, behavior, the use of social media etc. is being developed following a recommendation from the Standards Committee.</p> | <b>Amber</b> |
| (B17, B18, B21, B23, B24, B25) Circumstances have curtailed our ability to consult and engage, but not the willingness to do so. Further planning required following the legislation on Local Government and Elections (Wales) Act 2021 | <ul style="list-style-type: none"> <li>Appointment of Customer Services and Engagement Manager</li> <li>Creating a Customer and Engagement and Public Participation Strategies</li> <li>Improving the Council’s presence on social media platforms</li> </ul> | <b>Open</b>    | <p>Customer Service and Communications Manager was appointed in July 2023.</p> <p>A Consultation and Engagement Strategy is to be developed this year.</p> <p>The concerns and complaints policy applies to all services and performance data is regularly shared with COT and portfolio leads to monitor trends</p>  | <b>Green</b> |

| Internal Council Governance issues  | Mitigation Actions  | Current Status | Progress Update   | Progress RAG |
|---|---|----------------|---|--------------|
|   | <ul style="list-style-type: none"> <li>Use of Council’s complaints and feedback for continued service improvement</li> </ul>  |                |   |              |
| (C29, C32) Delivering defined outcomes on a <b>sustainable</b> basis within the resources that will be available and considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision. | <ul style="list-style-type: none"> <li>Review of the pay model</li> <li>Integrated Impact Assessments to be utilised and happen consistently across all portfolio’s</li> <li>Review the challenges with vacancy management</li> </ul> | <b>Open</b>    | <p>The Pay Model review remains ongoing and the group responsible are making strong progress with respect to a recommended model. The RAG status should be amber on the basis the recommendation would need to be agreed by COT and Elected Members before the adoption of a new pay model (Amber).</p> <p>A Pilot Project of a new Integrated Impact Assessment Tool is taking place with Manchester University. First workshop has been held with Officers who have used the tool to make further amendments. Further testing and evaluation of the tool to take place between November 2023 and March 2024 (Green).</p> <p>Still proactively reviewing vacancies as part of the vacancy management protocol. The criteria for vacancy management will be reviewed in December to ensure the protocol is fit for purpose.</p> | <b>Amber</b> |
| (E51, E53, E57, E61) Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority’s resources are allocated so that outcomes   | <ul style="list-style-type: none"> <li>Develop the use of APSE</li> <li>Career conversation to form part of the appraisal</li> <li>A review of the Member Development</li> </ul>  | <b>Open</b>    | <p>This is currently in progress. APSE continues to be used by some services however, further work is required to raise the profile of APSE with other key services.</p> <p>Whilst career conversations are asked as part of the current appraisal process this is due to be reviewed to ensure it becomes timely and relevant.</p>   | <b>Amber</b> |

| Internal Council Governance issues   | Mitigation Actions   | Current Status     | Progress Update   | Progress RAG        |
|--|--|--------------------|---|---------------------|
| <p>are achieved effectively and efficiently.</p>   |  |                    | <p>The Member Development program is currently being reviewed to ensure all Members have appropriate and suitable skills to undertake their roles.</p> <p>It will lead to a 'curriculum' that Members can then use to assist their development and skills. We will be working with external partners and other Local Authorities to ensure it is fit for purpose and that the right topics are covered.</p> <p>A final version will be presented to the Constitution and Democratic Services Committee who have oversight of training and development of Members in January 2024.</p>   |                     |
| <p>(F66, F73,) An Internal Audit review of the risk management framework and risk register was undertaken during 22/23 and has highlighted some areas for improvement to build upon the risk management framework and processes going forward.</p> | <ul style="list-style-type: none"> <li>• Continue to embed the Risk Management Framework</li> <li>• The development and implementation of InPhase</li> <li>• Roll out of the E-learning risk management training module</li> </ul> | <p><b>Open</b></p> | <p>Work to embed the Risk Management Framework and develop risk within InPhase is progressing well.</p> <p>Risk Registers for all Portfolios are now in InPhase and Portfolio Risk Reports have been developed within InPhase. A Risk User Guide has been developed and Risk demonstrations and training has been offered to all Portfolios. Training will continue on a rolling basis for new users and anyone who has not currently taken up the offer.</p> <p>Portfolios are now providing their risk updates in InPhase on a monthly basis. Monthly reports are provided to COT on the movement of risks.</p> <p>Development of the new E-learning risk management training module is progressing well and will be rolled out November/December 2023.</p> | <p><b>Green</b></p> |

