



**Integrated Risk Manager**

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# Strategic Risk Report 2016-17

Flintshire County Council

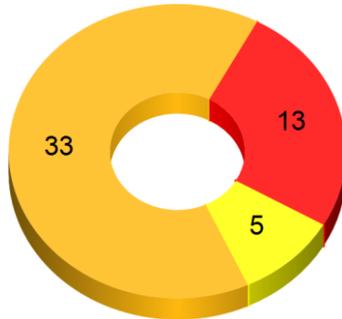


*Print Date: 26-May-2017*

# Risk Summary

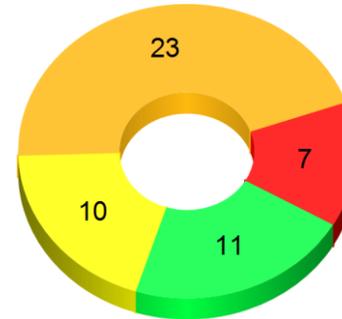
## Strategic Risks

Initial Risk Assessment



Minor 9.80% (5)  
Moderate 64.71% (33)  
Major 25.49% (13)

Current Risk Assessment



Insignificant 21.57% (11)  
Minor 19.61% (10)  
Moderate 45.10% (23)  
Major 13.73% (7)

## Strategic Risks

### 1 Housing

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
IP1.1.1R1	Homelessness will remain a growing area of demand due to the current economic climate.	Strategic Risk	Katie Clubb - Community Support Services Manager	Suzanne Pemberton - Supporting People Manager				Open

**Potential Effects:** An increase in demand by potentially homeless clients would have an impact on capacity within the service. The lack of available housing to meet this demand would result in an increase for temporary housing.

**Lead Supporting Officer Comments:** The service has completed a forecasting model which highlights the areas of greatest risk and includes an action plan to mitigate against them. The action plan includes activities to increase availability and reduce barriers to finding suitable and affordable accommodation. The roll out of full service universal credit and the local housing allowance cap present further risks to numbers presenting as homeless and finding suitable housing options which will be reflected in the forecasting model.

Last Updated: 15-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST99	The supply of affordable housing will continue to be insufficient to meet community needs.	Strategic Risk	Clare Budden - Chief Officer - Community and Enterprise	Denise Naylor - Customer Services Manager, Melville Evans - Strategic Housing and Regeneration Programme (SHARP) Programme Manager				Open

**Potential Effects:** Impact would increase pressure on housing solutions and homelessness services.

**Lead Supporting Officer Comments:** The Council's Strategic Housing And Regeneration Programme (SHARP) continues to progress, with the first scheme of 12 new Council homes completed on the site of the former Custom House School site, Connah's Quay. Work also commenced on The Walks, Flint which will deliver 92 Council (30) and affordable homes (62) and 40 properties at smaller sites at Connah's Quay, Leeswood and Mold. In March 2017, Cabinet approved site feasibility and investigation works on a further 22 site across Flintshire which will potentially deliver a further 363 Council and affordable properties. With these properties, the total programme will comprise 507 homes which includes 277 Council properties, 157 affordable rent properties and 73 affordable purchase properties.

The Housing Programmes Team is a statutory consultee to planning applications and ensures the delivery of affordable housing provision on market led schemes in line with planning policy and local needs. This includes developers providing gifted units for affordable rent through NEW Homes Ltd or through Shared Equity where we currently have 285 properties (which excludes those that have been sold).

The Council also oversees the delivery of the Social Housing grant (SHG) with local housing association partner.

NEW Homes continues to grow with a further 14 affordable properties transferred to the management of the company. A further 12 are scheduled for 2017/18.

Affordable properties delivered through the planning system during 16/17 was 46.

Last Updated: 25-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST100	The increased work programme to deliver the Welsh Housing Quality Standard (WHQS) will not be met due to the scale of the programme.	Strategic Risk	Clare Budden - Chief Officer - Community and Enterprise	Sean O'Donnell - Contract Surveyor	Amber	Amber		Open

**Potential Effects:** Contractors under performing against targets may have an adverse effect on budgets

**Lead Supporting Officer Comments:** The risk remains low as both Year 1 and Year 2 of the capital programme were delivered in full.

Year 3 surveys / scoping works have already commenced and the majority of contracts have now commenced the delivery works onsite.

All work streams are progressing well with many of the contracts anticipated to be completed and finalised in Quarter 3.

A review of the journey to date is to be undertaken by the Capital Works Manager with the Programme being refreshed to capture and incorporate any Acceptable Fails (Tenant Refusals etc.) thus further improving the delivery programme in terms of completing the works as soon as possible rather than resulting in a large 'pepper pot' programme later in the final year.

A revised structure has also been approved with the recruitment progress currently at 90% with only 5 positions left to advertise and fill.

