

# Planning, Environment & Economy Portfolio Risk Register

Version 09

Review Date: 26.02.2021

## Risk Register - Part 1 (Portfolio Management)

Finance

8Mitigation Urgency Key	
IM – Immediate	Now
ST – Short Term	Within 1 month
MT – Medium Term	1 month plus
Upward arrow	Risk increasing
Downward arrow	Risk decreasing
Sideways arrow	No change in risk
*Denotes the risk is specific to 'Recovery'	

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE01 Updated	Loss of Community Benefits by not maximising inclusion of social value in Contracts	↔	IM	<p>We have procured software that will enable the Authority to manage and monitor social value clauses and financial benefits of contracts. We have plans in place to share learning with third sector and public sector partners to encourage adoption. We are working closely with neighbouring authorities to share learning and resources and actively learn from exemplar areas around UK to assist officers in drafting social value clauses to maximise Community benefits. We have developed and will deliver a Training Plan for relevant officers, those that are involved in procurement, which started with all Chief Officers and Service Managers receiving briefings from the Social Value officer and during lockdown the training is being delivered by webinar. Timescale of six months has been set for training delivery. We have developed and are in the implementation stage of an intensive communication plan to celebrate successes and show the benefits of social value inclusion in contracts.</p> <p>Social Value officer attended COT with update report, involved in supporting 32 live contracts however there are many more that have not had any social value element included. Officer presented to the Portfolio wider management team to raise awareness of Social Value Target risk rating moved to Q1 2021/22 as social value officer has been off with Covid and also has childcare responsibilities</p> <p>Other officers to be trained in the use of the Software package to track social value</p>
*PE02	Failure to meet income targets for Portfolio due to downturn in submission of planning applications, building regulations applications, Highways DC applications and licensing applications	↔	IM	<p>We are continuing to monitor income for planning, building regulations, highway related works and licensing applications to understand the impact of reduced income and will realign budgets where necessary. We have plans in place to focus the marketing of the Building Control function to try to increase income opportunities as the service returns to normal.</p> <p>Received 50% of claim to WG Covid fund. The remainder of the claim held in abeyance to be reviewed at end of year to analyse any recovery in income.</p>

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE03	Unable to regenerate Town Centres through implementation of the Town Centre Strategy due to insufficient resources and the compound economic consequences of the emergency situation	↔	IM	<p>We are planning to review Town Centre Strategy to reflect the significant effect that COVID-19 will have had on the viability of Town Centres. As part of the review we will build a robust evidence-based plan to support the Town Centre Strategy. We will identify a package of regeneration projects ready for future funding opportunities, along with identifying property investment opportunities. Through the revised Strategy we will maximise the use of available regeneration resources.</p> <p>A new governance structure has been in place for economic recovery in Flintshire with town centres at the heart. Work streams have been in place to promote town centres and to help them to recover and reinvent themselves in the longer term. The service is currently recruiting additional short term staff to help deliver these work streams.</p>
*PE04	Failure to prepare and deliver Growth Deal projects due to potential realigning of capital funding	↔	IM	<p>We have established an oversight structure to review progress towards delivering growth deal projects that will enable monitoring and early identification of slippage against the projects timetable. Robust project management structures will be put in place for each work stream to deliver the projects in line with agreed timescales and highlight issues to the Project Board. This is in place currently for the first programme requiring this approach; Digital Connectivity. The Growth Deal funding process is on track with UK and Welsh Government approvals expected at the end of 2020.</p>
*PE05 Updated	Failure to meet income targets for Minerals and Waste Shared Service due to downturn in submission of planning applications and reduced compliance visits during lockdown and a subsequent potential economic downturn	↓	MT	<p>The service will resume and re-negotiate with quarry and waste site operators the programme of chargeable inspections as companies resume operations and come out of 'Furlough' to reduce the number of non-compliant sites. Inspections will be arranged as early as is possible during the quarter two and three of the current financial year. We will work with the operators to ensure risk assessments are in place and liaise with site operators to carry out safe site inspections. We will monitor the workloads of all officers in the team to explore the potential availability to assist with any backlog visits that may be required if the monitoring officer is unable to programme all site visits in. This will reduce the number of non-compliant sites. We are currently monitoring the submission of planning applications and will realign budget where necessary. The team are prepared to support operators with the possible upturn in demand on the sites as the UK construction industry recovers.</p> <p>Officer from the team who has been supporting the Development Management team has now been brought back to start compliance visits</p> <p>Current risk rating improved to amber as the service received monies from the WG Covid fund to compensate for the loss of income</p>
*PE06	Decreasing availability of funding to deliver fuel poverty projects due to re-prioritisation of funding streams	↔	IM	<p>The risk is being managed by diversifying income streams as broadly as possible. We will maximise the delivery of projects within current funding streams to deliver as many adaptations to homeowners as possible. We will develop proposals to de-carbonise the social housing stock, and innovative funding models that may draw on funding opportunities that have not been accessed previously to sustain project delivery</p>

