



**Integrated Risk Manager**

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# Risk Report

Flintshire County Council

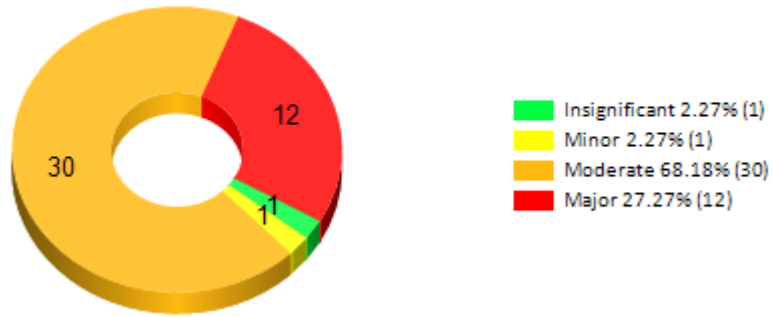


*Print Date: 01-Jul-2019*

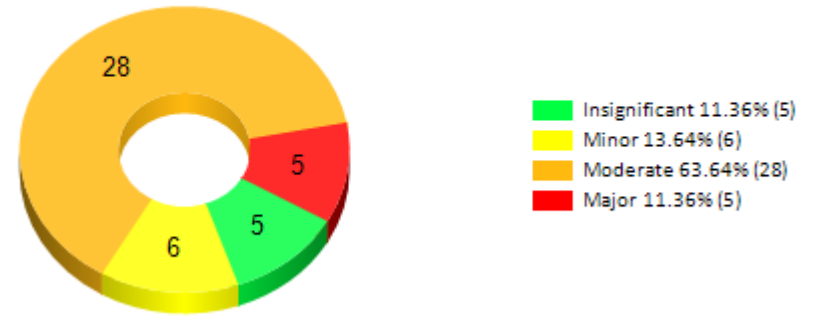
# Risk Summary

## Strategic Risks

Initial Risk Assessment






Current Risk Assessment



# Strategic Risks




## 1 Supportive Council

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST151	Homelessness will remain a growing area of demand due to the current economic climate	Strategic Risk	Jenni Griffith - Flintshire Connects Manager	Lesley Bassett - Housing Strategy Manager				Open

**Potential Effects:** Homelessness remains an area of risk. The lack of suitable, settled accommodation for those on welfare benefits has caused delays in being able to achieve positive outcomes for customers.

**Lead Supporting Officer Comments:** Homelessness remains a risk as a result of a number of factors. The introduction of welfare reforms and Universal Credit has created additional barriers to being able to successfully discharge duties to customers. The number of people presenting to the authority for help has increased during each quarter. Additional funding has been granted to develop landlord incentives within the private rented sector and also to consider alternatives to rough sleeping. The Council has been awarded in year funding to assist with additional measures to develop Landlord incentives within the private rented sector and a strategic partnership with HAWS Lettings Agency will commence in May 2019. The emergency beds provision is in place and is proving to be in demand. In addition there is an Outreach Worker in post, employed through Clwyd Alyn, who follows up on street homeless and individuals who attend the emergency bed provision.

Last Updated: 18-Jun-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST152	The supply of affordable housing will continue to be insufficient to meet community needs	Strategic Risk	Melville Evans - Senior Manager - Housing Programmes	Denise Naylor - Housing Programmes Support Manager				Open

**Potential Effects:** i) Increase in homelessness ii) Increased pressure on the Housing Options Team iii) Increase in people sleeping rough

**Lead Supporting Officer Comments:** The position as at the end of 2018-19 is that this will always be a risk due to changes in housing demand and a lack of supply both in terms of the quantity and type of affordable homes provided. Over the past year the Welfare Reform policies have also impacted on the type of affordable housing required due to benefit restrictions. The Council aims to mitigate the risk through:

1. Informing the type and size of all of the new builds (Council and RSLs)
2. Informing the type, tenure and size of affordable housing provision through market led schemes.




Last Updated: 24-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST153	Department for Works and Pension's Welfare Reform Programme, including Universal Credit full service implementation which would place increasing demand on the Council for affordable and social housing	Strategic Risk	Jenni Griffith - Flintshire Connects Manager	Denise Naylor - Housing Programmes Support Manager, Lesley Bassett - Housing Strategy Manager				Open

**Potential Effects:** Welfare reforms may potentially impact the Council's ability to offer affordable housing to those affected. Examples of the types of reforms that will have may impact include: LHA Cap - Residents affected by the LHA cap who are already excluded from the private rented sector due to affordability may not be able to afford social rents  
Bedroom Tax - This has been in place for some time for those residents that are under occupying properties and in receipt of housing benefit and will continue under Universal Credit role out.