## Progress updates for significant strategic issues reported in the 2022/23 AGS

The review of the effectiveness of the Council’s governance framework identified 29 strategic issues during 2022/23. Progress updates of how the issues have been addressed and if it remains open is provided below:

| Strategic issues for 2022/23  | Current Risk Score | Mitigation Actions   | Current Status | Progress Update  | Progress RAG |
|---|--------------------|--|----------------|--|--------------|
| <p><b>REY01</b><br/>Secondary schools are not financially viable due to insufficient base funding and falling pupil numbers</p> | <b>15</b>          | <ul style="list-style-type: none"> <li>• Challenge and support meetings with Headteacher/School Business Manager and regular budget monitoring sessions with schools to confirm adherence to licensed deficit protocol</li> <li>• Financial Performance Monitoring Group meetings</li> <li>• Schools’ pupil funding Formula review</li> <li>• Local Authority approval mechanisms for recruitment in schools with budget deficits</li> </ul> | <b>Open</b>    | <p>The Authority continues to work with schools through its Protocol for Schools in Financial Difficulty which provides for an appropriate level of challenge and support to help schools set a balanced budget/ and or a recovery plan that sets out the action the school will take to achieve a sustainable financial position over an agreed period of time.</p> <p>Challenge remains in that 2 of the 11 schools were in a deficit position at the end of 22/23 although deficits amounted to £0.366m compared with £0.745m the previous year.</p> <p>Actions have been reported through Cabinet and Education, Youth Culture Overview and Scrutiny Committee and Schools Budget Forum.</p> | <b>Green</b> |
| <p><b>REY06</b><br/>Insufficient funding to deliver new archive premises</p>  | <b>12</b>          | <ul style="list-style-type: none"> <li>• Archive Project Board of senior officers and political leaders meets regularly to monitor progress of the bid</li> <li>• Cabinet and Executive support for the bid to National Lottery Heritage Fund (NLHF) with formal commitment to provide capital funding to top up the scheme and</li> </ul>   | <b>Open</b>    | <p>Denbighshire County Council approved in October support for submission of a joint funding bid with Flintshire County Council to the National Lottery Heritage Fund (NLHF) Wales, seeking a capital grant value of £7m to fund a new purpose-build net carbon zero building on the Theatr Clwyd campus.</p>  | <b>Green</b> |

|   |           |  |             |   |              |
|---|-----------|--|-------------|---|--------------|
|   |           | <ul style="list-style-type: none"> <li>reporting through the Cabinet cycle</li> <li>Effective project plan, project risk registers and Project Manager in place ensures project is progressing within budget and timescales with regular reports to Archive Project Board to track progress</li> <li>Effective working with the Museums and Libraries Division of Welsh Government who are providing expert advice</li> <li>Support from The National Archive for the bid and partnership working in place – gives the bid credence. The project is fully supported by Welsh Government and The National Archive</li> <li>Expert consultant procured with significant expertise in developing heritage funding bids</li> </ul> |             | Capital funding from Denbighshire County Council as match towards the new joint archive facility, is subject to the NLHF funding bid being successful.  |              |
| <b>REY13</b><br>Inability to fully deliver on Welsh Government's Sustainable Communities for Learning Programme due to financial, workforce and contractor implications | <b>15</b> | <ul style="list-style-type: none"> <li>Effective project plans, project risk register and Project Officers in place ensure projects are progressing within budget and timescales with regular reports to Education programme and Capital and Assets Programme Boards to track progress</li> <li>Regular reporting and dialogue with Welsh Government</li> <li>Regular dialogue with North Wales Construction Partnership contractors and supply chain</li> </ul>   | <b>Open</b> | The Sustainable Communities for Learning Programme is designed to be delivered over a number of waves, or 'bands' of investment, currently in Band B (2019-2024) the Council has agreed with Welsh Government a total investment of circa 85 million for 2019-2024. Three projects identified within Band B have been delivered, four are currently progressing, one is at initial scoping phase, two at design development and one is currently in construction. | <b>Green</b> |
| <b>REY36</b><br>External Grants for Revenue Expenditure   | <b>15</b> | <ul style="list-style-type: none"> <li>Monitoring through monthly Portfolio Finance Meetings; Education programme Board</li> </ul>   | <b>Open</b> | <p>The level of grant funding received to date is similar to last year but is slightly higher than pre pandemic levels, due to grants for new initiatives and 'catch up' programmes.</p> <p>Levels of grant funding/allocations are presented to Schools Budget Forum Planning</p>  | <b>Amber</b> |