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
PE23 New	Financial risks from programme of private sector home improvements	New Risk	IM	Internal Audit review underway of management controls. Existing: risk escalation process to control loan issuing to higher risk applicants. Monthly management reporting on programme risks and performance. Regular reconciliation of systems with finance. Monthly loans review meetings for all loan product managers. Implement any additional controls identified as part of Internal Audit review.

### Workforce

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE07 Updated	Impact on service delivery due to the resilience of staff and succession planning in particular with the Portfolio response to the Covid-19 pandemic and increasing pressures on teams to adapt to changing work practices, new duties, unsustainable working hours, sickness levels and decreased capacity within teams due to personal caring responsibilities	↔	IM	We have implemented a robust communication plan that delivers timely and consistent messages .Through our ongoing business continuity plan we have had early identification of the most impacted areas to allow robust monitoring and early intervention to minimise staff impact through various actions including the re-prioritisation of work streams to enable officers to concentrate on key tasks that are in hand and redeployment within the Portfolio to support those services most under pressure. Alongside this we have been proactively managing absences and leave to support our officers in maintaining a health working relationship and understanding the importance that leave plays in this. Of utmost importance has been providing protection and support for key officers to enable them to carry out their duties effectively and efficiently and minimise stress and unplanned absences. We have sought external support from sources (agency staff) when required and will continue to monitor areas that will benefit from intervention. Throughout lockdown, and for future resilience, managing our customers' expectations has been identified as key priority so that they fully understand any changes to service delivery. We have also been continually reviewing our succession plan in line with lessons learnt from the pandemic to identify key areas for the Portfolio to target in providing a more robust line of succession The Target risk rating has been moved to Q1 2021/22 to reflect the ongoing nature of this risk and the designation of Flintshire as a Health protection Zone and the national fire break. The target risk rating has been moved to Q2 2021/22 due to the current lockdown restrictions

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE08 Updated	Increased incidences of stress and mental health episodes due to the long term implications of working from home and anxiety over the Covid-19 pandemic	↓	IM	<p>Risk to be closed.</p> <p>We have implemented a robust portfolio communication plan to deliver timely and consistent messages and provide support from Senior Management to our officers and have encouraged the continuation of team meetings and 1 to 1 to allow open forums where issues can be identified or raised. The Plan has been widened to utilise all methods of communication where appropriate (e.g. Whats App groups) to enable officers to communicate via their chosen method. This open and honest communication throughout the Portfolio fosters a positive attitude so that officers feel able to raise sensitive issues and receive appropriate support and Team Leaders and Managers feel able to support officers. We have been proactively monitoring absence to identify trends in both services and absence reasons to allow early identification and intervention to support officers and to signpost to support being led by the needs of officers and their preferences. We recognise the importance of picking up on small changes that could indicate a problem such as not taking break out times during working day and unusual working patterns that may indicate an officer struggling to adjust to working from home. Officers are then encouraged to take breaks and adjust working hours to support personal circumstances and to take leave and not allowing officers to not take any leave when working from home. Officers have been encouraged to take a quarter of their leave allowance each calendar quarter when able.</p> <p>New short form appraisal with wellbeing questions being used throughout the Portfolio. Across the portfolio absence levels due to stress and mental health are slightly lower than the same period last year. Analysis of absence reports shows that there has not been increased incidences of absence due to stress and mental health episodes therefore the risk is recommended to be closed with monitoring to continue outside of the risk management process</p>
*PE09 Updated	Reluctance of staff to return to their work base and “normal “working patterns on lifting of lockdown restrictions due to anxiety levels linked to increased exposure and personal circumstances	↔	ST	<p>We are engaging with officers on business recovery so that they fully understand that their safety and wellbeing is uppermost in any recovery plans and that they are informed of the changes to office accommodation and working practices and stressed the importance of risk assessments to enable mitigation measures to be actioned before officers return to office accommodation and to understand any changes to normal working patterns. We have developed clear instructions for the return to the workplace to ensure the safety of our officers and these are currently being reviewed alongside the risk assessments. We have fostered honest and open communication that allows officers to feel fully supported and have a forum to raise concerns and have them dealt with accordingly. The approach we have taken is to prioritise job roles to begin phased return to ensure that return to offices is managed alongside national and corporate guidelines. We remain sensitive to personal circumstances and manage accordingly to enable officers to work in the most appropriate manner that allows continuation of service delivery. We are also fully engaged with the development of videos to show how work bases will look to reassure officers that all necessary precautions have been taken and so that they are familiar with how the workplace will look on return</p>