**Lead Supporting Officer Comments:** Applicants who are affected by bedroom tax are given urgent priority for rehousing to more affordable accommodation. The proposed property for the shared housing pilot received full planning permission and work has been undertaken to establish demand. Due to Government changes and the withdrawal of plans to introduce a shared room rate for under 35s the demand in social housing for shared accommodation has lessened. Applicants contacted expressed a preference for self contained properties and we were unable to establish demand for the shared housing pilot. This will of course have an effect on the demand for affordable one bedroom properties.




Last Updated: 24-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST154	Reduction of land supply for council housing construction	Strategic Risk	Melville Evans - Senior Manager - Housing Programmes	Denise Naylor - Housing Programmes Support Manager				Closed

**Potential Effects:** i) Reduction in number of units delivered

**Lead Supporting Officer Comments:** To date the number of new council and affordable homes completed, being built or scheduled to be built has reached 305. The target of 500 by 2021 is within reach with work underway to identify land suitable for the construction of the remaining 195 new affordable and council homes.




Last Updated: 05-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST155	Capital borrowing limits for council housing	Strategic Risk	Melville Evans - Senior Manager - Housing Programmes	Denise Naylor - Housing Programmes Support Manager				Open

**Potential Effects:** i) reduction in construction and delivery of Council houses

**Lead Supporting Officer Comments:** The cap on borrowing within the housing revenue account is due to end by the end of May 2019. The ending of the cap will enable Flintshire to continue to invest in building council homes.




Last Updated: 08-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST156	Customer expectations for the timeliness of adaptations undertaken through Disabled Facilities Grants (DFGs) may not be met due to competing demands on resources	Strategic Risk	Neal Cockerton - Chief Officer - Housing and Assets	Jen Griffiths - Benefits Manager				Open

**Potential Effects:** There will be a reputational risk to the Council if adaptations fail to meet the expectations of customers. This is increased because of the national ranking of performance by Welsh Government.

**Lead Supporting Officer Comments:** The performance on DFG timescales has been an area of challenge over time and a management board has been established to improve and monitor progress. The budget for the programme is currently on track. Improvements in timeliness have been noted with the implementation of a new process.




Last Updated: 12-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST157	Availability of sufficient funding to resource key priorities	Strategic Risk	Neal Cockerton - Chief Officer - Housing and Assets	Jen Griffiths - Benefits Manager				Open

**Potential Effects:** Should resources prove to be insufficient then the Council will be able to process further applications for adaptations leading to delays in the process. This in turn will lead to reputational damage to the Council.

**Lead Supporting Officer Comments:** Budget monitored effectively and demand has been met for 2108/19

Last Updated: 12-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST158	Universal Credit Full Service roll out - negative impact upon Council services	Strategic Risk	Jen Griffiths - Benefits Manager	Dawn Barnes - Training Officer				Open




**Potential Effects:** The impact of Welfare Reform on Flintshire households increasing the demand for advice and support to unprecedented levels. Potential increases in rent arrears and decrease of Council Tax collection. Potential increased risk of homelessness and need for accommodation. Increased demand in existing support services

**Lead Supporting Officer Comments:** Work is now well underway to identify and mitigate the impacts of Universal Credit on Council Tenants and their rent accounts. Work is concentrated around early intervention which enables support to be provided to those who need it, but a harder line to be taken with those who can pay but choose not to. This provides a more realistic chance of the rent account coming back under control and out of arrears.

There will inevitably always be an element of cash flow arrears on accounts due to the Universal Credit payments (whether direct to the council or directly to the tenant) are made in arrears.

During 2018/19 focus is on early identification and intervention to prevent the problem from escalating. Council Tax Collection remains under pressure.




Last Updated: 12-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST159	Demand for advice and support services will not be met	Strategic Risk	Jen Griffiths - Benefits Manager					Open

**Potential Effects:** The impact of Welfare Reform on Flintshire households increasing the demand for advice and support to levels beyond what resource can handle in a timely manner.

**Lead Supporting Officer Comments:** The development of the Welfare Response Team has assisted with the implementation of Universal Credit. Referrals to wider support services still remain high with a significant number of residents presenting with underlying debt issues. Managers across Customer Services, Neighbourhood Housing and Revenues and Benefits are continuing to work together to develop early intervention strategies.

Last Updated: 18-Jan-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST160	Debt levels will rise if tenants are unable to afford to pay their rent or council tax	Strategic Risk	Jen Griffiths - Benefits Manager	Sheila Martin - Income Team Leader				Open

**Potential Effects:** With the introduction of Universal Credit and reduction in benefits being paid it is anticipated that tenants will struggle to maintain their payments increasing the level of debt owed to the Council for Rent and Council Tax.

**Lead Supporting Officer Comments:** Work has commenced on the identification of the impacts of Universal Credit on Council Tenants and their rent accounts. There is a team that works with tenants at the earliest opportunity on the basis that intervention at early stages allows support (if appropriate) to be identified earlier giving a more realistic chance of the rent account coming back under control and out of arrears.