Last Updated: 24-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
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ST102	Council funding for adaptations and home loans will not be sufficient to meet demand.	Strategic Risk	Niall Waller - Enterprise and Regeneration Manager					Open
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**Potential Effects:** Adaptations are a statutory duty for the Council. Demand in excess of current budgets would create a financial pressure on the Capital Programme.

**Lead Supporting Officer Comments:** Demand for DFG funding has increased as the delivery of DFGs has increased in speed. Although demand has exceeded budget provision savings in other areas of the service have offset this.

Last Updated: 28-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST103	Financial assistance available to repair homes is not taken up by residents.	Strategic Risk	Niall Waller - Enterprise and Regeneration Manager					Open

**Potential Effects:** Available resources will not be fully utilized and the programme may not realise its full impact in bringing quality homes into Flintshire.

**Lead Supporting Officer Comments:** The budget for repairs to homes has been fully utilised this year.

Last Updated: 28-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST104	Customer expectations for the timeliness of adaptations undertaken through disabled facilities grants will not be met due to competing demands on resources.	Strategic Risk	Niall Waller - Enterprise and Regeneration Manager					Open

**Potential Effects:** The Council has a statutory duty to deliver Disabled Facilities Grants (DFGs) and failure to do so in a timely manner risks challenge and reputational impact.

**Lead Supporting Officer Comments:** Improvements to the adaptation process are currently being made including reducing bureaucracy of the programme, developing a framework for suppliers to speed up procurement, a new IT system to facilitate case management and improving the purchase of frequently used equipment. These measures are expected to bring down the timescale for adaptations.

Last Updated: 28-Apr-2017

2 Living Well

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST105	Fragility and sustainability of the care home sector.	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Jane M Davies - Senior Manager, Safeguarding & Commissioning				Open

**Potential Effects:** Reduced quality of care, increased difficulties with recruitment and retention of staff, and reduced capacity in the care home sector.

**Lead Supporting Officer Comments:** A five day summit with Betsi Cadwaldr University Health Board and the six North Wales Authorities was held to discuss fragility and the impact on admissions into acute hospitals and early discharge. Monthly follow up sessions are taking place in North East Wales to take forward the agreed actions. Providers are involved in these discussions and, fee setting is ongoing. The project manager has undertaken initial research and identified both 'quick wins' and medium to long term opportunities to support the sector, and is working with new providers to support their entry into the Flintshire market. The pressure on the Welsh Government to increase the cap on day care has resulted in an increase from £60 to £70 per week with incremental progression to £100 per week over time to support the sector. Although progress is being made the level of risk remains red due to the ongoing fragility of the sector.

Last Updated: 25-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST107	The quality of care home services will not meet required standards.	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Jacque Slee - Performance Lead ' Social Services				Closed

**Potential Effects:** Negative impact on reputation of the Council.

**Lead Supporting Officer Comments:** The roll out of "Progress for Providers" continues; one page profiles and the welcome pack have been implemented in 16 residential homes and 3 nursing homes. Contract officers are now implementing further person centred tools, with bespoke training delivered for staff. Care homes will start assessing themselves against the new Flintshire standards from April 2017. This risk has been mitigated to Green and is now closed.

Last Updated: 27-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST108	Children and vulnerable families are not fully supported where multi-agency services and partners do not move toward an early intervention and prevention approach	Strategic Risk	Craig Macleod - Senior Manager, Children's Services & Workforce	Ray Dickson - Children's Fieldwork Services Manager				Open

**Potential Effects:** High re-referral rates, statutory requirement to provide Information, Advice and Assistance not met, escalation of needs and high cost intervention, duplication of effort across agencies

**Lead Supporting Officer Comments:** Project arrangements for developing an Early Intervention Hub are in place with appropriate governance and delivery infrastructure. Specific work streams have been developed and lead officers identified to take them forward. Within Social Services there is a high demand for targeted support and early intervention services. Management decisions are being made on how finite resources can be best deployed based on individual circumstances and presenting/associated risk. Additional funding has been identified through the Intermediate Care Fund to facilitate support to children, young people and families with complex needs, through targeted support to help prevent their problems from escalating.

Last Updated: 24-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST109	Demand and aspirations for independent living will not be met.	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Susie Lunt - Senior Manager, Integrated Services				Open

**Potential Effects:** Insufficient capacity within existing extra care provision

**Lead Supporting Officer Comments:** Flint Extra Care scheme ' to be known as Llys Raddington ' is under construction and remains on track to complete in the spring of 2018. The site is at the heart of the town and will provide 73 apartments, with a mix of 1-bed and 2-bed apartments. There is specific provision for people living with dementia. The development of a new Extra Care scheme in Holywell is now progressing well. A preferred site has been identified at the vacant Ysgol Perth y Terfyn school near the town centre. The Council are working closely with Wales & West Housing Association to complete outline designs and prepare a full planning application by July 2017. Successful planning processes will enable construction to commence with a target completion in the first half of 2019. With positive progress on both projects, this risk is now decreasing.

