

Ref	Area	Background information	Actual Risk	Mitigation actions - what we are doing to reduce the risk and by when.	Additional Resources Required	Previous Risk Level 2013-14 (Feb 2013)	Previous Risk Level 2013-14 (Aug 2013)	Current Risk Level 2013-14 (Feb 2014)	Comments from latest risk review	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.	1. Workforce Planning: less staff to deliver services. 2. Failure to maintain and/or improve service delivery 3. Managing staff morale in light of cuts 4. Failure to take early decisions on which services should be cut could lead to poor planning	1. A revised MTFP with increased savings targets was presented to Cabinet on 18 June 2013. A further report was presented to Council on 23 October 2013 updating the MTFP and the extent of the revised savings target. 2. HR to develop proposals for a planned reduction of staff. 3. Ensure communication to staff is improved, is consistent and appropriate 4. Members to be presented with service budget saving options on the 26th February 2014.	1-4 None	Medium	High	Medium	Balanced budget delivered for 2014/15. Strategy in place for 2015/16 & 2016/17	Corporate Management Team
CMT02	Demographic changes	Demographic changes indicate a rising trend in the short, medium & long-term with an predictable day-to-day demand. Increase in expectations of service users. New needs/new service user groups being identified.	• 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.	1. Increased demographic pressures have been built into the MTFP for Social Services for the next 3 financial years. 2. Action is being taken to redirect funds by looking at a range of service delivery options.	1-2 None	High	Medium	Medium	No change to risk	Corporate Director of Social Services
CMT03	Performance Management Culture	The WAO Annual Improvement Report (AIR) 2013 has identified weaknesses around the council's Performance Management Framework. In particular the council is considered to present performance in an unbalance way and member involvement/challenge should be improved. The council's approach to self-evaluation has also been identified as an area for improvement by both Estyn & WAO	1. An unbalanced evaluation of the council's performance can lead to complacency and reduce the drive to improve performance, particularly during these difficult financial times. 2. Members lack of understanding of performance management will reduce their capacity to mount effective challenge. 3. Failure to provide members with adequate and appropriate performance information on a regular basis will render Governance arrangements less effective. 4. Although a relatively new concept some other authorities are further advanced in self evaluation and this reflects poorly on the council	1. Efforts have been made to make reports more balanced by reflecting and explaining the reasons behind poor performance as well as highlighting good performance e.g. Annual Performance Plan published Oct 2013. 2. Performance Management training identified as part of the Member Training Programme. 3. New programme of presenting performance information (including risk) to Scrutiny meetings being developed by CMT. 4. A self evaluation model is being developed and will be piloted by HoS	1. None. 2. None 3. None 4. Support being provided by WLGA at no cost. Additional cost recovered from identified Improving Governance budget	Medium	High	High	No change to risk	Acting Director of Corporate Services
CMT06	Asset Management	Asset Management Strategy to be re-written in the context of the WAO report on Asset Management	1. Failure to establish an over-arching strategy will limit the council's ability to drive transformational change and react positively to budget pressures	1. WAO report agreed and action plan developed to deliver the recommendations.	None	Medium	Medium	Medium	No change to risk	Acting Director of Corporate Services
CMT09	Business Continuity Planning	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.	1. The risk is the possible disruption to service delivery during emergencies.	1. 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. 2. Progress update along with a delivery programme to be presented to Audit committee March 2014	1-2 None	Low	High	High	No change to risk	Corporate Management Team
CMT11	Regeneration	Regeneration Strategy agreed. The national policy framework set by WG is moving the regeneration agenda to the regional and sub regional level.	1. There is a lack of clarity over what this will mean to the council.	1. Staff are working via SEWDERB and WEFO to establish regional and sub regional strategies around the emerging Cardiff city region which will add value to local priorities around connectivity, business support, training and job creation. 2. 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.	1-2 None	High	High	High	No change to risk	Acting Deputy Chief Executive