The Council now has "Trusted Partner" status with the Department for Work and Pensions which means that processes and flow of information and payments is more streamlined and automated. Notwithstanding this, there will inevitably always be an element of cash flow arrears on accounts due to Universal Credit payments (whether direct to the council or directly to the tenant) being made in arrears.

During 2018/19 focus has been on early identification and intervention to prevent the problem from escalating. Council Tax Collection remains under pressure.




Last Updated: 29-Jan-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST161	The local economy will suffer if residents have less income to spend	Strategic Risk	Jen Griffiths - Benefits Manager	Jenni Griffith - Flintshire Connects Manager				Open

**Potential Effects:** The local economy will see a decline if residents are not able to spend at current levels

**Lead Supporting Officer Comments:** Welfare Rights and Supporting People teams worked with residents during the year to explore areas of income maximisation for residents of the County.

Last Updated: 28-Jan-2019




Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST162	Delivery of social care is insufficient to meet increasing demand	Strategic Risk	Jane M Davies - Senior Manager, Safeguarding & Commissioning	Jacque Slee - Team Manager Performance				Closed

**Potential Effects:** People would be likely to experience increased waiting times or be unable to access services, with a resulting negative impact on the reputation of the Council.

**Lead Supporting Officer Comments:** Recommendations have been approved to explore the extension of Marleyfield (32 beds for intermediate care and discharge to assess). This expansion will also help to support the medium term development of the nursing sector. The Single Point of Access has already extended the time the service is available from in the mornings and work is near completion to extend the closing time and introduce weekend working. The multi agency Early Help Hub for children and families is in operation. The risk has been mitigated to green and is now closed 12/07/2018.

Last Updated: 12-Jul-2018






Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST163	Demand outstrips supply for residential and nursing home care bed availability	Strategic Risk	Jane M Davies - Senior Manager, Safeguarding & Commissioning	Jacque Slee - Team Manager Performance				Open

**Potential Effects:** Increase in hospital admissions and delayed transfers from hospital. Increased pressure on primary care services leading to deteriorating relationship with local partners.

**Lead Supporting Officer Comments:** The expansion of Marleyfield to support the medium term development of the nursing sector continues under the direction of the Programme Board.

The re-phasing of Integrated Care Fund (ICF) capital to fit in with the Council's capital programme has been agreed by Welsh Government. Recommendations from Social & Health Care Overview and Scrutiny Committee were that the Committee support the ICF programme and the initiatives of utilising short term funding streams to deliver against strategic and operational priorities for the council and key partners. Workstreams from the Strategic Opportunity Review are continuing. A review for Programme Board of demand and supply in light of the new capital developments has been undertaken.

Last Updated: 15-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST164	Annual allocation of the Integrated Care Fund (ICF) - Short term funding may undermine medium term service delivery	Strategic Risk	Susie Lunt - Senior Manager, Integrated Services and Lead Adults	Jacque Slee - Team Manager Performance				Closed




**Potential Effects:** Insufficient funding to sustain medium term service delivery.

**Lead Supporting Officer Comments:** The re-phasing of agreed ICF capital funding has been agreed to fit with our capital programme.

Welsh Government have confirmed the ongoing use of ICF revenue funding for existing projects.

The Chair of the North Wales Regional Partnership Board and the Chief Executive of BCUHB have created an agreement from partners on the allocation of funds to support delivery of medium term services. Confirmation in principle has been received for allocation of capital funds for Marleyfield. Following receipt of detailed correspondence from WG, the level of risk has reduced to Green and the risk will be closed.




Last Updated: 15-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST165	Early Help Hub cannot deliver effective outcomes	Strategic Risk	Craig Macleod - Senior Manager, Children's Services & Workforce	Jacque Slee - Team Manager Performance				Closed

**Potential Effects:** Children and families who do not meet the threshold for a statutory services will not be appropriately directed to alternative services.

**Lead Supporting Officer Comments:** The Early Help Hub is fully functioning, with commitment from all agencies. Enhanced consortia arrangements for support through Families First projects are ensuring responsive access to help for families. 1246 families were supported by the Hub this financial year. This risk is now closed.

Last Updated: 18-Jun-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST166	Rate of increase of adult safeguarding referrals will outstrip current resources	Strategic Risk	Jane M Davies - Senior Manager, Safeguarding & Commissioning	Jacque Slee - Team Manager Performance				Closed

**Potential Effects:** National timescales for processing safeguarding enquiries will not be met, resulting in potential delays for people requiring safeguarding interventions and impact on reputation of the Council.

**Lead Supporting Officer Comments:** Responsibilities within Adult Safeguarding and First Contact and Intake have been realigned, with no additional resource. Safeguarding Managers are able to effectively delegate tasks for high priority cases; this ensures that those enquiries that do not meet timescales are of a lower priority. Quarterly data is showing an increase in Safeguarding reports, and these are being addressed within timescales. Internal Audit completed a review of the service in November; this confirmed that processes are in place for the screening and triage of safeguarding referrals. The reviewers concluded that strategy meetings are being undertaken in a timely manner. This risk has been closed.




