

Corporate Recovery Risk Register

Version 09

Reviewed: 3.12.20

Key		
Underlying Risk Rating	The risk rating before any mitigating actions	
Current Risk Rating	This risk rating following the planned mitigation actions	
Target Risk Rating	The risk rating which is realistically achievable and by when	
Risk Trend	The trend of the risk since the last review date	
NC ↔	No change in risk trend since last review	
Risk Status	Open denotes a live risk	Closed denotes a closed risk

Finance – Income

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF01	No Government funding to replace income lost during the response phase	Strategic	Gary Ferguson	Sara Dulson	R	G	G Q3 2020/21	NC ↔	Open
CF02	A continued loss of income in the recovery phase and beyond should public behaviour change	Strategic	Gary Ferguson	Sara Dulson	R	A	A Open	NC ↔	Open
CF03	A continued loss of income in trading services in a phased lock-down	Strategic	Gary Ferguson	Sara Dulson	R	A	A Q2 2021/22	NC ↔	Open
CF04	A continued loss of income for Aura as Deeside Leisure Centre is retained as an emergency hospital for a prolonged period	Strategic	Colin Everett	Rachael Corbelli	R	A	G Q3 2021/22	NC ↔	Open
CF05	An increase in the overall level of debt owed to the Council	Strategic	Gary Ferguson	David Barnes	R	R	A Q2 2021/22	NC ↔	Open
CF19	A reduction in Business Rates collection impacts on (1) cash-flow and (2) the stability of the National Collection Pool	Strategic	Gary Ferguson	David Barnes	R	R	A Q4 2020/21	NC ↔	Open
CF20 Updated	Insufficient capacity to deliver grants and rate relief whilst also recovering lost income/debts may impact debt recovery capacity Note: risk trend is increasing due to a further grant announcement is expected in early December which will impact on resources further	Strategic	Gary Ferguson	David Barnes	R	R	A Q4 2020/21	R ↑	Open

Finance - Reserves

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF06	Insufficient reserves remain following the response phase	Strategic	Gary Ferguson	Sara Dulson	R	A	G Q1 2021/22	NC ↔	Open
CF07	Insufficient reserves impact on the financial resilience of the Council to sustain a lengthy recovery phase	Strategic	Gary Ferguson	Sara Dulson	R	A	G Q1 2021/22	NC ↔	Open

Finance - Council Tax

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF08	A reduction in Council Tax collection impacts on (1) cash-flow and (2) the annual budget	Strategic	David Barnes	Sara Dulson	A	R	A Q2 2021/22	NC ↔	Open

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF09 Updated	Budget impacts of additional immediate demand under the Council Tax Reduction Scheme (CTRS) due to a shortfall in Government subsidy Note: reducing risk trend as quarter two additional costs now reimbursed by Welsh Government	Strategic	David Barnes	Sara Dulson	A	A	A Q4 2020/21	G ↓	Open
CF09a	Rise in demand for CTRS has financial impacts on the Council budget because the base subsidy from Welsh Government is not increased to meet the additional cost	Strategic	David Barnes	Gary Ferguson	R	A	A Q1 2021/22	NC ↔	Open

Finance - Inflation and Markets

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

Finance - Treasury Management

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

Finance - Housing Revenue Account

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF14 Updated	Increase in rent arrears impacts on the stability of the Housing Revenue Account (HRA) Business Plan Note: risk trend is increasing due to escalating arrears, backlog of County Court cases and the need to provide six months' notice for eviction can take place	Strategic	Neal Cockerton	Rachael Corbelli David Barnes	R	R	A Open	R ↑	Open

Finance - Capital Programme

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CF15 Updated	Impact on the Capital Programme of loss of/reduction in planned Government specific grants Note: target risk date amended to correct timeline	Strategic	Neal Cockerton	Liz Thomas	A	G	G Q4 2020/21	NC ↔	Open
CF16 Updated	Impact on the Capital Programme of any change in the appetite of the Council to borrow due to the changed economic and fiscal circumstances Note: target risk date amended to correct timeline	Strategic	Neal Cockerton	Liz Thomas	A	A	G Q3 2020/21	NC ↔	Open