|  |           |   |             |  |              |
|--|-----------|---|-------------|--|--------------|
|  |           |   |             | for potential funding reductions in future years and assessing the sustainability of new grant streams remains a risk.   |              |
| <b>RGV01 (CG02)</b><br>Significant Loss of Corporate data and systems due to security / environmental / Technical incident | <b>15</b> | <ul style="list-style-type: none"> <li>Maintain a valid PSN and prepare for Cyber Essentials Accreditation.</li> <li>Participation in National Security Groups, such as Warp, and constant review of National Cyber Security Centre guidance.</li> <li>Use of Citrix technologies provides a secure environment which delivers the majority of our business systems.</li> <li>Maintain a second active datacentre allows for the continual provision of critical systems.</li> <li>Utilise strong security controls, vulnerability management and delivery mechanism to reduce this risk.</li> <li>Development of Cyber incident response and recovery plan.</li> <li>Regular review and testing of IT Disaster Recovery Plan.</li> <li>Identify list of critical business applications.</li> <li>Complete full review on IT Security Policies</li> </ul> | <b>Open</b> | Most of the mitigating actions are proceeding as expected and progress is to plan and on track. The Cyber Incident response and recovery plan is in draft and currently being updated following consultation. This risk remains high but the overall score has reduced following recent action which has positively affected the assessed likelihood. In motion work to implement 'ransomware' countermeasures should lead to a downwardly revised risk impact score in the coming months. | <b>Green</b> |
| <b>RGV21 (CC01)</b><br>Non-compliance of the Welsh Language Standards  | <b>9</b>  | <ul style="list-style-type: none"> <li>Commitment to advertise Welsh language as an essential skill first time when recruiting to frontline posts to ensure compliance with Welsh Language Standards and Welsh speakers can access services in their preferred language</li> <li>Recruit a percentage of fluent Welsh speakers</li> </ul>   | <b>Open</b> | <p>The first action is now complete.</p> <p>The Council has increased the number of Welsh speakers which has reduced the risk likelihood and the current score now meets the target.</p>   | <b>Green</b> |
| <b>RGV03</b><br>Failure to meet agreed   | <b>15</b> | <ul style="list-style-type: none"> <li>Investigate the potential for automation to free up resource within the IT Service.</li> <li>Continue with the DSB prioritisation</li> </ul>   | <b>Open</b> | The ability to achieve deadlines within the Digital Strategy is dependent on capacity within the Portfolio leading the project as well as both   | <b>Amber</b> |

|   |                  |  |                    |   |                     |
|---|------------------|--|--------------------|---|---------------------|
| <p>deadlines within the Digital Strategy</p>  |                  | <p>process to reduce burden at any one time</p>  |                    | <p>IT services. It is also impacted by the actions of external suppliers, regional partners and other stakeholders, as well as the Authority's ability to invest financially. Opportunities to release capacity in some areas of IT through automation are being explored but have been delayed due to resource constraints. A funding bid has been put forward to support this.</p> <p>Work to prioritise new projects proposed via the Digital Strategy Board continues but implementation timescales are often protracted as no additional resource accompanies these pieces of work. New resource management approaches and software tools are being investigated within IT services to help with planning, streamlining and customer expectations.</p> |                     |
| <p><b>RGV25 (CF14)</b><br/>Impact on the Housing Revenue Account (HRA) of a sustained loss of housing rent due to the financial position of tenants</p> | <p><b>12</b></p> | <ul style="list-style-type: none"> <li>• Continuous review of Bad Debt Provisions for Housing rents</li> <li>• Provision rates are set high for aged debt; therefore, it is assumed that the provision calculations are adequate at this stage, but this will be reviewed regularly"</li> <li>• Fortnightly case review panel to identify and track cases of serious arrears and identify and coordinate responses across the portfolio</li> </ul> | <p><b>Open</b></p> | <p>The collection of rent continues to be a high risk for the HRA, however the budget set in the HRA is still sufficient to cover any additional losses of collection. Marginal improvements in collections in the latter end of Q2 are attributable to the stabilisation of resources and recent recruitment to vacancies.</p> <p>The service also continues to hold regular panel meetings to discuss cases where contract holders are accruing arrears and not engaging. This intensive and prolonged work is starting to result in many positive outcomes for contract holders and the Council, and more importantly, also ensures the Council reduces evictions and homelessness.</p>  | <p><b>Amber</b></p> |

