

Ref	Area	Risk Detail	Risk Level 2012 13 (Aug 2012)	Risk Level 2013 14 (Feb 2013)	Risk Level 2013 14 (Aug 2013)	Mitigation actions	Risk Owner
CMT01	Medium Term financial budget planning	Budget pressures will potentially have a negative effect on service delivery across all services, if appropriate mitigation measures are not put in place. <b>Risk is failure to maintain and/or improve service delivery.</b>	Medium	Medium	High	A revised MTFP with increased savings targets was presented to Cabinet on 18 June 2013. This followed the announcement by WG that indicative allocations for 14/15 should not be relied on for planning purposes. A further report has been prepared for Council on 23 October updating the MTFP and the extent of the revised savings target.	Corporate Management Team
CMT02	Demographic changes	Demographic changes indicate a rising trend in the short, medium & long-term with un predictable day-to-day demand. Increase in expectations of service users. New needs/new service user groups being identified. <b>Failure to embrace the changes in for example health demand and clinical futures will have budget and service delivery implications. Greater impact on Social Services and Education directorates.</b>	High	High	Medium	Increased demographic pressures have been built into the MTFP for Social Services for the next 3 financial years. Action is being taken to redirect funds by looking at a range of service delivery options.	Corporate Director of Social Services
CMT03	Performance Management Culture	Failure to implement across all services the various performance management processes developed. <b>Risk - could hinder progress towards a consistent level of improvement.</b>	Low	Medium	High	Risk raised due to comments from estyn inspection and the move towards self-evaluation of performance. The Authority has received the final AIR with an overall comment of "Although the Council has embedded performance management arrangements it needs to address weaknesses in its approach to self-evaluation and challenge, and report and account for its performance in a more balanced and transparent way."	Acting Director of Corporate Services
CMT06	Asset Management	Failure to drive forward the recommendations from the Asset Management Strategy will lead to a failure to realise the benefits	Medium	Medium	Medium	Asset Management Strategy agreed by CMT. WAO report needs to be finalised. A review of the risk will be undertaken once this report is available and the Action Plan is agreed.	Acting Director of Corporate Services
CMT08	Procurement	Economic pressures, uncontrolled markets which will result in volatile markets. <b>Risk failure to make efficiency due to economic pressures, which are out of our control.</b>	Low	Low	Low	Procurement "rules" established and accepted. Compliance improved significantly.	Acting Director of Corporate Services
CMT09	Business Continuity Planning	Lack of Business Continuity Planning within schools across the Borough. <b>Risk is service delivery disruption during emergencies.</b>	Low	Low	High	Business Continuity Planning is well established in some key services, but there is a lack of consistency of approach across the Authority, and there are some gaps in respect of some services. This has been categorised as a high risk, as it has remained in the Annual Governance Statement for 3 years running. A Business Continuity Strategy has been agreed by CMT and a pilot study is currently underway to evaluate the feasibility of the agreed approach, once satisfactorily completed the strategy will be implemented across the Authority.	Corporate Management Team
CMT11	Regeneration	Regeneration Strategy agreed. <b>The national policy framework set by WG is moving the regeneration agenda to the regional and sub regional level. There is a lack of clarity over what this will mean to the council.</b>	High	High	High	Staff are working via SEWDERB and WEFO to establish regional and sub regional strategies around the emerging Cardiff city region which add value to local priorities around connectivity, business support, training and job creation. The sub-regional priorities will be agreed by leaders and chief executives in coming months as the City region agenda is clarified by Welsh Government.	Acting Deputy Chief Executive