Last Updated: 08-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST110	Funding between Health and the Council does not transfer smoothly e.g. Continuing Health Care (CHC), Intermediate Care Funds (ICF), and Primary Care Funds.	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Susie Lunt - Senior Manager, Integrated Services				Closed

**Potential Effects:** Increased costs to the Council

**Lead Supporting Officer Comments:** £227K has been reclaimed as a result of the work on tracing Continuing Healthcare Care (CHC) funding. Work is continuing on producing a set of operational standards with Betsi Cadwaladr University Health Board (BCUHB); these will form the basis of a North Wales regional workshop to agree operational standards for health & social care. In terms of Intermediate Care Fund (ICF), meetings with BCUHB are regularly held to agree ongoing and new funding arrangements. This risk is now closed.

Last Updated: 25-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST111	Service provision is not co-ordinated/integrated.	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Susie Lunt - Senior Manager, Integrated Services				Open

**Potential Effects:** Ineffective joint services

**Lead Supporting Officer Comments:** Betsi Cadwaladr University Health Board (BCUHB) successfully recruited to two key management positions within the organisation which has created some collaborative stability this year.

There is BCUHB management attendance at the Health, Wellbeing and Independence Board which meets every quarter. The BCUHB/FCC Strategic Partnership continues to meet quarterly chaired by Flintshire County Council (FCC) Chief Executive.

Partnership Friday is held monthly and is attended by BCUHB managers and FCC Chief Officers; BCUHB managers also attend Heads meetings as relevant to discuss specific issues. Discussions are taking place regionally and locally in relation to how best to take forward the development of pooled budgets. The level of risk remains amber due to the Council's ability to achieve this by 2018 as required by the Act.

Last Updated: 08-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST112	Safeguarding arrangements do not meet the requirements of the Social Service and Well-being (SSWB) Act.	Strategic Risk	Neil Ayling - Chief Officer - Social Services	Jane M Davies - Senior Manager, Safeguarding & Commissioning	Yellow	Green	↓	Open
<p><b>Potential Effects:</b> Criticism from Regulator</p> <p><b>Lead Supporting Officer Comments:</b> A specific module on safeguarding in line with the act has been delivered to employees in Social Services. Safeguarding procedures are being amended in line with the Act, and training will be delivered on these. E-learning modules on Safeguarding are now available on Flintshire Acadami. Interactive half day workshops will be delivered June 2017.</p> <p>Last Updated: 25-May-2017</p>								

3 Economy and Enterprise

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST113	The Northern Powerhouse and Local Enterprise Partnership (LEP) could pose risks to the growth of the Flintshire economy if there is not devolution of powers and freedoms to match those being developed in England.	Strategic Risk	Clare Budden - Chief Officer - Community and Enterprise	Niall Waller - Enterprise and Regeneration Manager, Rachael Byrne - Enterprise Manager				Open

**Potential Effects:** If a significant growth deal package is agreed for Cheshire / Warrington area then it will bring the local partners the ability to manage the economy locally with new investment as well as devolved powers that allow a responsive approach to meeting local needs. This has the potential to make the area more attractive to new business investment and to enable the maximum benefits from economic growth to reach local people.

**Lead Supporting Officer Comments:** There has been extensive work to make the case for increased devolution of powers as part of the development of the North Wales Growth Vision. There have been positive discussions with Welsh Government in relation to the future role of the Economic Ambition Board and the emerging approach to regional working as an alternative to Local Government Reorganisation which may help with this process.

Last Updated: 28-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST114	Infrastructure investment does not keep pace with needs and business is lost to the economy.	Strategic Risk	Clare Budden - Chief Officer - Community and Enterprise	Niall Waller - Enterprise and Regeneration Manager				Open

**Potential Effects:** The potential impact would include businesses choosing not to locate in Flintshire, existing businesses finding it harder to justify remaining in the area and a worsening quality of life where, for example, traffic congestion increases.

**Lead Supporting Officer Comments:** Flintshire has worked with partners across North Wales and the North West of England in developing ambitious visions for economic growth for both North Wales and the Cheshire Warrington area. Both visions set out the economic benefits that can be realised in the region and the infrastructure needed to deliver them. These have been submitted to the UK Government for consideration. Further work is also underway to identify barriers to developing the key strategic development sites in Flintshire. Welsh Government has announced major road infrastructure investment in Flintshire and is developing a North Wales Metro which will modernise transport infrastructure in the region.