Last Updated: 17-May-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST168	Knowledge and awareness of safeguarding not sufficiently developed in all portfolios	Strategic Risk	Fiona Mocko - Strategic Policies Advisor	Jane M Davies - Senior Manager, Safeguarding & Commissioning				Open

**Potential Effects:** Employees will not recognise when adults and children are at risk and will not take appropriate action.

**Lead Supporting Officer Comments:** Safeguarding is included within the corporate induction procedures, ensuring new employees can recognise the signs and know how to make a report. A Safeguarding e-learning module is under development and is to be implemented during 2019. Additional training has been made available to the Safeguarding panel, including Child Sexual Abuse awareness delivered by Stop it Now. Periodic safeguarding bulletins are published alongside regular workforce news items reminding employees to look out for the signs and how to make a report.

Last Updated: 02-Apr-2019


Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST169	Failure to implement safeguarding training may impact on cases not being recognised at an early stage.	Strategic Risk	Fiona Mocko - Strategic Policies Advisor					Open

**Potential Effects:** Employees will not identify potential safeguarding issues. Referrals will not be made through the right channels which may delay investigation or result in evidence being contaminated. Adults and children will not be safeguarded

**Lead Supporting Officer Comments:** Safeguarding is included in the corporate induction ensuring all new employees have a basic understanding of safeguarding. Safeguarding e-learning modules are under development and will be implemented during 2019. All Portfolios contribute to the corporate safeguarding training budget which will fund a drama style workshop being developed by Theatr Clwyd. Additional awareness raising is made through the periodic safeguarding bulletins and workforce news items.

Last Updated: 02-Apr-2019


## 2 Ambitious Council

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST170	Infrastructure investment does not keep pace with needs and business is lost to the economy	Strategic Risk	Andrew Farrow - Chief Officer - Planning, Environment and Economy	Niall Waller - Service Manager - Enterprise and Regeneration	Amber	Amber		Open

**Potential Effects:** infrastructure is essential to facilitating economic growth in Flintshire. If infrastructure is not improved then investment opportunities will be jeopardised and new jobs will not be created. Overloaded infrastructure will also increase the likelihood of business investment being lost to better serviced areas.

**Lead Supporting Officer Comments:** The North Wales Growth Deal will include a package of strategic infrastructure investment projects. At the local level the Deeside Plan sets out a strategy for transport investment to maximise the benefit of economic growth. Welsh Government has already announced major investment in strategic road infrastructure and in public transport to help deliver this strategy.

Last Updated: 29-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST171	Support for businesses in Flintshire doesn't meet their needs and fails to encourage investment	Strategic Risk	Andrew Farrow - Chief Officer - Planning, Environment and Economy	Niall Waller - Service Manager - Enterprise and Regeneration	Amber	Amber		Open

**Potential Effects:** Businesses feedback that they highly value the service provided by the Council to help them to navigate wider support and overcome barriers to growth. Business networking activity delivered by the Council also assist businesses to work and trade together. Reduction of this support may make the County less successful as a location for business.

**Lead Supporting Officer Comments:** The business development service in Flintshire remains responsive to business needs. The Council works closely alongside Welsh Government and other agencies to provide a co-ordinated service. A review process of business development across North Wales as part of the work of the Economic Ambition Board will offer opportunities for greater collaboration.

Last Updated: 29-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST172	The stability of local and sub-regional economies	Strategic Risk	Andrew Farrow - Chief Officer - Planning, Environment and Economy	Niall Waller - Service Manager - Enterprise and Regeneration				Open

**Potential Effects:** Instability in the local and regional economies would lead to reduced business investment and significant job losses.

**Lead Supporting Officer Comments:** The Council continues to monitor changes and trends in the UK and regional economies that may have an impact on Flintshire's economy. The main area of uncertainty, Brexit, remains difficult to predict and quantify whilst the negotiated settlement with the European Union remains unknown.

Last Updated: 29-Apr-2019


Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST173	The region having a sufficient voice at Welsh Government and UK Government levels to protect its interests	Strategic Risk	Andrew Farrow - Chief Officer - Planning, Environment and Economy	Niall Waller - Service Manager - Enterprise and Regeneration				Open

**Potential Effects:** Decisions are taken on national and regional economic issues, infrastructure investment or other programmes which do not meet the needs of the Flintshire economy.

**Lead Supporting Officer Comments:** The Council has a lead role in developing the role and functions of the North Wales Economic Ambition Board and is closely involved in the work of the Mersey Dee Alliance. The Council also represents the region on the Rail Task Force and supports the All Party Parliamentary Group on transport. The Council is closely involved in the development of the outline projects for the regional Growth Deal and the Council has played a leading role in the development of the new Joint Committee for North Wales. Negotiations with UK and Welsh Governments are progressing to plan.