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CMT12	Waste Management	Failure to achieve the landfill diversion, recycling and composting targets will leave the Authority exposed to punitive action.	High	High	Medium	The risk has decreased as a result of the authority's achievements in recycling and composting in recent years and the fact that our recycling / composting level is circa 5% above the 2012/13 WG target. However, the remaining targets will be very challenging and the risk needs to remain amber within the risk register.	Acting Deputy Chief Executive
CMT14	Basic Skills	Failure to address skills deficit in 14-19 and adult education, has cross-cutting implications for economic activity, poverty and further education for young people and adults.	Medium	High	Medium	Adult Education provision for 16+ learners, have increased Adult Basic Skills enrolments by 10% each year for the past 3 years and will continue this in the academic year 2013/14. Also due to the introduction of Families First funding there has been an increase in the number of adult learners in Family Learning over the past 2 years and this too is expanding further in 2013/14 with the addition of Family learning in the home and in the Community. Figures for 11/12 and 12/13 are in the Adult Education SIP regarding these increases.	Acting Deputy Chief Executive
CMT15	Sickness Absence	Sickness absence across the Authority remains above the Wales average, leading to reduced productivity and negative image of the Authority.	Low	Medium	Low	A new Sickness Policy was introduced in the last few years. Regular reports produced for examination and performance management arrangements via iTrent are in place. CMT receive regular reports that allow the scrutiny of the effectiveness of the current policy.	Acting Director of Corporate Services
CMT16	School Attainment	School attainment levels are still below the all Wales average, along with pupil attendance. EAS now manage the services which will impact on outcomes and hence the transition to an "arms length service" will impose an increased risk for a time.	Medium	High	Medium	Low levels of attainment and relative achievement are continual risks for the borough. Standards of attainment are monitored and reported to SMT / CMT / Scrutiny through an annual programme of reporting described in the Directorate Plan Handbook. Improvement has been continuous in the majority of key indicators for several years but remains a priority, especially at L2+ KS4.	Acting Deputy Chief Executive
CMT17	Sustainability of staffing via grant funded resources	There is lack of security or sustainability in maintaining staff and skills as grants can be removed or not renewed.	Medium	Medium	Medium	Heads of Service and Directors are aware of all the grant funded schemes within their service areas. Staff are placed on temporary contracts. This risk needs to be closely monitored in the light of the worsening settlement from Central Government to WG.	Corporate Management Team
CMT18	Secondary school surplus places in top quartile across Wales.	Too many school places with falling pupil rolls locally and nationally will affect funding available to schools and put budgetary pressure on the LEA	High	High	Low	The Strategic Outline Programme has been re-submitted and approved. Outline Business Case has been submitted for 3 of the 4 projects. Council (23 July) approved proposals to proceed with Phase 1 of a secondary rationalisation programme.	Acting Deputy Chief Executive
CMT22	Partnerships	Service continuity planning, regional versus local.	Medium	Medium	Medium	Single Planning process is ongoing.	Local Service Board.

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CMT25	Equal Pay	Subject of an exempt report to Council 8th October 2013	Medium	Medium	Low	A Memorandum of Understanding has been agreed between the Authority and the TUs plus their legal advisers. This means that there will be no Tribunal but a further settlement is hoped to reduce the number of outstanding claims significantly. This can be funded from the Equal Pay / Single Status provision.	Acting Director of Corporate Services
CMT26	Collaboration	Capacity issues are expected to be high in the Directorates of Social Services and Education.	High	High	Low	Cabinet in April 2013 determined that the Social Services Integration with Blaenau Gwent would not proceed. Collaboration is agreed by Cabinet / Council based on a robust business case.	Corporate Director of Social Services
CMT27	Reputation	Recent events	Medium	High	High	Still much uncertainty in respect of WAO's intention to undertake further corporate assessment work, plus there is still no conclusion to the Police Investigation.	Acting Director of Corporate Services
CMT28	Welfare Reform & Local Council Tax Support	1) Reduction in income levels to the Authority, tenants and residents as a consequence of the introduction of the WRA (Welfare Reform Act) and Local Council Tax Support (LCTS)	High	High	Medium	The Authority has a Welfare Reform Project Board that monitors the progress of a number of workstreams that involve key players from all affected services across the Authority. Voluntary Organisations and the DWP are also involved. Seminars have been held with Members and a report was presented to P & R in July. A Universal Credit Pilot Scheme is also helping the Authority to place itself in a better position to assist its residents pending the roll out of Universal Credit. The LCTRS Funding Gap for 13/14 was made good by WG. Discussions are ongoing for 14/15 which may lead to a further year where LCTRS has not affected CCBC residents.	Acting Director of Corporate Services
		2) An increase in demand for the Authority's services and the Voluntary sectors services as a consequence of the above	High	High	Medium	As above.	Acting Director of Corporate Services
CMT 29	WHQS programme	There are nine high level risks relating to the WHQS programme, they are as follows: Government policy changes, Asbestos, Failure of relationships with stakeholder groups, Organisation structure/delivery, Culture, Changes to business plan, Challenges to tender process, IT development, Keystone (asset management software system).		High	Low	The WHQS programme risk register was reviewed and updated by the Project Board on 5th August 2013.	Interim Chief Executive
CMT 30	Information Governance	Risks to the authority of poor information governance are 1) insufficient protection of information leading to negative effects for the Council (monetary penalties; adverse publicity; impaired services) and negative effects for the public (embarrassment; identity fraud); and 2) poor management of information reduces service efficiencies due to excessive information being maintained, which increases duplication and storage costs; reduction in information quality and ability to find information; and legislative breaches (e.g. data protection and FOI).		High	Low	Mitigation measures include staff training and awareness raising; quarterly reports from Heads of Service on information risk assurance; development of a corporate information asset register which will enable the Council to assess suitability of storage, access, retention, and protection for specific types of information; formalising information sharing using WASPI; and ongoing development of policies and procedures on records management, data protection and public access to information. Directorate Information Governance Stewards work with the Senior Information Risk Owner and Corporate Information Governance Unit to cascade information governance messages and initiatives to all staff.	Acting Director of Corporate Services