|  |           |  |             |   |            |
|--|-----------|--|-------------|---|------------|
|  |           |  |             | Planned amendments to the Corporate Debt Recovery Policy in Q3 will help improve the collection rates as legal action will be taken automatically after 12 weeks of arrears and where contract holders are not engaging with the Housing service.   |            |
| <p><b>RHC09 (NR03)</b><br/>The Council is unable to meet its homelessness statutory obligations due to shortages in staff, budgetary pressures, and lack of available accommodation</p>  | <b>15</b> | <ul style="list-style-type: none"> <li>• Monitor demand for homeless services with a view to informing workforce, prevention activities and homeless accommodation planning</li> <li>• Monitor levels of emergency accommodation with a view to informing workforce, move-on activities and homeless accommodation planning</li> </ul>   | <b>Open</b> | <p>Demand for homeless services continues to be significant. Numbers of s.62 homeless assessments at half year point was 634. Total for last year was 911, so a significant uplift projected for year end. Officer caseloads are, however, manageable at present.</p> <p>Placements in emergency housing at the half year point continue to be an operational and budgetary concern (141 households in hotel and holiday lets).</p> <p>A Paper will go to Informal Cabinet and Overview and Scrutiny Committee in November 2023 to outline options to ease pressures on homeless accommodation and budgets.</p> | <b>Red</b> |
| <p><b>RHC10 (NR04)</b><br/>The Council does not have access to sufficient / adequate / right type of housing supply to meet the demands of those individuals on the common housing register and due to the increase in the levels of</p> | <b>15</b> | <ul style="list-style-type: none"> <li>• Monitoring Common Housing Register data to ensure the Local Authority has strategic oversight for housing needs to include future build plans and redevelopment of housing stock and/or future policy changes</li> <li>• Ensure Common Allocations Policy adhered to when assessing housing needs and eligibility for Common Housing Register</li> <li>• Use Common Housing Register data to inform Housing Strategy and</li> </ul> | <b>Open</b> | <p>Register data continues to show far greater demand than the annual social housing supply. Data is routinely used to inform affordable house build plans and the Annual Housing Prospectus.</p> <p>Casework for Register service is performing well and Regional SARTH Compliance Officer now in post.</p> <p>Work progressing on purchasing properties on</p>  | <b>Red</b> |

|  |                  |  |                    |  |                   |
|--|------------------|--|--------------------|--|-------------------|
| homelessness   |                  | <p>redevelopment and new build plans for affordable housing as annually through the Housing Prospectus</p> <ul style="list-style-type: none"> <li>• Monitor notices from within the private sector resulting in homeless presentations to inform future engagement strategies for landlords and agents and scope for purchase options on the back of recent changes from Welsh Local Government Association (WLGA) on the Social Housing Grant (SHG) programme</li> <li>• Monitor expenditure on homeless emergency accommodation with a view to informing financial risk and MTFS / budget planning</li> </ul>  |                    | <p>notice, off private landlords through use of Welsh Government funding and HRA funds.</p> <p>Option for alternative use of Council Homes to ease pressures on homeless service going to Informal Cabinet and Scrutiny Committee in November 2023.</p>  |                   |
| <p><b>RHC11 (NR05)</b><br/>Delays in pre-construction process due to planning and Sustainable Drainage Approval Body (SABS) applications</p> | <p><b>16</b></p> | <ul style="list-style-type: none"> <li>• Monitor programme deliverables in line with agreed timescales and budget</li> <li>• Delivery risks to be highlighted at regular intervals to Housing Programme Board, Assets Board and Chief Officer of Housing and Communities and any mitigating actions identified and implemented</li> <li>• Key milestones in pre-construction to be monitored on a scheme-by-scheme basis with the development teams for Flintshire County Council (FCC) projects and Registered Social Landlords (RSL) partners for the PDP (Planned Development Programme). These will be WLGA technical approval, planning approval, SABS approval, contractor appointment and scheme approval</li> <li>• Mitigations will be realistic time assumptions for SABS, WLGA technical approval and planning processes, resource, redeployment to address "pinch points"</li> </ul> | <p><b>Open</b></p> | <p>Risk has been reduced to 16. The blockage in development approvals caused by the phosphate issues, particularly around Buckley, and the part of the Council that drains into the river Alyn has in part been resolved. This should see several large schemes come forward for planning approval. Additionally, the establishment of the SABS Team is being strengthened which should mean the processing of SABS will be quicker.</p> <p>The actions set out in the risk mitigations remain as is and are being actively pursued to ensure all Welsh Government funding allocated to the County (around £13+ million) are being utilised.</p> | <p><b>Red</b></p> |