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
				<p>As schools reopened in September the number of officers able to return to normal working patterns has increased.</p> <p>Continue monitoring of officers given the return to local lockdown and school children being asked to self-isolate</p> <p>As the fire break ends the opportunity for officers to begin to return to their work base will follow the risk assessments that have been completed. Monitoring of officers compliance with the measures put in place continues and this is particularly important in behavior in communal areas.</p> <p>Target risk rating has been moved to Q2 2021/22 to reflect the current lockdown restrictions that will delay officers returning to their work base</p>
PE22 New	Increased anxiety among officers required to attend their work base due to non-compliance with risk assessment and increasing numbers of officers testing positive for coronavirus	New Risk	IM	<p>Issue communication to all staff required to attend offices to reassure and reiterate the office risk assessments and procedure.</p> <p>AF to write to other Chief Officers about reinforcing the procedures to be followed in TDS and to review that only key workers are accessing the offices</p> <p>Any new staff that are allowed access to the offices are given induction.</p> <p>Ensure wipes, sanitizer etc are available.</p> <p>Review numbers accessing the offices in line with current lockdown restrictions</p>

#### Property & Assets

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
PE10 Updated	Energy Saving initiatives not included in Capital Projects due to non-involvement of Energy Team with Property and Assets team on design of projects which may result in those projects accruing higher long term costs	↔	IM	<p>We have promoted the early involvement of the Energy Team at project concept stage through engagement with the Capital Projects teams and procurement officers and are planning to review the Carbon Reduction Strategy to identify corporate requirements for incorporating energy efficiency and carbon reduction in all relevant aspects of our business. We are formalising the working relationship between Property, Design Team, and Energy Team so that all relevant officers notify the energy team of projects at the concept stage. The Target Risk Rating has been moved to Q4 2020/21 to allow for the testing of two Capital Projects for inclusion and impact of energy team.</p> <p>Review of current involvement of the energy team in Capital Programmes has identified that there still seems to be an issue with taking a whole life approach to costing design. Paper to COT .</p>

## External Regulation

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
PE11	Non-compliance with Welsh Government Carbon Reduction Target due to external factors such as willingness of the wider public to support initiatives, access to funding to develop projects and the delayed appointment of project manager	↔	MT	We have agreed terms of reference for the appointment of a project manager to oversee and deliver all aspects of the project and to report on a monthly basis to the project board on the delivery of the project plan. We have agreed the governance and terms of reference for the project board to ensure that all relevant parties to the project are represented and agree on key decisions to be made which will include agreeing the projects to be delivered that in the view of the board will deliver the maximum opportunities, given the external factors identified by the risk, for carbon reduction and confirming the individual timelines for project delivery to ensure projects can be monitored by the board and there is early identification of issues that may impact on the project timeline. The Board will also ratify a marketing/promotion strategy to increase awareness of projects with the public and garner support
PE12	The implications of Ash Die back on finances and reputation of the Council due to the scale of the problem and the ability to make safe Highways and Council amenity land	↔	IM	<p>We have revised the timetable for planned surveys that could not be carried out whilst in lockdown to make best use of the limited survey window between July and September and to enable planned remedial works to be carried out October to February to make safe those areas identified in the survey. During the survey period we have established sites that will require further investigation and this will be built into future work programmes. We have prioritised surveys on Highway Routes and other FCC land with public access and school grounds as areas that have the highest risk rating for injury or damage. We have engaged with external Legal Counsel to advise on Ash Die Back plan, Risk Assessments and inspection regime, to test for appropriateness and reasonableness.</p> <p>Survey results are being assessed to understand the full impact of the disease in Flintshire. Process agreed with education to deal with trees on school grounds</p> <p>Counsels advice has been received and positively endorses the authorities approach to ADB. Results from surveys over lockdown have identified priority areas which have now been inspected, this work has indicated fewer higher risk (class 3 and 4) trees on FCC owned land and that the rate of decline of ash this year is slower than expected.</p> <p>Survey work now stopped over the Winter period firstly because the lack of leaves makes identification of the disease much harder and also to give officers time to carry out remedial works identified. Work on development of engagement programme with private landowners and in particular educating on their role and responsibilities and the legal implications has started. Works have started in Trelawnyd</p>