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<b>CMT 31</b>	Governance Arrangements	The Wales Audit Office Public Interest report has identified significant governance issues. This is a risk to robust decision making and proper accountability.		<b>High</b>	<b>Medium</b>	Improving Governance Arrangements Board set up. Action Plan developed and agreed. Reviewed by CMT and PDM. Report to Cabinet on 18 September 2013 in respect of progress on delivering the Action Plan.	<b>Acting Director of Corporate Services</b>
<b>CMT 32</b>	Highway Safety Inspections	Percentage of programmed highway safety inspections done within timescale. 2012-13 end of year figure was 40% (target 95%) of highway safety inspections done within timescale.		<b>High</b>	<b>Medium</b>	The number of Highway Inspections completed within timescales was affected by inclement weather in the winter months, and the delay in the appointment of a Highway Inspector. Since August 2013, two new highways inspectors have now been appointed to fill vacant posts, therefore the risks have been reduced. The % of highway safety inspections has risen from 40% in March 2013 to 73% in June 2013.	<b>Acting Deputy Chief Executive</b>
<b>CMT 33</b>	Ffynnon Transition Arrangements	There is a high risk to the Authority if we don't have an appropriate PM system in place when the Ffynnon system will be switched off in June 2014 as it will no longer be funded by the Welsh Government.			<b>High</b>	A meeting has been scheduled with the supplier Coactiva to discuss future arrangements and possible contract extension/negotiations.	<b>Acting Director of Corporate Services</b>
<b>CMT 34</b>	Banking arrangements	The Authority's banking arrangements for its current account are being reviewed to ensure that the bank providing the services has an acceptable credit rating.			<b>High</b>	A project team has been established to review the current arrangements with a view to move banks if required as soon as possible.	<b>Acting Director of Corporate Services</b>

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CMT04	Information sharing	Information sharing across both internal and external partnerships has been identified as critical to effective multi-agency working. <b>Risk is duplication of work and inefficient use of resources.</b>	Work has been undertaken over the last two years in this area.	Risk mitigated - delete		Local Service Board.
CMT05	Recruitment and Retention	Recruitment and Retention is always a risk in a people organisation. <b>Risk is that key posts remain vacant which is having a negative effect on service provision.</b>	Recruitment within social services has been resolved as the majority of services now have a full capacity of staff.	Risk mitigated - delete		Director of Social Services
CMT07	Risk Management	Inconsistent risk management across the authority. <b>Risk is sometimes Service delivery based around 'fire fighting' rather than planned.</b>	CMT have put in place revised Governance arrangements, Performance Management arrangements (scorecards); improved Scrutiny arrangements; Project and Programme Management arrangements.	Risk mitigated - delete		Director of Corporate Services
CMT10	Project Management	Inconsistent understanding and application of Project Management techniques. <b>Lack of experience/training leads to failure or late delivery of projects.</b>	Some good work has been undertaken over the last two years in this area. For example the staff move from Hawtin Park to Penallta House was seamless. Project management within CCBC is regular monitored by CMT. CMT have introduced structure and regularly	Risk mitigated - delete		Director of the Environment
CMT13	Wales Housing Quality Standard	Failure to deliver the outcomes of the Ballot.	The tenants <b>ballot</b> on Caerphilly County Borough Council's proposal to transfer its homes to Castell Mynydd has concluded resulting in a 'no' vote.	Risk mitigated - delete	High	Chief Executive
CMT19	Health Service	Restructuring of the Local Health Board could have a detrimental effect on the very positive relationships developed and experienced between the Authority and Caerphilly Local Health Board.	The restructuring of the LHB has been completed.	Risk mitigated - delete	High	Chief Executive
CMT20	Health & Safety Management arrangements.	In the absence of a corporate coordinated approach to the management of H&S, the Council could not demonstrate that its arrangements for the delivery for its H&S function were sufficiently robust to minimise health and safety risks.	Revised Health and Safety arrangements only recently implemented. Good work being done by key risks on Contract Management specifically require attention.	Risk mitigated - delete		CMT
CMT21	Service Redesign	Failure to redesign services that are no longer required and reinvest in services that meet the needs of service users.	Good progress made against the medium term financial plan and a number of significant developments are being worked on in terms of integration with Health.	Risk mitigated - delete		CMT
CMT23	Energy	The present and forecasted increases in Energy costs have a significant impact on the service and corporate budgets.	Work has been undertaken over the last two years in this area.	Risk mitigated - delete		Director of Corporate Services

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<b>CMT24</b>	Workforce Planning	Need to develop and adapt the Council's workforce strategies and practices in people management to best fit a financially challenging external environment, to be able to underpin the authority's medium term financial plan.	Workforce Strategy adapted, however, need to put this together in a succinct workforce planning document.	<b>Risk mitigated - delete</b>		<b>Director of Corporate Services</b>