Last Updated: 28-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST115	Support for businesses in Flintshire does not meet needs and fails to encourage investment.	Strategic Risk	Clare Budden - Chief Officer - Community and Enterprise	Niall Waller - Enterprise and Regeneration Manager, Rachael Byrne - Enterprise Manager				Open
<p><b>Potential Effects:</b> i) Lower level of investment ii) Lower level of employment iii) Failure to realise wider benefits to the county from business investment</p> <p><b>Lead Supporting Officer Comments:</b> The Council has been working closely with potential investors and the rate of conversion remains high. Flintshire Business Week 2016 was very successful with a number of well attended events and remains a popular and cost effective way of engaging with and supporting the business community, enabling them to network and trade together. Despite the small size of the Flintshire service responses and support from businesses is very positive.</p> <p>Last Updated: 28-Apr-2017</p>								

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST116	Devolved powers in Wales do not match those in England.	Strategic Risk	Clare Budden - Chief Officer - Community and Enterprise	Niall Waller - Enterprise and Regeneration Manager				Open
<p><b>Potential Effects:</b> Areas with a greater range of devolved powers have the potential to manage their economy in a more responsive manner and are able to take decisions quickly across a wide range of service areas. This gives them a considerable advantage in creating the conditions for successful business growth and neighbouring areas are likely to struggle to compete for new business investment.</p> <p><b>Lead Supporting Officer Comments:</b> There has been considerable progress in the development of a growth bid for North Wales and positive discussions with both UK and Welsh Government about the next steps in its development. Cross border partnership working is extremely strong and Welsh Government have welcomed the development of cross border elements for the vision.</p> <p>Last Updated: 28-Apr-2017</p>								

## 4 Skills and Learning

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST117	Local employers and learning providers do not work closely enough to identify and meet the skills based needs of the future	Strategic Risk	Jeanette Rock - Principal Education Officer Inclusion	Claire Homard - Senior Manager - School Improvement	Amber	Amber		Open

**Potential Effects:** Flintshire residents are not appropriately skilled to meet the labour market requirements.

**Lead Supporting Officer Comments:** Labour Market Intelligence is feeding into the forums to provide further evidence of employee skill needs for the future. The Construction Industry Training Board (CITB) have just started a pilot project which creates direct links between local schools and construction companies to develop awareness of the range of future employment opportunities and the associated skills required.

Last Updated: 23-Feb-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST118	Training places will not match current or future employer aspirations and needs	Strategic Risk	Jeanette Rock - Principal Education Officer Inclusion	Claire Homard - Senior Manager - School Improvement	Amber	Amber		Open

**Potential Effects:** Flintshire residents will not have access to a suitable range of qualifications which will facilitate successful recruitment within the local area.

**Lead Supporting Officer Comments:** Labour Market Intelligence generated by the North Wales Economic Ambition Board is circulated to providers to raise awareness of training requirements. Discussions around the information are taking place through the existing forums.

Last Updated: 29-Nov-2016

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST119	Timescales of European Social Fund (ESF) programmes will not meet local targets and requirements.	Strategic Risk	Jeanette Rock - Principal Education Officer Inclusion	Claire Homard - Senior Manager - School Improvement	Amber	Amber		Open

**Potential Effects:** Reduced time to make best use of the ESF funding resulting in low project impact on young people who are at risk of disengagement and becoming NEET (Not in Education, Employment or Training).

**Lead Supporting Officer Comments:** A training session has been held with school-based staff to review TRAC eligibility and systems. This has facilitated a greater understanding for the purpose of the project along with processes that need to be undertaken to access and exit the provision. The full employee complement and greater process awareness should facilitate increased participant involvement.

Last Updated: 17-Feb-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST120	Schools do not receive and/or make best use of the support they need from the Council and Gwasanaeth Effeithiolrwydd (GwE)	Strategic Risk	Claire Homard - Senior Manager - School Improvement	Jeanette Rock - Principal Education Officer Inclusion	Amber	Amber		Open

**Potential Effects:** Schools are less well informed about developments and what their actions to ensure continued improvement should be. Progress in improving outcomes for learners is reduced.

**Lead Supporting Officer Comments:** Schools considered to pose a risk because there is evidence they are not making best use of the support provided by the Council or GwE will be targeted as part of the School Performance Monitoring Group and challenged to engage. Persistent failure to engage could result in the issuing of a Warning Notice by the Chief Officer to the school under the Schools Causing Concern guidance from Welsh Government

Last Updated: 26-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST121	Numbers of school places not matching the changing demographics.	Strategic Risk	Damian Hughes - Senior Manager, School Planning & Provision	Claire Homard - Senior Manager - School Improvement	Red	Red		Open

**Potential Effects:** Higher teaching ratios, unfilled places, backlog maintenance pressures

**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. The recent school organisation change determinations will result in a reduction in unfilled places across both primary and secondary schools. As a snapshot, the Holywell Learning Campus project has reduced unfilled places in this area by around 450 places.

