

Ref & Links	Topic (& Service)	Risk, opportunities and Impact	Mitigation Actions (What actions can we take to address the risks or realise the opportunity)	Progress Update (Are the mitigating actions reducing the risk or realising the opportunity?)	Risk Level 2019-20 Q4	Risk Level 2020-21 Q1	Risk Level 2020-21 Q2	Does the risk affect the Well-being of our Communities?	Well-being Risk Level
CorpDIR01 (Linked to CMT01)	Exit from the EU (Brexit)	<p>The decision to leave the EU and the looming deadline to secure an exit deal has created considerable uncertainty.</p> <p>Moving forward it is difficult to determine what impact the exit from the EU will have in the medium to longer-term for Caerphilly CBC and our communities. However, in the short-term possible negative impacts from a no deal scenario include the potential for workforce supply shortages in some areas and the possibility of some disruption to the supply of goods and services.</p>	<p>An internal Brexit Working Group has been established consisting of key staff across all Directorates. There is also cross-party political representation on this Group. The Council has also set aside £1m to meet any short-term financial impacts arising from Brexit.</p>	<p>The Brexit Withdrawal Agreement was signed in January 2020, but little concrete progress has been made since that time. The 21-month transition period, that was agreed will end on the 31st December 2020, is fast running out. Negotiations have been ongoing but to date there appears to have been little progress. This means that we will approach a new "no deal cliff edge". The UK Government did not apply for an extension to the transition period by the deadline of the 30th June 2020, so we are now facing a heightened risk that the UK will leave the EU without a deal at the end of December 2020. The Council has reconfigured its internal arrangements and has now established a Brexit Strategic Group consisting of key Heads of Services and cross party political representation to ensure that appropriate actions are taken to help mitigate the risks of Brexit. This Group is now being supported by a Brexit Operational Group which is focussing on key issues, actions and mitigation across all service areas.</p> <p>The 21-month transition period, that was agreed will end on the 31st December 2020, is fast running out. Negotiations have been ongoing but to date there appears to have been little progress. This means that we will approach a new "no deal cliff edge". The UK Government did not apply for an extension to the transition period by the deadline of the 30th June 2020, so we are now facing a heightened risk that the UK will leave the EU without a deal at the end of December 2020.</p> <p>The ongoing uncertainty surrounding the UK's exit from the European Union is inevitably creating challenges for the Council and the communities that we support. Despite this high level of uncertainty, it is important that the Council is taking steps to prepare for the potential impacts arising from Brexit, particularly leaving in a no deal scenario. It is also important to ensure that funding is set aside to meet any potential short to medium-term financial implications.</p> <p>The Council has established an internal Brexit Working Group to ensure that appropriate actions are taken to help mitigate the risks of Brexit. Key risks have been identified in respect of: - potential disruption to the supply chain; potential increases in prices for goods and services; potential impact on the supply of labour, particularly for commissioned services; and potential negative impacts on small businesses in the short to medium-term, along with the potential for a lack of inward investment in the longer-term. This list is not exhaustive and the Brexit Working Group will continue to meet during the coming months to ensure that all potential impacts are considered and that appropriate mitigating actions are identified wherever possible. Given the high level of uncertainty and the potential negative impacts of Brexit the Council has agreed to set aside one-off funding of £1m to meet any financial implications that may arise.</p>	Medium	Medium	Medium	Potential impacts are not yet fully understood but they are likely to be felt over the short, medium and longer-term.	Unable to assess currently due to the level of uncertainty.