Last Updated: 18-Jun-2019


### 3 Learning Council

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST174	Those schools who do not recognise their need for improvement and external support	Strategic Risk	Vicky Barlow - Senior Manager - School Improvement Systems	Jeanette Rock - Senior Manager - Inclusion and Progression	Amber	Yellow		Open

**Potential Effects:** Downturn in school performance and under achievement . Increase in the number of schools in Estyn category of concern/need of significant improvement

**Lead Supporting Officer Comments:** Monitoring processes indicate that all schools have engaged appropriately with their Support Improvement Advisers during the first quarter of the year and are accessing support to implement their improvement plans. Evidence through pupil outcome data shows that improvement plans are being effective in most areas with Flintshire schools performance above national averages in nearly all key indicators across all phases. 2 targeted schools who are in category of Estyn Review have made strong progress and the LA is recommending to Estyn that they be removed from follow up - Estyn confirmation pending.




Last Updated: 16-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST175	Leadership capacity does not match school needs	Strategic Risk	Vicky Barlow - Senior Manager - School Improvement Systems	Jeanette Rock - Senior Manager - Inclusion and Progression	Amber	Yellow		Open

**Potential Effects:** Reduced stakeholder confidence in Education services. Downturn in school performance and under achievement . Increase in the number of schools in Estyn category of concern/need of significant improvement

**Lead Supporting Officer Comments:** The number of schools in statutory categories has reduced. We do not have any issues with schools failing to engage with GwE in relation to their support priorities. Flintshire has one of the highest take ups on the professional development programme around middle leadership and National Professional Qualification for Headship securing leaders for the future – whilst secondary Headteachers have reported anecdotally that staff don't want to take the roles on in schools in some subjects, there is no school where a lack of capacity, particularly in core subjects is putting the school's performance at risk.

Last Updated: 16-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST176	Impact of Additional Learning Needs reforms	Strategic Risk	Jeanette Rock - Senior Manager - Inclusion and Progression	Vicky Barlow - Senior Manager - School Improvement Systems				Open

**Potential Effects:** The proposed legislation provides an increased level of legal protection to children and young people with additional learning needs. There is a risk that schools and the Local Authority may be unprepared ahead of the implementation of the Bill and therefore unable to meet the requirements placed on them by the Bill. This may result in schools not being able to meet needs effectively and a potential increase in the requests for centrally funded intervention and provision. This is likely to present the Local Authority with an additional financial pressure.

**Lead Supporting Officer Comments:** The Bill received Royal Assent in January 2018 and became the Additional Learning Needs and Education Tribunal (Wales) Act 2018. The implementation date has been revised to September 2020, with 2019 being the publication date for the draft Code of Practice. An audit tool has been generated for local authorities to complete; this will give greater insight into the risks posed by the Act across the intervening two year period prior to implementation in 2020. The audit tool has been completed and this highlighted the need for a Lead officer to be allocated within the Local Authority. This action has been completed, supported by access to Welsh Government Transformation Funding.

A Transition Action Plan for Flintshire will now be developed to ensure that a comprehensive transformation programme is developed in conjunction with the regional plan for North Wales.

The draft Code of Practice has now been published. Officers are in the process of reading the document and identifying the implications for schools and the authority. These will be collated and shared via Committee reports.

Welsh Government (WG) commenced a period of consultation following the publication of the draft Code linked to the ALN Act. Officers engaged a range of stakeholders to inform their response to ensure that WG were fully apprised of the concerns associated with the implementation of the Act. Officers have also engaged in legal briefings to broaden their understanding of the duties imposed by the Act and finance documents are being prepared to identify the financial pressures associated with implementation. This will support a better understanding of the level of risk. The final Code will however, not be published until December 2019 and projections will need to be revised at that point.




Last Updated: 12-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST177	Local employers and learning providers do not work closely enough to identify and meet the skills based needs of the future	Strategic Risk	Vicky Barlow - Senior Manager - School Improvement Systems	Niall Waller - Service Manager - Enterprise and Regeneration				Open

**Potential Effects:** Employers will increasingly struggle to fill vacancies and may leave the area. Young people will not be able to benefit from the growth of the local economy and may need to move away to secure employment that matches their skills. If the skills base fails to match employer needs in the future then the area will struggle to compete for investment.

**Lead Supporting Officer Comments:** In addition to current work to link schools, learners and employers there are a number of proposals for further work being developed as part of the North Wales Growth Deal including an enhanced careers offer and further STEM support for schools. In addition, learning provision is guided by the Regional Skills Strategy which sets out the needs of the economy.