Last Updated: 17-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST122	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	Claire Homard - Senior Manager - School Improvement	Red	Red		Open

**Potential Effects:** Schools unable to operate effectively, potential school down time, negative impact on curriculum delivery

**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 for improvement and repairs, and maintenance projects in schools will be submitted via the Council's business case process for consideration.

Last Updated: 17-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
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ST123	Leadership capacity does not match school needs	Strategic Risk	Claire Homard - Senior Manager - School Improvement	Jeanette Rock - Principal Education Officer Inclusion	Amber	Amber		Open
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**Potential Effects:** Flintshire learners do not leave with suitable qualifications to enable them to progress into further education or employment. Overall school standards decrease with an increase in schools entering into an Estyn category and requiring significant levels of intervention to improve.

**Lead Supporting Officer Comments:** All schools in Flintshire currently have appropriate leadership arrangements in place. Out of 64 primary schools there are two Acting Head positions - one in relation to potential school reorganisation and one in relation to the temporary secondment of the substantive Head to the Regional School Improvement Service. In the secondary sector where there are 12 schools, two have interim Headteacher posts to cover vacancies, which will be advertised to secure substantive appointments.

Last Updated: 19-Dec-2016

## 5 Safe Communities

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST124	Lack of sustainable funding to deliver nationally determined community safety priorities.	Strategic Risk	Sian Jones - Public Protection Manager					Open

**Potential Effects:** Unable to deliver services

**Lead Supporting Officer Comments:** All external grants were received during 2016/17 and appropriate financial claims and monitoring information were provided to the funders.

Last Updated: 16-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST125	Retention of experienced and skilled staff due to the short term grant funding regime.	Strategic Risk	Sian Jones - Public Protection Manager					Open

**Potential Effects:** Staff shortages may impact on service delivery.

**Lead Supporting Officer Comments:** The Community Safety Partnership received continued funding during 2016/17 that enabled the services they commission to be continued.

Last Updated: 03-May-2017

6 Poverty

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST126	Demand for advice and support services will not be met.	Strategic Risk	Katie Clubb - Community Support Services Manager	Pam Davies - Housing Options Team Leader	Yellow	Yellow		Open

**Potential Effects:** Service providers with insufficient resources to meet demand will quickly build up long waiting lists and residents will not be able to access timely advice that prevents problems from escalating to ones that require more costly specialist interventions.

**Lead Supporting Officer Comments:** From October 2016, the Council's Welfare Rights Team have been based in the Citizen Advice Flintshire Mold office. The collaboration with Citizen Advice Flintshire was introduced to maximise the efficient use of service resources and increase the number of households helped to access correct entitlement of social security benefits. In addition, the Advice and Housing Support Gateways have continued to help providers to manage demand from households experiencing social welfare problems as a result of the ongoing transformation of the social security system.

Last Updated: 15-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST127	Debt levels will rise if tenants are unable to afford to pay their rent.	Strategic Risk	Katie Clubb - Community Support Services Manager	Jen Griffiths - Benefits Manager	Amber	Amber		Open

**Potential Effects:** In 2018, the reductions to the financial support provided by welfare benefits to help low-income tenants pay their housing costs and the expansion of the Universal Credit Full Service across Flintshire will increase the number of households accruing rent arrears. In addition, some households, e.g., single people aged under 35, will find that wef April 2018; their social housing property is no longer an affordable housing option.

**Lead Supporting Officer Comments:** Due to the continued, slow introduction of Universal Credit within Flintshire in 2016/17, the number of claimants who are also tenants remains low and there was little increase in the number of Universal Credit claimants during the year. The Advice and Housing Support Gateways refer cases to the Specialist Debt Officer where necessary and the personal budgeting service delivered by Citizen Advice Flintshire has coped with the demand from Universal Credit claimants.

Last Updated: 15-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST128	The local economy will suffer if residents have less income to spend.	Strategic Risk	Katie Clubb - Community Support Services Manager	Jen Griffiths - Benefits Manager	Amber	Yellow	↓	Open

**Potential Effects:** The welfare reforms will reduce income levels in Flintshire by an average of £500 per working age adult pa by 2018. This will have a wider knock-on effect for the Flintshire economy given households (particularly lower-income households) will have less money to spend on local goods and services.

**Lead Supporting Officer Comments:** In 2016/17 Flintshire residents received specialist advice and support to access ongoing social security benefits worth £1,579,380 increasing the spending power of these households within the local economy.

Last Updated: 15-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST129	Residents do not take up the energy efficiency measures available.	Strategic Risk	Niall Waller - Enterprise and Regeneration Manager		Amber	Yellow	↓	Open

**Potential Effects:** i) Available resources not used to their full potential ii) Household energy bills higher than needed iii) Fuel poverty remains higher than needed

**Lead Supporting Officer Comments:** There has been a strong level of demand for energy efficiency measures and in particular for the external wall insulation offered in Deeside. All available resources have been fully used.