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CorpDIR02 (Linked to CMT02)	MTFP - All	Failure to identify sufficient savings within Corporate Services to support the MTFP.	This is being managed through regular consideration at Corporate Services SMT meetings. Heads of Service and Finance staff liaising to identify savings proposals.	The 2020/21 budget was approved by Council at its meeting on the 20th February 2020 and this included savings of £581k for Corporate Services. Plans are now underway to set the budget for the 2021/22 financial year but we are facing an unprecedented situation as details of the Provisional 2021/22 Financial Settlement will not be released by the Welsh Government until the 22nd December 2020 (normally received in October each year). Initial meetings are taking place to explore potential savings and the draft budget strategy will be shaped up based on a range of assumptions prior to the Provisional Financial Settlement being released. The ongoing financial impact of Covid-19 is being considered separately from the normal budget setting process on the assumption that additional funding will continue to be provided by WG to address additional costs and lost income associated with the pandemic. This funding is currently only confirmed to the end of the 2020/21 financial year so presents a significant financial risk that will need to be kept under close review.	Medium	Medium	Medium	Yes, we need to explain how it affects the Well being of Future Generations in our Communities	Medium
CorpDIR03	Sickness Absence - People Services/ CCBC	Sickness absence across the Authority remains above the Wales average, leading to reduced productivity and negative image of the Authority.	<ol style="list-style-type: none"> 1. Management information in relation to sickness absence is sent to Heads of Service on a monthly basis. 2. Sickness absence will now also be reported via the revised performance management framework. 3. CMT receive regular reports that allow the scrutiny of how effective Managers are at managing sickness absence. 4. The cabinet Member for Corporate Services is actively monitoring the situation and has met with all Heads of Service. 5. The Managing Sickness Absence Procedure is being reviewed. 6. A Wellbeing Strategy is being developed. 7. P&R Scrutiny received a report about sickness absence in November 2019 and will continue to receive such reports on a regular basis. 	Sickness absence will need to be reviewed to determine the effects of the Covid 19 pandemic and also agile working	High	High	High	No	N/A
CorpDIR04a	Information Governance	New ways of working, time pressures and increasing threats could lead to breaches that result in financial and reputational consequences. Opportunity to demonstrate trust and use information well.	Training, DPIAs, contracts/agreements, privacy notices and Info Asset Registers, audits, report in 6mthly Info Risk Returns, audit compliance, continue suspension of surveillance in line with ICO Undertaking	Reducing risk via: modular eLearning launched but poor member uptake to date; awareness raising via intranet stories, CMT updates (inc Corporate Risk Register), IG Stewards and Go Digital; DPIAs/contracts increasingly used; Internal Audit checklist; data breach methodology; Covid19 Risk Log maintained, covering cyber security and IG; communication to all users from Chief Executive in pipeline.	Medium	Medium	Medium		Medium
CorpDIR04b	Information Governance	Reduce risks to data and storage costs, facilitate implementation of new technology, and ensure reliable records to fulfil FOI S46 statutory requirement and opportunity to benefit service delivery.	Training, tracking systems, governance rules on IT systems, link with Archives Services, report in 6mthly Info Risk Returns	Reducing risk by: 1km hard copy records for disposal; owners of records on network drives, stale data and open permissions identified; and proposals for leaver emails/Y drives and free-floating docs on networks agreed; all-user comms started; use of Teams expedited during Covid19 requiring records rules to prevent backlogs accumulating.	Medium	Medium	Medium	Yes - protection of privacy (Article 8 HRA), Duty to Document and protection of historic records to evidence public sector activities Potentially	7
CorpDIR04c	Information Governance	Increasing request volumes, but failure to respond in statutory timescale could lead to monitoring and enforcement, loss of trust and missed opportunity to make better use of Council data to benefit economy (City Deal project).	Training, Publication Scheme and open data; review charges for requests; follow RM procedures to minimise unnecessary data and speed up retrievals.	Reducing risk via: SMT and service area awareness raising including by IG Stewards; covered in new modular Protecting Information eLearning; new approach to cross-directorate requests. ICO has taken a proportionate and pragmatic approach to regulation to date during Covid 19, but since July expects a more 'normal' approach to request handling.	Medium	Medium	Medium		Low

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CorpDIR06	Managing fire risks	The management of fire risk has changed following the fire at Grenfell Tower. Whilst legislation hasn't changed, there is a greater expectation from the Regulators with regards to the management of risk. This impacts greatly on resources to undertake risk assessments and also financially to undertake work required.	Education and Housing have supported the appointment of fixed term Fire Officers within People Services to undertake risk assessments and to ensure we learn from best / changing practice in a timely manner. Revised risk assessments have also been undertaken by Risk Monitor for all system built / CLASP schools as a result of an enforcement notice in a school. There is a great deal of partnership working with SWF&RS to achieve this in a timely and proportionate manner.	Work continues to be undertaken with Heads of Service and Headteachers and will continue to be subject to review. A revised work plan is being produced.	Medium	Medium	Medium	Potentially	Low
CorpDIR09	Funding	Issues around WHQS Funding. Any withdrawal - Digital Services potential 15 People at risk.			High	High	High		Medium

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 at 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.