Last Updated: 16-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST178	Sustainability of funding streams	Strategic Risk	Vicky Barlow - Senior Manager - School Improvement Systems	Vicky Barlow - Senior Manager - School Improvement Systems				Open

**Potential Effects:** Reduced capacity to deliver targeted support to schools.

**Lead Supporting Officer Comments:**




The sustainability of grant funding for education continues to pose a significant and live risk in a number of areas:

A lack of clarity about the funding of the Teachers' Pay Award for 2019-20 remains. Through RSG and the Teachers Pay Grant from Welsh Government the schools budget is funded for 1% of the impact of the pay award implemented in September 2018. The balance of 1.2% of the pay award is a cost pressure which will have to be absorbed by schools. A further significant pressure is the Teachers' Pay Award from September 2019 which unless national funding is made available will be an additional cost pressure which will need to be absorbed by schools.

There are grants which are only short term to support Ministerial key priorities e.g. Infant Class Sizes; Small and Rural Schools etc but the grant conditions are often complex which make them difficult to administer and their short term nature does not allow for proper strategic planning to maximise impact.

Last Updated: 24-Jun-2019



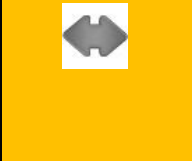


Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST179	Numbers of school places not matching the changing demographics	Strategic Risk	Damian Hughes - Senior Manager, School Planning & Provision	Vicky Barlow - Senior Manager - School Improvement Systems				Open

**Potential Effects:** Higher teacher ratios, unfilled places, backlog maintenance pressures, inefficient estate

**Lead Supporting Officer Comments:** Reducing unfilled school places via school organisation change is an ongoing process. School change projects can take between three and five years from inception to delivery before reductions of unfilled places can be realised. This continues to be an ongoing process linked to the school modernisation programme. To supplement this the Council will continue to work closely with schools to consider innovative ways for reduction in capacity on a school by school basis (i.e. alternative use of school facilities by other groups) with the objective of meeting national targets of circa 10% unfilled places in all school sectors.

Last Updated: 15-Apr-2019




Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST180	Limited funding to address the backlog of known repair and maintenance works in Education & Youth assets	Strategic Risk	Damian Hughes - Senior Manager, School Planning & Provision	Vicky Barlow - Senior Manager - School Improvement Systems				Open

**Potential Effects:** The fabric of Education and Youth buildings will continue to decline

**Lead Supporting Officer Comments:** Continuation of the School Modernisation programme is one of the strategic options available to address the repair and maintenance backlog. The programme continuation will also i) Support a reduction of unfilled places ii) Provide a more efficient school estate and concentrate resources on teaching by removal of unwanted fixed costs in infrastructure and leadership iii) Ensure that the condition and suitability of the school estate is improved. Additionally, in future years capital business cases will be submitted through the Council process to supplement the 21st Century Schools investment programme.

Last Updated: 15-Apr-2019

## 4 Green Council

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST181	Reduction of the Single Environment Grant	Strategic Risk	Tom Woodall - Access and Natural Environment Manager	Lynne Fensome - Management and Support Manager				Open

**Potential Effects:** Income targets not met Potential reduction could impact staffing resource to maintain service delivery


**Lead Supporting Officer Comments:**

For 2018/19 waste and flood allocations are to be removed from the Single Revenue Grant (SRG) . Resources will be allocated to support Local Environment Quality (LEQ) and Natural Resources Management (NRM) through the existing SRG mechanism through the funding secured for this year. However Officers attended a WG workshop that explained the competitive nature of the process moving forward as the grant is to be removed and the broad themes that were to be followed in this competitive process. By moving to this process there is a risk that Flintshire will not receive any future funding.

The new 'Enabling Natural Resources and Well-being of Wales' grant (ENRaW) has been launched by WG and Officers have submitted an application. The risk to loss of income is still ongoing as this grant is competitive and there is currently no indication from WG if the application will be successful.

The Authority was not awarded any grant funding following application to Welsh Government from the Enabling Natural Resources and Well-being of Wales grant. Officers will seek alternative funding sources for 2019/20.

Last Updated: 11-Jun-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST182	Limitations on suitable Council sites with sufficient area for larger scale renewables schemes and suitable connections to the electric grid	Strategic Risk	Sadie Waterhouse - Energy Conservation Engineer	Lynne Fensome - Management and Support Manager	Amber	Amber		Open


**Potential Effects:** Failure to meet Welsh Government renewable energy targets and the actions set out in the Council's renewable energy action plan

**Lead Supporting Officer Comments:** Following a workshop with Officers in Valuation and Estates and Planning, 6 potential brownfield sites have been identified as possible renewable energy generation sites. Initial feasibility assessments have been completed for these sites, including energy generation capacity, potential grid connection costs, planning constraints, ecology, land contamination, legal constraints and indicative installation costs and potential income generation. This has enabled 3 sites to be prioritised. Detailed feasibility studies have been completed including economic/financial modelling for these 3 sites with formal grid connection applications submitted to SP Energy Networks. Key next steps will be to assess the final business case once a formal grid connection offer has been received.

A high level review of the Council's agricultural estate has been completed assessing energy generation potential, acreage available and possible planning/legal constraints. Further feasibility will be completed. Potential sites for hydro power have been assessed with Wepre Brook prioritised. A detailed design has been completed and planning permission applied for.