Last Updated: 28-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST130	Available funding for energy efficiency measures may fall short of public demand.	Strategic Risk	Niall Waller - Enterprise and Regeneration Manager					Open

**Potential Effects:** i) Public frustration, and reduced funding may impact on the Council's reputation. ii) Opportunities to reduce household costs and fuel poverty may not be fully realised.

**Lead Supporting Officer Comments:** There remains more demand for energy efficiency measures than the current level of funding allows, in particular for solar panels and external wall insulation. Expectations are being managed as far as possible and other sources of funding to increase the level of provision are being actively considered.

Last Updated: 28-Apr-2017

7 Environment

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST131	Sufficient funding to ensure our highways infrastructure remains safe and capable of supporting economic growth.	Strategic Risk	Stephen Jones - Chief Officer - Streetscene and Transportation	Barry Wilkinson - Highways Networks Manager	Amber	Amber		Closed

**Potential Effects:** A lack of sufficient funding would result in a worsening condition of the highway infrastructure across Flintshire.

**Lead Supporting Officer Comments:** Preventative and corrective work has been completed across a number of improvement and maintenance schemes of the highest ranked sites within the network as planned, in accordance with received funding.

Last Updated: 26-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST132	Sustainable transport options do not remain attractive to users.	Strategic Risk	Stephen Jones - Chief Officer - Streetscene and Transportation	Katie Wilby - Transportation and Logistics Manager	Amber	Amber		Open

**Potential Effects:** Increase in individual car usage. Increase in deterioration of the highway. Not meet the requirements of the Active Travel Wales bill.

**Lead Supporting Officer Comments:** Work is ongoing with Welsh Government and regional partners through the Local, Regional and National Transport Plans looking at transport interventions such as integrated ticketing, quality partnerships, vehicle quality standards, infrastructure improvements and development of alternative services such as community based transport services.

Last Updated: 17-Feb-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
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ST133	Sufficient funding will not be found to continue to provide subsidised bus services.	Strategic Risk	Stephen Jones - Chief Officer - Streetscene and Transportation	Katie Wilby - Transportation and Logistics Manager				Open
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**Potential Effects:** Decrease in bus services to residents, particularly in rural areas.

**Lead Supporting Officer Comments:** Work is ongoing to make existing services more sustainable and provide support for the bus industry in partnership with Welsh Government with a Bus Summit held on 23.01.2017. The Bus Summit was facilitated by Welsh Government and aimed to bring together industry users, providers, and policy makers in devising a forward looking sustainable strategy for the bus industry in Wales.

Existing supported bus services are operating within current financial levels for 2016-2017.

Last Updated: 17-Feb-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST134	Reduction of the Single Environment Grant.	Strategic Risk	Andrew Farrow - Chief Officer - Planning and Environment					Open

**Potential Effects:** Potential reduction in future service provision

**Lead Supporting Officer Comments:** Reduction of the Single Environment Grant remains a risk as Welsh Government have continued with a reduced settlement for 2017-18. This has been raised as a budget pressure for 2017-18.

Last Updated: 19-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST135	Recycling programmes are not supported by the public and employees.	Strategic Risk	Stephen Jones - Chief Officer - Streetscene and Transportation	Harvey Mitchell - Waste and Ancillary Services Manager				Open

**Potential Effects:** Decreasing income from resale of recyclates. Increased infraction charges. Carbon reduction targets not met.

**Lead Supporting Officer Comments:** Recycling tonnages have improved on the previous year. A Countywide education campaign was carried out prior to Christmas to inform residents of an increase in the range and type of materials we collect. Further food specific campaigns are planned for March. This will continue to be monitored given the increase in what can be recycled and that the public are becoming more aware of the range of materials that can now be collected.

Last Updated: 23-Feb-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST136	Limitations on suitable Council sites with sufficient area for larger scale renewables schemes and suitable connections to the electric grid.	Strategic Risk	Andrew Farrow - Chief Officer - Planning and Environment		Amber	Amber		Open

**Potential Effects:** Unable to generate power through FCC controlled renewables sources. Continue to pay market prices for energy.

**Lead Supporting Officer Comments:** A list of potential sites has been generated in partnership with the Green Growth Wales team, these are being reviewed and a programme for each will established during 2017-18.

Last Updated: 19-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST137	Funding will not be secured for priority flood alleviation schemes.	Strategic Risk	Andrew Farrow - Chief Officer - Planning and Environment		Red	Red		Open

**Potential Effects:** Flood schemes will not be delivered

**Lead Supporting Officer Comments:** Grant availability continued to be monitored throughout 2016-17 and a capital bid to potentially address flood risk schemes was also developed. The Mold scheme has been raised as a potential National Development Framework project which will provide greater strength when seeking capital. A review of the permitted Mold scheme is also in progress.