|  |    |  |      |  |     |
|--|----|--|------|--|-----|
|  |    | and adjustment to PDP to bring forward alternative schemes to maximise SHG allocations to FCC  |      |  |     |
| <b>RHC02 (HA06)</b><br>loss of income based on delayed / non recovery of housing benefit of overpayment  | 10 | <ul style="list-style-type: none"> <li>Financial monitoring – Budget and Income</li> <li>Contacting customers to arrange to repayment plans at a level which suits their new income</li> <li>Offering customers support and advice to claim available benefits</li> </ul>  | Open | <p>We are below the £450k target therefore, the risk score has decreased. The current projection for Housing Benefits Over Payment (HBOP) Recovery is £330,081.57 which is £119,918.43 below the target of £450k.</p> <p>Recovery is still at a slower rate than pre-pandemic. This is partly due to the current financial situation and rising cost of living, but also due to the reduction in the Housing Benefit Caseload and staff resource being diverted to support other service pressures.</p> <p>It is also important to note, there has been a significant decrease in the value of Housing Benefit Overpayments being created so it is inevitable that the value recovered would also decrease. The target of £450k is therefore, much harder to achieve now than it was in 2019/20 when £839,396 of HBOP was created.</p> | Red |
| <b>RPE12</b><br>The implications of Ash Dieback on finances and reputation of the Council due to the scale of the problem and the ability to make safe trees on or adjacent to Highways and Council amenity land which pose a risk | 12 | <ul style="list-style-type: none"> <li>The timetable has been revised for planned surveys that could not be carried out whilst in lockdown to make best use of the limited survey window between July and September and to enable planned remedial works to be carried out October to February, to make safe those areas identified in the survey</li> <li>During the survey period we have established sites that will require further investigation, and this will be built into future work programmes</li> </ul> | Open | The adopted 2018 Ash dieback action plan provides a framework of action to mitigate the effects of the disease. Legal Counsel advised on the plan, Risk Assessments and inspection regime, and found it to be appropriate and reasonable. Internal audit reviewed the systems and processes in 2022 and measure were put in place to improve. Surveys and inspections are ongoing and will track the higher risk trees and put in place measure to make safe. Progress against targets are reported to Environment Overview and Scrutiny Committee each year. A  | Red |

|   |   |   |      |   |       |
|---|---|---|------|---|-------|
| to life or property   |   | <ul style="list-style-type: none"> <li>• Prioritised surveys on Highway Routes and other FCC land with public access and school grounds as areas that have the highest risk rating for injury or damage</li> <li>• Engaged with external Legal Counsel to advise on Ash Die Back plan, Risk Assessments and inspection regime, to test for appropriateness and reasonableness.</li> </ul>   |      | <p>pressure bid was submitted and approved for additional funding 2023 to recruit a further tree officer and a technical support officer.</p> <p>The April to September surveys and inspection of trees on land adjacent to the highway (priority roads), school grounds and countryside sites were completed.</p> <p>An update report went to Environment Overview and Scrutiny Committee on 12<sup>th</sup> September 2023.</p> <p>An unsuccessful recruitment of the additional posts has caused a delay to progress action to mitigate risk in the winter season, additionally the current admin support has moved into another role within the Council and the Ash dieback lead officer is off on long term sickness absence.</p> <p>There is an increasing red risk associated with this issue.</p> |       |
| <p><b>RPE33</b><br/>Prevent delays in development proceeding by mitigating the impact of Phosphates</p> | 2 | <ul style="list-style-type: none"> <li>• The Local Development Plan (LDP) has a backstop policy (EN6) to ensure that new development cannot be improved without suitable mitigation being identified and/or put in place</li> <li>• The Dee Catchment Phosphorous Reduction Strategy (DCPRS) measures will be sufficient to allow the Inspector to conclude that the plan can be adopted, but it is critical that the Council then follow this recommendation and adopt the LDP</li> <li>• Further work is underway to ensure that the</li> </ul> | Open | <p>Following the publication of revised permits by Natural Resources Wales, in collaboration with Dwr Cymru Welsh Water, for the Mold, Buckley and Hope wastewater treatment works there is now capacity to accommodate the proposed development within the adopted Local Development Plan without harming the Bala Lake and River Dee Special Area of Conservation. There is therefore no need for mitigation measures in respect of phosphates at this time.</p>  | Green |

|   |                 |   |                    |  |                     |
|---|-----------------|---|--------------------|--|---------------------|
|   |                 | <p>Council, as a responsible body under the Habitat Regulations, can identify suitable and deliverable phosphate mitigation. This involves assessing the feasibility of developing wetlands downstream of wastewater treatment works, as well as developing a short-term local action plan to assist developers and the Council to facilitate new development in affected areas of the County</p> <ul style="list-style-type: none"> <li>• The Council should agree to be represented on the forthcoming Nutrient Management Board when it is convened (Wrexham CBC taking the lead) and use its membership to engage with other key catchment stakeholders as well as seeking to hold those also responsible for mitigating phosphates to account</li> </ul>                     |                    |  |                     |
| <p><b>RPE34</b><br/>Failure to update the Council's Flood Risk Management Strategy to mitigate the flood risk to vulnerable communities</p> | <p><b>4</b></p> | <ul style="list-style-type: none"> <li>• The present strategy was produced in 2013 and does not identify areas at risk or an action plan to mitigate this risk. It was produced as a high-level document that mainly identified the respective responsibilities of the Council as Lead Local Flood Authority (LLFB), and those of other flood risk management organisations such as Welsh Water and Natural Resources Wales</li> <li>• The Council's approach to dealing with flooding and flood risk is presently reactive in the main, responding to the consequences of severe weather events. There is also no single team that deals with all aspect of drainage and flood risk and whilst work is co-ordinated between the Flood Risk Management Team and Street</li> </ul> | <p><b>Open</b></p> | <p>Work is underway on updating the strategy produced in 2013. Key issues are being identified as well as objectives and measures to focus the strategic priorities on. This work will form the basis to update COT and Informal Cabinet before carrying out stakeholder and Member engagement on the strategy and its priorities and direction.</p> | <p><b>Green</b></p> |