Finance - Unplanned Expenditure

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

Finance - Financial Settlements

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

Workforce - Financial

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

Workforce - Capacity

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CW07	The operational impacts of managing high levels of accrued annual leave across multiple leave years (see CW03 above)	Operational	Sharon Carney	Business Partners	A	G	G Q3 2020/21	NC ↔	Open
CW08a	The availability and responsiveness of the regional antigen testing service to support the health and resilience of the workforce	Operational	Sharon Carney	Julie Luff	A	G	G Q4 2020/21	NC ↔	Open
CW09	Excessive and unsustainable demands for deployment to the regional Test, Trace and Protect (TTP) Programme depletes the workforce and compromises the resumption of full council services	Strategic	Colin Everett	Sharon Carney	A	A	G Q3 2020/21	NC ↔	Open
CW10	Impacts of a second wave in the pandemic on the continuous availability of key workers to operate services in a second response phase	Strategic	Sharon Carney	Chief Officers	A	A	G Open	NC ↔	Open
CW11	Increase in demand for Occupational Health and supplementary services	Operational	Sharon Carney	Julie Luff	A	A	G Open	NC ↔	Open
CW12	Impact of changes to service performance/continuity from any changes to service models in the recovery phase.	Strategic	Sharon Carney	Chief Officers	A	G	G Q4 2020/21	NC ↔	Open
CW13	Increase in workforce turnover due to new competition for public sector occupational groups in the employment market and/or employees making personal life choices	Operational	Sharon Carney	Chief Officers	A	G	G Open	NC ↔	Open
CW14	Volatility and change in the employment market which impacts on successful recruitment to vacancies	Operational	Sharon Carney	Business Partners	A	G	G Open	NC ↔	Open

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CW21	Impact on the most vulnerable members of our workforce due to ongoing (1) isolation and (2) remote working	Operational	Sharon Carney	Business Partners	A	A	G Q4 2020/21	NC ↔	Open
CW22	Impact on our workforce due to the requirement to self-isolate for up to 14 days prior to themselves or a member of their family being admitted to hospital for a medical procedure	Operational	Sharon Carney	Business Partners	A	A	G Q4 2020/21	NC ↔	Open
CW23	Impact on our workforce as a result of having to quarantine for 14 days on return to the UK from non-exempt countries or territories	Operational	Sharon Carney	Business Partners	A	G	G Q4 2020/21	NC ↔	Open
CW24	Impact on workforce availability/productivity as a result of caring responsibilities, specifically to care for children who have been sent home from school to self-isolate.	Operational	Sharon Carney	Business Partners	R	A	G Q4 2020/21	NC ↔	Open
CW26 New	The impacts on workforce planning in critical work groups as a result of facilitating COVID vaccinations to key workers.	Operational	Sharon Carney	Julie Luff	R	A	G Q2 2021/22	NC ↔	Open

Workforce – Health & Wellbeing

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

Workforce - PPE

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

Governance - Information and systems

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CG01	Cyber-attack through bogus Covid-19 email	Strategic	Gareth Owens	Aled Griffith	R	A	A Open	NC ↔	Open
CG02	Loss of data or system hack due to malware or the use of unauthorised apps	Strategic	Gareth Owens	Aled Griffith	R	A	A Open	NC ↔	Open
CG03	Data loss or inaccuracy due to disrupted ways of working	Operational	Gareth Owens	Alun Kime	R	G	G Q4 2020/21	NC ↔	Open
CG04	Diversion of resource to emergency management response and recovery work delays implementation of key digital and infrastructure projects	Strategic	Gareth Owens	Mandy Humphreys	A	R	G Q3 2021/22	NC ↔	Open

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CG05 Updated	Loss of functional capacity due to the inability to use mass 'roll-out' of tools on devices being used at home Note: risk to be closed as solution has been successfully implemented and tested	Strategic	Gareth Owens	Aled Griffith	A	A	G Q3 2020/21	NC ↔	Closed
CG14 Updated	Delay in or increased cost of obtaining digital devices due to demand and Brexit Note: risk title amended for more accurate wording and to include new potential trigger	Strategic	Gareth Owens	Aled Griffiths	A	A	G Q3 2021/22	NC ↔	Open