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE14 Updated	Non-compliance with Sustainable Urban Drainage System legislation due to capacity of the team	↔	ST	<p>We are working to evaluate the proposed posts within the SAB function to increase the capacity of the local Flood Risk and Coastal Management Team. FCC are leading on the production of a comprehensive SuDS Design Guide which will help the more efficient delivery of the SAB role in advising developers on the design of appropriate SuDs drainage schemes, as well as supporting Streetscene to more fully fulfill their role as statutory consultee to the SAB, and responsibilities in terms of design and maintenance of SuDS for highways. This is also being produced collaboratively with other North Wales Authorities. Longer term there is scope to work regionally with other North Wales Authorities to agree a regional template for a shared Sustainable Drainage Approval Body SAB service that will provide clear and consistent process for developers across all six Authorities. This may be led by Gwynedd who have the greatest existing staffing resource, but where with suitable staff in place, Flintshire could act as a North East Wales hub for the shared service. We are working to clarify the position between the SAB function and Development Management to ensure that the regulation of the SUDs legislation can be met.</p> <p>Draft Job Descriptions now agreed and will now be evaluated by JEQ panel. The Target Risk Rating amended to Q4 2020/21 to align with panel timetable.</p> <p>Job roles have been approved by JE Panel and the team review will be implemented and move to advertise posts</p> <p>Target Risk Rating has been moved to Q1 2021/22 to reflect the timetable for service review and recruitment</p>
PE15 Updated	Decrease in Food Safety and Food Standards following exit from the European Union	↔	IM	<p>Risk to be closed.</p> <p>We have developed and will continue to review advice for Small, Medium and Large enterprises to assist with planning for food supply. We are acting upon the guidance provided by the Food Standards Agency as the central competent authority for the UK to ensure that all relevant legislation and regulations are adhered to. We have provided consultation responses to any proposed changes to Food Standards and Food Hygiene legislation to highlight any areas of concern. We have reviewed succession planning for the Food Safety and Food Standards team in ability to deliver the statutory functions of the Council. This will need to be reviewed on a regular basis given the teams involvement in the response and recovery to COVID-19. We are preparing draft authorisations for officers undertaking food and feed enforcement and have the necessary scheme of delegation in place to fully undertake their duties. We have developed a training programme to train staff on Imported Food Controls to increase officer knowledge and competence in this area of enforcement</p> <p>Food Safety and Food standards have not decreased due to exit from the European Union</p> <p>Consideration of drafting of new risk as required when new legislation is forthcoming</p>

