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| CMT01 | Medium Term financial budget planning 2016-17 | 1. Workforce Planning: less staff to deliver services. 2. Failure to maintain and/or improve service delivery 3. Failure to take early decisions on which services should be cut could limit planning for changes. 4. Managing staff morale in light of cuts 5. Apprenticeship levy 6. RSG formula change 7. National living wage | 1. HR have a suite of policies agreed by Cabinet/Council to help downsize the workforce, although these will need to be kept under review 2. Decisions taken for 16/17 have aimed to reduce rather than remove services 3. Draft 2016/17 savings proposals totalling £12.432m were endorsed by Cabinet on the 14th October 2015. 4. Early communication with staff | Low | Low | The MTFP has been extended to 5 years with potential savings of £7.681m identified for 17/18. However current planning indicates a shortfall of £7.391m against projected savings up until 2020/21. | Yes, the financial resources available will impact on the services we deliver and the way we deliver them. This will affect the community. | Medium-term | Medium | Corporate Management Team |
| CMT16 | School Attainment | 1. There is a gap between the attainment of Free School Meals pupils and Non Free School Meals pupils which must be addressed. | 1. Standards of attainment are monitored and reported to SMT / CMT / Scrutiny through an annual programme of reporting described in the Directorate Plan Handbook. | Medium | Medium | Improvement has been continuous in the majority of key indicators for several years but remains a priority, especially at L2+ KS4. | Yes, this limits contribution to 'Prosperous and More Equal Wales'. Standards of attainment and gaps in inequality can result in a low skilled, low paid workforce, and higher levels of unemployment leading to poverty. Over the long-term (25 years) in the life of a young child to adult the potential outcome of the attainment gap makes this a high risk. | Long-term | High | Interim Chief Executive |
| CMT17 | Sustainability of service provision via domestic grant funding | 1. There is lack of security or sustainability in maintaining grant funded programmes 2. Critical workforce levels cannot be maintained as staff are lost | 1. The risk will be closely monitored in light of the expected worsening settlement from Central Government to WG. 2. Staff are placed on temporary contracts. | Medium | High | This risk is predicted to be HIGH going forward to 2017-20 | Yes, grants are usually allocated to support vulnerable communities and improve the prospects of individuals. Cuts affect the ability to contribute to a 'Prosperous and More Equal Wales'. | Medium-term | High | Corporate Management Team |
| CMT18 | Secondary school surplus places in top quartile across Wales. | 1. Falling pupil roles will affect the funding available to schools and put budgetary pressure on the LEA | Council (23 July 2013) approved proposals to proceed with Phase 1 of a secondary rationalisation programme. | Medium | Medium | Letter from Minister questioning our Education Plan for surplus places. The Minister responded to the Cabinet Member's letter accepting we would re-evaluate our strategy later this year on Secondary surplus places in light of the LDP process. This is regularly referred to a School Board for further discussion. | Yes, ESTYN and WG tend to evaluate this on yearly statistics however the FGA requires a long term perspective, which shows growth in the population, making this a long term risk where preventative measures to maintain adequate future school provision may not be favoured in the short term. | Long-term | High | Interim Chief Executive |