Last Updated: 19-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
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ST138	Customer expectations around the delivery of flood alleviation schemes are not effectively managed.	Strategic Risk	Andrew Farrow - Chief Officer - Planning and Environment					Open
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**Potential Effects:** Flood schemes will not be delivered

**Lead Supporting Officer Comments:** The customer expectation (which is improving) is that flood risk can be eliminated or managed through the delivery of flood alleviation schemes by the Local Authority. This may not always be possible due to technical, environmental, financial or other constraints. Potential schemes must be able to demonstrate positive benefit cost ratios and then be considered and prioritised on a national risk based approach. Considering the current pressures on public funding, the money available for addressing flood risk is unlikely to be adequate and pressures will only increase with the rising future risk brought about by further development and a changing climate. As such flood risk management and local resilience will need to be improved by everyone working together and by those at risk from flooding taking responsibility to protect and help themselves.

Last Updated: 19-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST139	Environmental crime programmes are not supported by the public and employees.	Strategic Risk	Stephen Jones - Chief Officer - Streetscene and Transportation	Harvey Mitchell - Waste and Ancillary Services Manager				Open

**Potential Effects:** Continued problems with littering, graffiti and loss of environmental quality

**Lead Supporting Officer Comments:** In Quarter 3 the introduction of a pilot scheme carrying out environmental enforcement using a specialist contractor has so far been successful with the number of FPNs issued exceeding 2,800. There is anecdotal evidence suggesting that there has been a reduction in the amount of litter being dropped in our town centres.

Last Updated: 17-Feb-2017

8 Modern and Efficient Council

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST140	The capacity and appetite of the community and social sectors.	Strategic Risk	Ian Bancroft - Chief Officer - Organisational Change 1	Dawn Holt - Alternative Delivery Models and Transforming Social Services Programme Manager	Amber	Green	↓	Open

**Potential Effects:** No increase in the number and strength in community and social sectors which in turn will limit the capacity for communities to assist in community asset transfer and other programmes.

**Lead Supporting Officer Comments:** For 2016/17 we have ten Community Asset Transfers that are either complete or nearing legal completion (plus an additional 3 that are not quite at this stage but will be soon and an additional 2 that have been completed with schools and communities as Transfer of Control Agreements rather than Asset Transfers, if these are included it makes a total of 15 in 2016/17). In addition 5 services have now been agreed by Cabinet to progress into 3 Alternative Delivery Models. This demonstrates the capacity and appetite of the community and social sectors to work with the council to sustain important services for local communities.

Last Updated: 26-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST141	The willingness of the workforce and Trade Unions to embrace change.	Strategic Risk	Ian Bancroft - Chief Officer - Organisational Change 1	Dawn Holt - Alternative Delivery Models and Transforming Social Services Programme Manager	Red	Green	↓	Open

**Potential Effects:** Organisational change objectives cannot be met.

**Lead Supporting Officer Comments:** Detailed work has taken place with staff and trade unions on the asset transfers and the five services that are establishing Alternative Delivery Models. In each case an agreed position has been reached with staff and trade unions which demonstrates their appetite to work co-operatively on this agenda.

Last Updated: 26-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST142	Market conditions which the new alternative delivery models face.	Strategic Risk	Ian Bancroft - Chief Officer - Organisational Change 1	Dawn Holt - Alternative Delivery Models and Transforming Social Services Programme Manager				Open

**Potential Effects:** New Alternative Delivery Models will see a decrease in income and ultimately be un-sustainable.

**Lead Supporting Officer Comments:** Final diligence on all 5 services establishing ADM's is nearing completion. This has included final market assessments which demonstrate each of the three new ADM's can compete and co-operate in the markets they are entering.

Last Updated: 25-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST143	Limitations on public funding to subsidise alternative models.	Strategic Risk	Ian Bancroft - Chief Officer - Organisational Change 1	Dawn Holt - Alternative Delivery Models and Transforming Social Services Programme Manager				Open

**Potential Effects:** Alternative Delivery Models become unsustainable as it cannot meet costs with reduced funding from the Council..

**Lead Supporting Officer Comments:** Final diligence work for each of the three new Alternative Delivery Models shows that the level of public funding available in the foreseeable future is adequate to support the new companies.

Last Updated: 26-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
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ST144	Procurement regulations stifling our ability to develop local community and third sector markets	Strategic Risk	Arwel Staples - Strategic Procurement Manager					Closed
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**Potential Effects:** Unlikely increase in spend with Small and Medium Enterprises (SMEs) and third sector suppliers

**Lead Supporting Officer Comments:** A new corporate procurement strategy has been developed. The strategy has now been approved and one of the key outcomes is local supplier development, increased use of community benefits, and increased spend with Social Enterprises.