|   |           |  |             |   |              |
|---|-----------|--|-------------|---|--------------|
|   |           | <p>Scene, severe recruitment difficulties in the former team mean that there is currently no internal technical officer capability to deal with the roles of LLFA and SAB</p> <ul style="list-style-type: none"> <li>The Council has developed a three-year support contract with a specialist Hydrological Consultancy which is allowing the Council to fulfil its SAB role and still respond to its flood investigation role. Even when the Council is successful with internal recruitment, it is recommended that this relationship is maintained in some form or other going forward</li> </ul> |             |   |              |
| <p><b>RPE42</b><br/>Slow progress with the Strategic Development Plan (SDP) fails to set context for Local Development Plan 2</p> | <b>4</b>  | <ul style="list-style-type: none"> <li>Discuss progress on SDP with Welsh Government and North Wales LPAs</li> </ul>   | <b>Open</b> | <p>Progress needs to be made with a Strategic Development Plan (SDP) to set any useful context to inform the next update of the Local Development Plan (LDP). The first Annual Monitoring Report on the performance of the LDP can also assess the stage reached with the SDP.</p>  | <b>Amber</b> |
| <p><b>RSS01</b><br/>Expenditure on out of county placements increases as placement costs increase in a demand led market</p>      | <b>16</b> | <ul style="list-style-type: none"> <li>Working with local providers to reshape the residential market</li> <li>Maximising local housing options</li> </ul>   | <b>Open</b> | <p>We are developing in house residential care services for children with complex needs who would otherwise need to be placed out of county. We are also growing our inhouse fostering service to support more looked after children within Flintshire. This risk is monitored through the Out of County budget.</p> <p>We have 3 of the 5 new homes successfully registered with Care Inspectorate Wales (CIW). We continue to work with CIW around the registration process for one of the homes and we are working on the documentation in readiness for applying for registration for other</p> | <b>Amber</b> |

|   |          |   |             |  |              |
|---|----------|---|-------------|--|--------------|
|   |          |   |             | <p>home. Within the service we are continuing to recruit to the roles and this is something that is a challenge in the current climate. We are working with We Care Wales and local providers such as Job Centre Plus as well as in house teams and departments such as our HR partners.</p> <p>The work force continues to develop their skills and attend all learning and development opportunities available to them where possible.</p>   |              |
| <p><b>RSS09</b><br/>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</p> | <b>9</b> | <ul style="list-style-type: none"> <li>• Ensure that ongoing actions are maintained to manage the inherent instability in the residential and nursing care market, including approaches to marketing and recruitment</li> <li>• Continue to work with corporate colleagues re. capital investment to support the development of in-house provision for individuals with dementia or learning disabilities, and Extra Care provision</li> <li>• Continue to build resilience in the services to maintain and increase the current level of provision</li> <li>• Working with providers to identify potential business viability issues due to loss of income as a result of COVID-19</li> <li>• Continue to utilise the additional capacity established in the independent sector as a service response to COVID-19 (The Oaks)</li> <li>• Impact assessment of need for additional capacity provided by Ty Treffynnon to continue post-recovery (in house service response)</li> </ul> | <b>Open</b> | <p>Risk has reduced to Amber in line with Welsh Government Checkpoint reporting and fortnightly Health and Care system data.</p> <p>We are still finding it difficult to source enough capacity externally to be able to meet the residential need. However, we have stabilised the market with only one home currently in Escalating Concerns. The Croes Atti 2 development will increase our internal capacity, and an independent sector home that was previously closed will be reopening in January, providing capacity for EMI nursing and possibly some residential care.</p> | <b>Amber</b> |