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| CMT 29 | WHQS programme | As at March 2016 approximately 25% of the internal works programme had been completed and 5% of the external works programme. September 2016 is the half way point in the 7 year investment programme which illustrates the timescale pressures. Based on the current performance of the contract arrangements for the internal works the March 2020 target is achievable. The full delivery of the external works is a major programme risk especially given the extent of unforeseen problems that are being identified which are extending the contract time periods and increasing costs. | The WHQS programme has its own specific risk register which was reviewed and updated by the Project Board in May 2016. The highest risks are: <ul style="list-style-type: none"> • Failure to achieve programme objectives - the probability level has reduced, but still high risk. • Capacity - this has been added as a high risk. Staff resources, especially amongst front line roles such as Surveyors, Clerk of Works, Quantity Surveyors, etc. are critical to cope with the volume of work within a fixed timetable. | High | Medium | The MRA application for 2016/17 approved in the sum of £7.3m. During Q1 403 properties had internal works completed. However 66% of these properties related to carry forward from 15/16. Only 26% of the planned internal works target for 16/17 had been completed at the end of Q1. No external works contracts reached practical completion during Q1. The sheltered housing schemes will be managed in house and additional resources are required. This will add around 18 months additional work to the in house workforce. A new procurement has been initiated to fill the gaps in the contract arrangements relating to external works in the Lower Rhymney Valley. The Project Board has requested a report setting out the key principles on which this procurement will be based. The latest cost plan review projected a shortfall of £12m (i.e. beyond the HRA borrowing limit). The analysis was based on average cost per property for internal works and for external works based on actual costs incurred for completed works. An early warning has been raised with Welsh Government that the borrowing limit on the HRA may have to be extended. Previously achieved works make a significant contribution to the management of the budget. A further cost plan review will need to be undertaken to inform the updating of the business plan to support the MRA application for 2017/18. | Yes. Whilst operationally and financially this is a high risk, through the lens of FGA any improvements to housing stock are beneficial to tenants, the community and its sustainability. Programme delays are an operational / financial risk but in terms of the five ways of working this activity meets nearly all of those core values providing tangible customer benefits. | Medium-term | Low | Corporate Director Communities |
| CMT 12 & CMT 37 | Waste Management Service Continuity & Target Achievement | 1. Lack of waste transfer station of effective design, size and location. 2. Uncertainty over long term organics procurement. 3. Still working with WG, WRAP and their appointed consultants to determine options appraisals for future collection methods. Until a decision is made by Council collections will continue to be made using the current co-mingled system. Report anticipated during Autumn/Winter 2016/17. 4. Changing regulatory regimes affecting the type of materials that can be counted in the recycling PI resulting in possible non- compliance with targets. Failure to meet 19/20 and 24/25 recycling targets of 64% and 70%. | 1. Working with WG, WRAP and their appointed consultants to determine a suitable location and design for a new Waste Transfer Station. Autumn 2016. 2. Interim arrangements in place with an option to extend until 2018. A specification is being developed to produce, tender for a long term organics contract which will go out towards the latter part of 2016/17. 3. Ensuring current contractors achieve as a minimum the current recycling levels and an extension is re-negotiated with MRF contractor. This will ensure that there is a facility to recycle materials until any service changes are introduced. An extension will be negotiated during the Summer of 2016. 4. Currently working on a variety of projects to determine a strategy that will achieve the higher recycling targets. Report is anticipated the latter part of 2016/17 but if accepted, due to lead times required for potential changes, it is unlikely to be implemented until 2017/18 or 2018/19. | Medium | Medium | 1.Waste transfer station planning application approved by planning committee 2. Interim organics contract finalised but 2nd Heads of Valleys contract procurement yet to commence. 3.Council report prepared and considered by full council on collection of recyclables. CMT to receive quarterly reports on performance. | Yes - the purpose of the landfill directive is to divert biodegradable waste away from landfill to reduce pollution. A diverse natural environment with healthy functioning ecosystems contributes to a 'Resilient Wales'. Failure to deal with waste properly affects future generations. | Long-term | Medium | Corporate Director Communities |
| CMT38 | IT Security | Malicious activity targeting the Authority: <ul style="list-style-type: none"> • Disrupt normal business through unavailability of ICT services • Financial gain, e.g. fraud, ransomware, etc • Control of computer infrastructure to support nefarious activity, e.g. proliferation of fraudulent spam emails, etc • Embarrassment / reputational damage • Attract publicity for a cause / ideology | How CCBC meets the UK Gov "10 Steps To Cyber Security" guidance: <p>Information Risk Management Regime – Service areas' quarterly information risk register updates. Support from cross-Authority IGPT members. Secure Configuration - Policies and processes to develop and configure secure ICT systems present. Network Security - Secure network design adopted. All traffic filtered/monitored at the network perimeter. Managing User Privileges - System users provided with required access only. Business case for automated solution to improve process during 2016 being created. User Education & Awareness - ICT systems' security policies formally acknowledged in employment T&Cs. Users receive training / information regarding cyber risks they face. IT security related roles receive specialist training. Incident Management - ISO27001 accreditation establishes robust policies. Malware Prevention - Policies and training in place ensuring users understand appropriate use of email, web browsing, removable media and their own devices. Malware scanning protects all machines. Monitoring – ISO27001 accreditation establishes strategies and policies. Removable Media Controls – Solutions deployed to automatically control and mitigate risks. Home & Mobile Working – Secure solution with 2-factor authentication. Training for mobile users on secure use of devices. Data-at-rest protected by encryption on appropriate mobile devices using market leading products.</p> | Low | Low | Automated access rights management solution to assist <ul style="list-style-type: none"> • Permission Analysis • Security Monitoring • User Provisioning • Documentation & Reporting • Role & Process Optimization Consider cyber attack insurance | No. Whilst an important operational risk we do not identify this with a FGA, long term citizen orientated impact. | No | | Acting Director of Corporate Services |