Work is ongoing with officers and Welsh Government to review and research methods of increasing the economic viability of renewable energy schemes. Increasing the income from energy sales or self supplying Council stock can negate possible increases in grid connection costs.


Last Updated: 11-Jun-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST183	Funding will not be secured for priority flood alleviation schemes	Strategic Risk	Ruairi Barry - Senior Engineer	Lynne Fensome - Management and Support Manager	Red	Red		Open

**Potential Effects:** Flooding of homes and businesses across the county Potential homelessness

**Lead Supporting Officer Comments:** Since 7th January 2019, the Council has a new statutory duty as a Sustainable Drainage Approving Body (SAB). This has placed significant resource demands on the relatively small Flood and Coastal Risk Management Team to implement, resource and fund this new statutory role. In the short-term (1-2 years) the impacts of developing this new service will lessen the ability of the Team to delivery non-statutory flood alleviation schemes. Welsh Government provided the Council with £20 000 to mitigate the impacts of this new responsibility. As the Council reviews the implications of its new role as a SAB, no major schemes will be programmed to be put forward to Welsh Government's 'national pipeline of projects' for delivery in 2019/20. However, additional funding for smaller more affordable local works that can be delivered through Welsh Government's small scale scheme grant will continue to be pursued.

Last Updated: 27-Jun-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST186	Insufficient funding to ensure our highways infrastructure remains safe and capable of supporting economic growth	Strategic Risk	Barry Wilkinson - Highways Networks Manager	Lynne Fensome - Management and Support Manager	Amber	Amber		Open

**Potential Effects:** Deterioration of the condition of highways in Flintshire


**Lead Supporting Officer Comments:** The monies made available for Highway infrastructure maintenance programmes have been allocated and expended by the end of the financial year. Those monies remain below the level of funding required to maintain a Steady State in the condition of the road network, which would need to be >£2.7m per annum. Streetscene & Transportation ensure that the available funding is allocated appropriately, and ensure best value for the expenditure to maintain the highway network. Highways asset management schemes have been completed as follows:

Resurfacing - 26 sites completed

Surface Dressing - Complete

Condition surveys are undertaken and reviewed annually to produce the annual resurfacing programme for financial year 2019/20. Priority is given to the areas of the network that require the investment whilst considering the local infrastructure.




Last Updated: 24-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST187	Sufficient funding will not be found to continue to provide subsidised bus services.	Strategic Risk	Ceri Hansom - Integrated Transport Unit Manager	Lynne Fensome - Management and Support Manager	Amber	Amber		Open

**Potential Effects:** Decrease in bus services to residents, particularly in rural areas

**Lead Supporting Officer Comments:** Withdrawal of subsidies could affect viability of some marginal commercial bus services impacting on people with disabilities, younger people, people employed on low wages, who are unable to drive, and those who may have no alternative choice of travel. There is also a potential impact on rural communities, where no alternative transport services exist and there is heavy reliance on private cars for travel. We are currently completing a bus subsidy review where we have managed to sustain a core network of bus routes and gain funding for Local Travel arrangements to connect rural communities to the core network.




Last Updated: 29-Jan-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST188	Supply chain resilience of transport providers	Strategic Risk	Ceri Hansom - Integrated Transport Unit Manager					Open

**Potential Effects:** Transport services cannot be provided

**Lead Supporting Officer Comments:** The control measures have been put in place to mitigate against another major transport services provider going into administration or not able to meet the required operating standards. New processes have been established and officers are carrying out both safety compliance checks and also finance compliance checks on contractors

Last Updated: 22-Jan-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST189	Adverse weather conditions on the highway network	Strategic Risk	Barry Wilkinson - Highways Networks Manager	Lynne Fensome - Management and Support Manager				Open

**Potential Effects:** Increase in cost to future planned repairs as network deteriorates beyond that can be rectified by planned maintenance Increase in insurance claims

**Lead Supporting Officer Comments:** Pothole repairs have been undertaken throughout the County to ensure that the Highway Network is in a safe condition for the travelling public. The previous increase in risk has been mitigated by a number of schemes of works that have been undertaken to improve the condition of the carriageway overall. Repairing the Council's roads is a priority for the service and resources were provided to identify and then prioritise the roads in need of repair.

Planned Maintenance Works have been completed as follows:


26 Resurfacing completed

9 Surface Dressing sites have been completed

Reactive Work to remove defects from the carriageway continue.

This work removed the significant defects and looked to improve the condition of the roads, whilst reducing the risk on the network, in line with our statutory duty and county policy.