|   |                  |  |                    |   |                     |
|---|------------------|--|--------------------|---|---------------------|
| <p><b>RSS10</b><br/>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</p> | <p><b>9</b></p>  | <ul style="list-style-type: none"> <li>• Utilising the Care@Flintshire portal to promote vacancies</li> <li>• Working with providers to establish appropriate fee rates</li> <li>• Regional Domiciliary Care Agreement in place</li> <li>• Value Based recruitment</li> </ul>  | <p><b>Open</b></p> | <p>Risk has reduced to Amber in line with Welsh Government Checkpoint reporting and fortnightly Health and Care system data.</p> <p>The domiciliary inbox remains high with individuals having to wait for care in some cases. We have been successful in purchasing a block hours contract in Holywell and are looking at other areas where care is difficult to source; expressions of interest for block hours contracts are going out to the Framework. The ongoing development of Microcare is helping to alleviate the situation; there have been an additional 7 Micro-Carers setup during this financial year, increasing the number of active Micro-Carers to 38. We have directly commissioned with 3 Micro-Care providers this year for personal care services, and 4 for well-being services, and we are actively seeking to develop more direct commissioning.</p> | <p><b>Amber</b></p> |
| <p><b>RSS22</b><br/>An insufficient supply of placements leads to young people being placed in unregistered settings</p>  | <p><b>16</b></p> | <ul style="list-style-type: none"> <li>• Implement Multiagency Support Team to work with families of young people on the edge of care and prevent placement breakdown</li> <li>• Combat exploitation through the Strategic and Operational MET (Missing, Exploitation, Trafficking) group</li> <li>• Develop policies and models to attract new foster carers and expand the type of placements offered</li> <li>• Working with local providers to reshape the residential market</li> <li>• Maximising local housing options</li> </ul> | <p><b>Open</b></p> | <p>We are developing in house residential care services for children with complex needs who would otherwise need to be placed out of county. We are also growing our inhouse fostering service to support more looked after children within Flintshire. This risk is monitored through the number of children placed in settings without registration (Paris report).</p> <p>We have 3 of the 5 new homes successfully registered with Care Inspectorate Wales (CIW). We continue to work with CIW around the registration process for one of the homes and we are working on the documentation in readiness for applying for registration for other home. Within the service we are continuing to</p>  | <p><b>Amber</b></p> |

|  |            |   |               |   |              |
|--|------------|---|---------------|---|--------------|
|  |            |   |               | recruit to the roles and this is something that is a challenge in the current climate. We are working with We Care Wales and local providers such as Job Centre Plus as well as in house teams and departments such as our HR partners. The work force continue to develop their skills and attend all learning and development opportunities available to them where possible.   |              |
| <b>RSS29</b><br>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 fulfil its statutory and essential functions with respect and care | <b>N/A</b> | <ul style="list-style-type: none"> <li>The social work staffing structure has been reviewed to provide better opportunities for recruitment and retention and reduce the need for agency staff, with a view to create experience and capacity in the workforce with a competitive pay structure and mitigate the risk of escalating agency costs</li> </ul> | <b>Closed</b> | Risk closed for whole service – Open risk for Children’s Services workforce is dealt with in RSS048   | <b>Green</b> |
| <b>RST07</b><br>Inability to achieve national recycling targets due to increased residual waste tonnages collected   | <b>12</b>  | <ul style="list-style-type: none"> <li>Undertake a review of the Council Waste Strategy to identify improve service delivery methods to minimise residual waste disposal and increase recycling</li> </ul>  | <b>Open</b>   | <p>The statutory recycling target for 2023/24 is 64%, increasing to 70% in 2024/25. Our year end recycling performance for 2022/23 fell short of the 64% target resulting in potential additional infraction fines by Welsh Government.</p> <p>A review of the Waste Strategy is currently ongoing with the Waste and Resource Action Programme (WRAP) and Local Partnerships (commissioned by Welsh Government) as recent compositional analysis of the residual waste bins shows that a high proportion of waste put in them could be collected via the</p> | <b>Red</b>   |

|  |           |  |             |  |              |
|--|-----------|--|-------------|--|--------------|
|  |           |  |             | weekly recycling service. They are focusing on four workstreams: waste strategy, infrastructure, decarbonisation and workplace recycling reforms. The outcome of this review will be known in the coming months. A report will then be represented with options to deliver a robust and evidenced achievable waste strategy.   |              |
| <p><b>RHR09</b><br/>The Pay model and associated costing may increase/decrease depending on when a) agreement is reached and b) when the new pay model is implemented due to changes in structure and/or headcount</p> | <b>12</b> | <ul style="list-style-type: none"> <li>Pay modelling will be undertaken with an up-to-date set. An aspirational implementation date is 01/10/2023 to minimise cost in year (half year effect)</li> </ul>   | <b>Open</b> | <p>The current pay model has not been reviewed since 2019 (which was implemented to accommodate changes to the nationally agreed pay model). Increases in the National Living Wage over the last few years in addition to known/anticipated changes which continue to erode the bottom of the existing pay structure.</p> <p>A joint planning group with Trade Unions have met several times to progress what is a complex piece of work, which is ongoing. Discussions are progressing positively, and we are optimistic of achieving an agreed variation to our current collective agreement and create a new pay model, for employees on Green Book Terms and Conditions. We do not anticipate anyone being in pay detriment.</p> | <b>Amber</b> |
| <p><b>RHR24</b><br/>Changes to holiday pay calculations and practices in light of the Supreme Court Judgement in Harper Trust and Brazel</p>   | <b>12</b> | <ul style="list-style-type: none"> <li>An alternative term time calculation (which applies to those employees who work less than 52.14 weeks a year) was implemented with effect from 1 April 2023. This calculation is deemed to be compliant with the outcome of the Harper Trust and Brazel supreme court judgment and incorporates the permanent increase of one day (pro rata for part-timers) to their annual leave entitlement provided for in the Local</li> </ul> | <b>Open</b> | <p>In addition to the term time calculation, we need to identify employees who regularly work additional hours (overtime, or on a rota for standby, sleep-in etc) which could be deemed regular and settled and review our holiday entitlement calculations for those employees as they may:</p> <p>a) have been entitled to additional payment when taking leave and</p>  | <b>Amber</b> |