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| CMT39 | Fragility of the Social Care market | <ul style="list-style-type: none"> Providers unable to sustain existing packages of care National Minimum Wage and National Living Wage creating additional financial strain which providers are expecting LA's to resolve. Little additional capacity to take on new packages of care. Ongoing Judicial Review across Wales re responsibility for Funded Nursing Care Payments Potential Financial impact on the Directorate & authority | Fee levels for 2016/17 approved. Participation in WG groups regarding impact of National Minimum Wage and National Living Wage. | Medium | Medium | | Yes - reducing help that can be provided for the most vulnerable in our society will affect our ability to contribute to a 'Healthier Wales' which requires peoples mental and physical well-being to be maximised. Whilst this may be a medium risk operationally from a FGA perspective this would be high as it directly affects those most in need. | Medium-term | High | Corporate Director Social Services |
| CMT40 | The Well-being of Future Generations (Wales) Act 2015 | <p>1. Absence of a long term strategy aligned to the well-being goals. 2. Future generations are not explicitly considered in governance, strategy and decision making. 3. Failure to consider all seven of the well-being goals 4. Failure to collaborate where that might help achievement of well-being goals. 5. Failure to involve people with an interest in achieving the well-being goals. 6. Failure to consider how prevention may help to meet well-being objectives. 7. Failure to comply with legislation by the deadlines 8. There is a risk that the basic procedural compliance is achieved, but the changes in culture will not occur. 9. Reputational risk - poor governance rating following Audit.</p> | An internal communications programme has been established to raise awareness of the well-being goals and to begin to embed the 5 ways of working set out in the sustainable development principle. A Future Generations Advisory Panel has been established and a Future Generations Champion identified. The situational analysis is underway on behalf of the Public Services Board. | High | Low | This was identified in the draft Annual Governance Statement 2015-16 that was approved at Audit Committee dated 8th June 2016. | Yes. If we fail to work within the 5 ways of working we risk non statutory compliance, however of much more importance is making an actual difference to the citizens of Caerphilly. In light of reduced resource if public services do not change the way they think (look at longer term issues, work on identifying root causes, involving others in solutions and so forth we will miss opportunities to sustain changes for the better) | Long-term | Medium | Corporate Director Social Services |
| CMT41 - NEW | Local Climate Impacts Profile (July 2015) | <p>Not being prepared for the impacts associated with climate change. For Caerphilly this will manifest as a more volatile weather pattern:</p> <ul style="list-style-type: none"> More severe storms resulting in damage to trees and buildings; Increase in winter rainfall resulting in flooding, affecting people, property and infrastructure; Increases in summer temperatures resulting in hot-weather related death and illness; Changes in species including a decline in native species, changes in migration patterns and increases in alien and invasive species, including pests and disease; Reduction in summer rainfall resulting in reduced river flows and water availability; | <p>A Local Climate Impact Profile (LCLIP) has been prepared for use by services. It identifies the priority impacts to enable services to develop plans to address the impact. The LCLIP links to other plans including Highways Winter Maintenance Plans, Business Continuity Plans & Emergency Plans etc.</p> <p>Mitigation work being undertaken includes:</p> <ul style="list-style-type: none"> Assessing the vulnerability of drainage infrastructure in excessive rainfall Installing flood risk measures at priority vulnerable locations Assessing the condition of trees Considering climate change in the Asset Management Programme Monitoring the temperature of corporate buildings in hot weather Installing photovoltaic (PV) systems on key buildings | Medium | Medium | The Local Climate Impact Profile was approved by CMT in July 2015. | Yes - there is an impact to a 'Resilient Wales' by not proactively addressing the operational response to climate change. The contribution to global issues and a 'Globally Responsible Wales' is met through low carbon planning and sustainable development. | Long-term | High | Corporate Management Team |
| CMT42 - NEW | Exit from the EU | The decision to leave the EU has created a degree of uncertainty. This has caused some turbulence in the short term. Moving forward it is currently difficult to determine whether Brexit will be better, or worse, for the Authority, Wales and the UK. | To be updated by CMT. | | Low | To be updated by CMT. | Impacts are not yet fully understood, however they will take place over a longer time frame | Long-term | Low | Corporate Management Team |

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ICLIP Key:

Involving a diversity of the population in the decisions that affect them;

Working with others in a **collaborative** way to find shared sustainable solutions;

Looking to the **long term** so that we do not compromise the ability of future generations to meet their own needs;

Taking an **integrated** approach so that public bodies look at all the well-being goals in deciding on their well-being objectives;

Understanding the root causes of issues to **prevent** them from occurring.