Governance - Governance and Control Recovery

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CG07 Updated	Legal challenge to a decision made under temporary remote working legislation on the grounds of insufficient process/a lack of transparency Note: risk target date extended to reflect predicted duration of alternative arrangements	Strategic	Gareth Owens	Matt Georgiou	R	G	G Q1 2021/22	NC ↔	Open
CG08 Updated	Emergency legislation is repealed prematurely and before we are ready to resume normal services Note: risk target date extended to reflect predicted duration of alternative arrangements	Strategic	Gareth Owens	Matt Georgiou	R	A	G Q1 2021/22	NC ↔	Open
CG09	Technology and/or the functioning of remote meetings impedes inclusive and effective decision-making	Operational	Gareth Owens	Robert Robins	A	A	G Q4 2020/21	NC ↔	Open
CG10	Technology failure during member meeting prevents or undermines inclusive and effective decision-making	Operational	Gareth Owens	Aled Griffith	A	A	G Open	NC ↔	Open

Previously Closed Risks

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

Risk Ref.	Risk Title	Risk Type	Lead Officer	Supporting Officers	Underlying Risk Rating	Current Risk Rating	Target Risk Rating	Risk Trend	Risk Status
CG14	Inability to confirm insurance cover for claims/liability arising from the Council's role in TTP	Strategic	Gareth Owens	Matt Georgiou	R	G	G Q2 2020/21	G ↓	Closed
CW02a	Administration of the Welsh Government decision to make a one-off payment to care workers causes a local administrative burden and has unfunded residual costs for the Council as an employer e.g. superannuation	Strategic	Sharon Carney	Gary Ferguson	R	G	G Q3 2020/21	G ↓	Closed
CW05	Increase in cost from changes to sick pay policy for those whose recovery has been affected by cessation of or interruption to medical treatment	Operational	Sharon Carney	Sara Dulson	A	G	G Q4 2020/21	G ↓	Closed
CW06	Insufficient availability of occupational work groups to restore services	Strategic	Sharon Carney	Business Partners	A	G	G Q3 2020/21	G ↓	Closed
CW09a	Inadequate funding availability from Welsh Government to support a regional TTP Programme	Strategic	Colin Everett	Sharon Carney	R	G	G Q2 2020/21	G ↓	Closed
CW09b	Failure to secure partner agreement across the six local authorities and the Health Board to enter into a single regional TTP programme	Strategic	Colin Everett	Sharon Carney	R	G	G Q2 2020/21	G ↓	Closed
CW20a	Impact on our workforce due to schools operating in a different way from September onwards	Operational	Sharon Carney	Business Partners	A	A	G Q3 2020/21	G ↓	Closed
CW15	The resilience of senior and supporting management following a long and demanding response phase	Strategic	Sharon Carney	Julie Luff	A	G	G Q3 2020/21	G ↓	Closed
CW19	Impact of delayed bereavement leave – on attendance and mental health	Operational	Sharon Carney	Business Partners	A	G	G Q1 2021/22	G ↓	Closed
CG06	Resumption of democratic processes reduces our capacity to support recovery work	Strategic	Chief Executive	Gareth Owens	R	G	G Q3 2020/21	G ↓	Closed
CG12	Changes to established managerial and democratic systems results in challengeable decision-making	Strategic	Gareth Owens	Lisa Brownbill	R	G	G Q3 2020/21	G ↓	Closed
CG13	Changes to established managerial and democratic systems result in failure to properly authorise a decision	Strategic	Gareth Owens	Lisa Brownbill	R	G	G Q2 2020/21	NC ↔	Closed
CW09c	The impacts on workforce planning of the unavailability of antibody testing	Strategic	Colin Everett	Sharon Carney	A	G	G Q3 2020/21	NC ↔	Closed

Risk Matrix

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