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE16	Capacity within the Community and Business Protection teams to resume planned and reactionary programmes of inspections whilst also enforcing national and local Covid-19 restrictions, Covid-19 regulatory activity and supporting the TTP work.	↔	MT	<p>We are awaiting national guidance that may change the inspection regime in light of the continuing role of Community and Business Protection Officers in the response and recovery to COVID-19 and will continue to monitor the local guidance. We are recruiting two Environmental Health Officers to increase the capacity within the teams and monitor changing demands on the teams to consider redeployment and movement of officers.</p> <p>In response to local lockdown and increasing numbers of confirmed infections redeployment of officers to response teams. Full review of duties of the teams that could be stood down. Where officers are able to increase of hours from part time to full time. 3 Team Leaders meet on daily basis with Police to review licensed premises compliance with regulations. Daily meeting with Education to review current situations in schools.</p> <p>Recruitment continues to increase capacity within the service whilst recognising that there is a very small pool of officers with the relevant qualifications that not only regionally but nationally are being recruited from. Internal review of officers has also taken place and where able officers have moved to support the Covid response and two dedicated administration officers are supporting officers. Occupational Health sessions have also been held to support officers. TTP team now are first point of contact for schools supported by officers where necessary. Capacity continues to be monitored as we move out of the firebreak and infection rates rise again. Demand on the teams continues to be exceptionally high as lockdown restrictions continue.</p>
PE17	Non-compliance with Welsh Language Standards due to the Welsh Language Commissioner's instruction to Flintshire County Council for translation of planning applications and consultation responses	↔	MT	<p>We have produced an Action Plan for Welsh Language Commissioner (WLC) that sets out how we aim to address the concerns raised on non-translation of website content. We have carried out all actions that address options for compliance as agreed by WLC that seek to address the concerns raised. We have ensured that the technical specification for new case management system has asked for translation capabilities that will be assessed when scoring the bids</p>

## ICT & Systems

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE21	Integration and assimilation to new case management system is not achieved	↔	IM	<p>We have allowed a longer time for officers to score the tender responses with support offered by the Project Board to those involved in scoring particularly those areas heavily involved in COVID-19 activities</p> <p>The Project Manager is identifying teams that require early engagement with the companies to gain more details of areas of the system that require clarification and has a planned programme of demonstrations from the companies with particular emphasis on areas of the system that were not able to be demonstrated at the pre-tender stage</p> <p>IT colleagues reporting to the Board on the wider implications of any of the specifications of the systems for the Digital Strategy and in clarifying full system cost identification due to any internal costs that may be required to support the move to a new system</p> <p>Award letters sent w/c 23<sup>rd</sup> November</p> <p>Contract sealed and signed 25<sup>th</sup> January</p> <p>Project commences following February 9<sup>th</sup> after all legalities have been completed</p>

## Part 2 (Portfolio Service & Performance)

### Enterprise and Regeneration

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE19 Updated	Unsustainable demand on the Employment Mentoring service due to the economic implications of lockdown and the increase in referrals from Job Centres of those seeking employment	↔	IM	<p>We are monitoring demand on a weekly basis and gather intelligence from DWP as to the likely numbers requiring access to the service to allow for workforce planning and prioritisation. We are maintaining communications with WG regarding demand management to allow for early discussions on future funding of the service. We are continuing partnership arrangements to share resources in order to maximise the help available to those seeking work opportunities</p> <p>Target Risk Rating has been moved to Q1 2021/22 as referrals will continue to increase during current lockdown and the end of the furlough scheme</p>

## Development Management, Public Protection and Minerals and Waste

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE20 Updated	Increase in non-compliant sites due to inability to conduct enforcement and site monitoring inspections	↑	IM	<p>We have implemented a robust risk assessment process for re-introduction of site visits to assess firstly if a site visit is required and that site visits are carried out safely, in line with lockdown restrictions and appropriate PPE is available to ensure the safety of our officers and customers. Training programme for officers before undertaking risk assessment and site visit to ensure consistency of approach. We have developed a Prioritisation model of site visits to ensure that all high-risk sites are given high priority and visited as soon as able. Phased reintroduction of visits in line with prioritisation to enable the backlog of site visits to be worked through in a logical manner and that officer's work can be planned accordingly. We have procured external support into the enforcement team as they have been short staffed during lockdown and enforcement sites will be some of the first sites to need visits</p> <p>Risk assessed external site visits are now happening but internal visits are still affected.</p> <p>Target Risk rating moved to Q2 2021/22 and Current Risk Rating increased to Amber to reflect the decrease in site visits during current lockdown</p>

### Closed Risks

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*PE18	Procurement, integration and assimilation to new case management system is not achieved due to market forces and compliance with Flintshire County Council terms of contract	↓	IM	-
*PE13	Welsh Government call in the Local Development Plan due to our inability to meet the delivery agreement timetable	↔	ST	-