A number of Training Workshops have been undertaken to promote the new Strategy.

The introduction of the Commissioning Form will also facilitate consideration of SME and Third Sector friendly procurement initiatives for individual projects. As a result there should be greater opportunities for the local and third sector markets due to relevant lotting of tenders as well as making tender documents more market friendly.

Last Updated: 18-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST145	Newly established Social Enterprises fail in their early stages of development	Strategic Risk	Ian Bancroft - Chief Officer - Organisational Change 1	Dawn Holt - Alternative Delivery Models and Transforming Social Services Programme Manager, Mike Dodd - Social Enterprise Development Lead Officer				Open

**Potential Effects:** New social enterprises are not sustainable and go into liquidation

**Lead Supporting Officer Comments:** Work on Alternative Delivery Models and Community Asset Transfers will result by early 2017 in four new large social enterprises operating in Flintshire. These include: Cambrian Aquatics, Holywell Leisure Centre, Flintshire Leisure and Libraries, HF Trust. These organisations strengthen the social enterprise sector in Flintshire and will enable through their learning and sharing of co-operative practice the sector to deal with issues in early stages of social enterprise start up. This will add to the work of the social enterprise sector working group which has a plan to support the sector during 2017.

Last Updated: 26-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST146	Newly established Community Asset Transfers fail in their early stages of development	Strategic Risk	Neal Cockerton - Chief Officer - Organisational Change 2	Dawn Holt - Alternative Delivery Models and Transforming Social Services Programme Manager				Open

**Potential Effects:** New social enterprises are not sustainable and go into liquidation

**Lead Supporting Officer Comments:** Monitoring of Community Asset Transfer (CAT) achievements in their first year has started. This includes meeting with each organisation discussing their financial situation and achievement of community benefits. At this stage no significant risks of failure has been identified.

Last Updated: 15-May-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST147	The scale of the financial challenge.	Strategic Risk	Gary Ferguson - Corporate Finance Manager	Sara Dulson - Finance Manager				Open

**Potential Effects:** The Council does not have sufficient funding to meet it's priorities and obligations.

**Lead Supporting Officer Comments:** The Final Local Government Settlement for 2017/18 has since been received and is more favourable than the figure projected within the forecast. The annual budget for 2017/18 has now been set. The risks remain high for future budget years.

Last Updated: 24-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST148	The capacity and capability of the organisation to implement necessary changes.	Strategic Risk	Sharon Carney - Lead Business Partner					Open

**Potential Effects:** Organisational change objectives cannot be met.

**Lead Supporting Officer Comments:** Organisational change programmes are broadly on time and on budget.

Last Updated: 29-Nov-2016

Risk Action Title	Lead Officer	Start Date	End Date	Percentage Complete	Progress Comments
Detailed workforce plans for each portfolio	Sharon Carney- Lead Business Partner	03-Apr-2017	31-Mar-2018	80	Each portfolio has completed a high level workforce plan for their senior management teams and the next two or three tiers. The next step is for portfolio's to assess the future broader workforce requirements taking into account any future changes that will impact upon the staffing within the respective service areas.

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST149	The pace of procurement collaborations and our limited control over their development.	Strategic Risk	Gareth Owens - Chief Officer - Governance	Arwel Staples - Strategic Procurement Manager				Open

**Potential Effects:** Procurement efficiencies will not be realised.

**Lead Supporting Officer Comments:** The National Procurement Service (NPS) has increased the pace of procurement collaboration delivery with 30+ framework agreements in place and further projects identified. The work programme delivery is being closely monitored.

However actual benefits to the Council from the NPS framework agreements is varied, therefore further monitoring of actual benefits is required going forward. Further meetings have been held with the National Procurement Service to develop an Action Plan to determine if tangible efficiencies can be obtained from collaborative framework agreements already delivered.

Last Updated: 18-Apr-2017

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Initial Risk Rating	Current Risk Rating	Risk Trend	Risk Status
ST150	Public attitude to accessing services on-line.	Strategic Risk	Clare Budden - Chief Officer - Community and Enterprise	Rebecca Jones - Customer Services Team Leader	Yellow	Yellow		Open

**Potential Effects:** Targeted efficiencies to be achieved through people switching to accessing services will not be met.

**Lead Supporting Officer Comments:** The new Customer Service Strategy has been approved by Cabinet and sets out the Council's plan to transform customer access to Council services over the next five years; this will include a review of how customers currently access Council services and opportunities to modernise all face to face, telephone and digital access channels. In quarter 4, the Council continued to see the number of online digital transactions rise with 11,142 customers choosing to correspond with the Council online via the website. There was also a 19% increase in the number of people using the Council's website. Customer Support Services continue to work closely with ICT to prioritise services for transformation.

Last Updated: 10-May-2017