|   |    |  |      |   |       |
|---|----|--|------|---|-------|
|   |    | <p>Government Services Pay Agreement 2022-23</p> <ul style="list-style-type: none"> <li>Other elements (including compensation in lieu of back pay) are being worked through by a joint working group (HR, Finance, TUs)</li> </ul>  |      | <p>b) be eligible to bring a claim for underpayment of holiday pay.</p> <p>The government has consulted on changing the legislation on which the Supreme Court judgement in Harpur Trust v Brazel was based. We are awaiting Government's response on whether and how it will take forward its proposals further to a period of consultation which ran from 12<sup>th</sup> January 2023 to 9<sup>th</sup> March 2023.</p>  |       |
| <p><b>RCF18</b><br/>Impact on the stability of the Medium-Term Financial Plan of increases in service demand, high inflation and reduced future Welsh Government Local Government Settlements</p> | 20 | <ul style="list-style-type: none"> <li>Regular monitoring and reporting of the financial impact across the organisation</li> <li>Analysis of future funding announcements by Welsh Government in line with above</li> <li>Regular engagement with Society of Welsh Treasurers (SWT) to gain all Wales position</li> <li>Regular liaison with WLGA contacts regarding escalation with Welsh Government</li> </ul> | Open | <p>Report to Cabinet in September 2023 set out the latest financial position for 2024/25 onwards which showed an additional budget requirement of £32m with funding solutions identified to date of around £18m.</p> <p>The Council has a number of workstreams underway to identify the remainder but will be a major challenge.</p> <p>The Council will be notified of its funding allocation from Welsh Government on 20 December 2023.</p> <p>Further reports will be prepared throughout the budget setting process.</p> | Red   |
| <p><b>RCPA01</b><br/>Impact of restructuring and efficiency savings over time. Resulting in reduction in HR to point where fulfilling</p>   | 9  | <ul style="list-style-type: none"> <li>Explore options to commission service delivery if/when necessary</li> <li>Explore different ways of working</li> <li>Review workload/demand and resource</li> </ul>   | Open | <p>Ongoing monitoring and implementation of mitigating actions.</p>   | Amber |

|   |    |   |      |   |       |
|---|----|---|------|---|-------|
| current and increasing service demand is untenable  |    |   |      |   |       |
| <b>RCPA12</b><br>Key contractual arrangements coming to an end, further work in-year required to prevent any financial, reputational, legal, or service implications.   | 9  | <ul style="list-style-type: none"> <li>Commission work to inform decision making and seek specialist support/advice where needed to progress action.</li> <li>Liaison with appropriate parties.</li> <li>Progress reporting.</li> </ul> | Open | <p>The mitigating actions are being deployed and are helping to manage the risk.</p> <p>Progress is being made however, there is some slippage on time to achieve key milestones.</p> | Amber |
| <b>RCPA13</b><br>Lack of resource to respond swiftly to increasing demand of capital projects with grant funding requiring swift/in-year spend. May result in loss of grant funding and/or high-profile project failure | 15 | <ul style="list-style-type: none"> <li>Commissioning services need to challenge via established routes</li> </ul>   | Open | <p>Ongoing, meetings with Commissioning Services and external stakeholders are being held to seek clarity.</p> <p>Current score of 15 and target of 12 remains unchanged.</p>         | Red   |
| <b>RCPA17</b><br>Impact of workload demand on employees   | 12 | <ul style="list-style-type: none"> <li>Review services and workload</li> <li>Consider recruitment business case for vacant posts where high demand/lack of resource</li> </ul>  | Open | <p><b>Linked to RCPA01</b></p> <p>Ongoing monitoring and implementation of mitigating actions.</p>  | Amber |