Last Updated: 24-Apr-2019




Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST190	Lack of community support for transport options	Strategic Risk	Ceri Hansom - Integrated Transport Unit Manager	Lynne Fensome - Management and Support Manager	Yellow	Yellow		Open

**Potential Effects:** i) Planned programme of community transport hubs not delivered. iii) Decreased passenger numbers on bus services. iii) Increase in individual car usage

**Lead Supporting Officer Comments:** Community based transport services can play an important part in an integrated passenger transport provision and transport network. Community Benefit clauses included in all new transport routes awarded (except local bus). This is a free service provided by the successful tenderer as a Community Benefit. A minimum of 1.5% of mileage per annum is required from each tenderer (capped at 150 miles per annum). Delivery is dependent on the ability and willingness of the local communities and transport operators to support and deliver sustainable transport arrangements.

Last Updated: 17-Jan-2019




## 5 Connected Council

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST191	The capacity and appetite of the community and social sectors	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Cher Lewney - Digital Customer & Community Resilience Programme Manager				Open

**Potential Effects:** Lack of capacity to and desire of the sector resulting in unsustainable community and social sector projects such as Community Asset Transfers and Alternative Delivery Models

**Lead Supporting Officer Comments:** Sustained progress on growth of the social sector with development of new Community Asset Transfers and Alternative Delivery Models. The emphasis will now be on sustaining this delivery and maximising its impact. Regular review meetings and partnership board meetings are in place.




Last Updated: 17-Apr-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST193	Market conditions which the new alternative delivery models (ADM's)face	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Cher Lewney - Digital Customer & Community Resilience Programme Manager				Open

**Potential Effects:** More competition from other agencies or decreasing use of the services means they are in the future unsustainable

**Lead Supporting Officer Comments:** Established reviews are planned with each of the Alternative Delivery Models. Two reviews have taken place with Aura Leisure and Libraries and concluded that the first year business plan's have been delivered. Second year business plans are currently underway.




Last Updated: 01-Jul-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST194	Limitations on public funding to subsidise alternative models (ADM's)	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Cher Lewney - Digital Customer & Community Resilience Programme Manager				Open

**Potential Effects:** Reductions in funding to these models by the public sector resulting in the new to stop or close services and facilities

**Lead Supporting Officer Comments:** Review meetings are providing an update on the future financial context so organisations can plan for potential reductions when appropriate. Business Plans for 2019/20 are currently being prepared and shared with the Council and these will identify if funding for the future enables the organisations to be sustainable. These plans show funding levels for organisations moving forward into 2019/20 are sustainable.

Last Updated: 29-Jan-2019




Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST195	Procurement regulations stifling our ability to develop local community and third sector markets	Strategic Risk	Gareth Owens - Chief Officer - Governance					Open

**Potential Effects:** Social and third sector organisation not able to grow through the winning of new contracts.

**Lead Supporting Officer Comments:** The recently approved social value policy will enable the Council to place greater importance on the third sector when awarding contracts which will help the sector to secure work. It is possible to ring fence contracts to third sector providers and the Council will identify opportunities where this is appropriate for forthcoming procurement exercises.

Last Updated: 11-Jan-2019






Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST196	Newly established Social Enterprises and Community Asset Transfers failing in their early stages of development.	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Cher Lewney - Digital Customer & Community Resilience Programme Manager				Open

**Potential Effects:** Social enterprises cease trading and asset return to the Council.

**Lead Supporting Officer Comments:** Review meetings have been held with all Community Asset Transfers (CATs) that transferred 2015-17. The second year review meetings are now complete as are the first reviews for organisations that took on Community Asset Transfers after 1 April 2017.

Last Updated: 28-Jan-2019




## 6 Serving Council

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST197	The scale of the financial challenge	Strategic Risk	Gary Ferguson - Corporate Finance Manager	Sara Dulson - Corporate Accounting and Systems				Open

**Potential Effects:** Reduction in funding of Revenue Support Grant leading to challenging financial position for the Council in its ability to set a balanced budget.

**Lead Supporting Officer Comments:** Council considered the final stage 3 of the budget in February and approved the setting of a balanced budget by utilising additional reserves of £0.321m (to bring the total amount funded from reserves to £2.221m) and an increase in Council Tax of 8.75%. The financial challenge will continue into 2020/21 and beyond with the Cabinet considering the financial forecast for 2020/21 to 2021/22 which is projecting an initial gap of £13.3m for 2020/21.

Last Updated: 28-Jun-2019

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST198	The capacity and capability of the organisation to implement necessary changes.	Strategic Risk	Gareth Owens - Chief Officer - Governance	Cher Lewney - Digital Customer & Community Resilience Programme Manager				Open

**Potential Effects:** That projects agreed as part of the DS will be hindered or delayed thereby delaying the potential benefits to residents or causing cost to be incurred in correcting mistakes

**Lead Supporting Officer Comments:** A detailed programme of works has been developed including all the council's aspirations. This has served to further highlight the very limited levels of resource available to achieve the aims within the current proposed timetable. Many of the projects are needed to support current service delivery and further work is being undertaken on how to find resource to support more transformational projects.

Last Updated: 11-Jan-2019