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CMT12	Waste Management	WG has imposed challenging landfill diversion targets on the authority	1.Failure to achieve the landfill diversion, recycling and composting targets will leave the Authority exposed to punitive action.	1. 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.	1.None	High	Medium	Medium	No change to risk	Acting Deputy Chief Executive
CMT14	Basic Skills	Adult Education provision for 16+ learners has increased Adult Basic Skills enrolments by 10% each year for the past 3 years and will continue this in the academic year 2013/14.	1. 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.	1. 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.	1. Family First Funding introduced	High	Medium		Revise wording of this risk- Acting Deputy Chief Executive	Acting Deputy Chief Executive
CMT15	Sickness Absence	Sickness absence is high	1. Sickness absence across the Authority remains above the Wales average, leading to reduced productivity and negative image of the Authority.	1. A new Sickness Policy was introduced in the last few years. 2. Regular reports produced for examination and performance management arrangements via iTrent are in place. 3. CMT receive regular reports that allow the scrutiny of the effectiveness of the current policy.	1-3 None	Medium	Low	Low	No change to risk	Acting Director of Corporate Services
CMT16	School Attainment	School attainment levels are still below the all Wales average, along with pupil attendance. Low levels of attainment and relative achievement are continual risks for the borough.	1.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.	1. Standards of attainment are monitored and reported to SMT / CMT / Scrutiny through an annual programme of reporting described in the Directorate Plan Handbook.	1 None	High	Medium	Medium	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	Heads of Service and Directors are aware of all the grant funded schemes within their service areas.	1.There is lack of security or sustainability in maintaining staff and skills as grants can be removed or not renewed.	1. Staff are placed on temporary contracts. 2. This risk needs to be closely monitored in the light of the worsening settlement from Central Government to WG.	1-2 None	Medium	Medium	Medium	No change to risk	Corporate Management Team
CMT18	Secondary school surplus places in top quartile across Wales.	Too many school places with falling pupil roles locally and nationally	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.	1 None	High	Low	Low	No change to risk	Acting Deputy Chief Executive
CMT22	Partnerships	Many Partnerships have evolved locally, some are formal others are less formal	1. Service continuity planning, regional versus local. 2.Governance arrangements can be suspect.	1. Single Planning process is ongoing. 2.Review of Partnerships and their governance arrangements underway as part of the Improving Governance Programme	1-2 None	Medium	Medium	Medium	No change to risk	Local Service Board.
CMT25	Equal Pay		1. Subject of an exempt report to Council 8th October 2013	1. 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	Medium	Low	Low	Agreement of settlement close	Acting Director of Corporate Services
CMT26	Collaboration	WG is promoting increased collaboration between local authorities and other public bodies.	1.A WAO review of Collaboration within the SE Wales Regional area has identified that decisions to enter into collaboration have not always been founded on a robust Business Case. 2. Appropriate Governance arrangements need to be established for all collaborations.	1. Collaboration is agreed by Cabinet / Council based on a robust business case.2. Governance arrangements will form part of the Business case process and be approved in detail by Audit committee.	1-2 None	High	Low	Low	No change to risk	Corporate Director of Social Services

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CMT27	Reputation	Recent events have led to a lot of media criticism of the authority	1. Lack of resident confidence in the council. 2. Staff morale is low. 3. Intervention measures imposed by WG	1. Improvements have been made in communication to re-assure residents that high quality service provision is being maintained. 2. Team briefings have been introduced to improve communication with staff. The Interim CE also sends out regular communiques. 3. Improving Governance Board established supported by an experienced consultant	3. Improving governance budget established.	High	High	Medium	Corporate Governance improvements being publicly recognised.	Acting Director of Corporate Services
CMT28	Welfare Reform & Local Council Tax Support	The introduction of the WRA (Welfare Reform Act) and Local Council Tax Support (LCTS)	1. Reduction in income levels to the Authority, tenants and residents as a result.	1. 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. 2. Seminars have been held with Members and a report was presented to P & R in July. 3. 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. 4. The LCTRS Funding Gap for 13/14 was made good by WG. 5. Discussions are ongoing for 14/15 which may lead to a further year where LCTRS has not affected CCBC residents.	1-5 None	High	Medium	Low	All issues dealt with	Acting Director of Corporate Services
			1. An increase in demand for the Authority's services and the Voluntary sectors services as a consequence of the above	As above.		High	Medium	Low	All issues dealt with	Acting Director of Corporate Services
CMT 29	WHQS programme	Everyone in Wales should have the opportunity to live in a good quality home within a safe and secure community. To help achieve this, the physical standard and condition of existing housing must be maintained and improved to the Welsh Housing Quality Standard (WHQS).	1. 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).	•The WHQS programme has its own specific risk register which was reviewed and updated by the Project Board on 5th August 2013.		High	Low	Medium	Project update report (13/02/14) has identified issues around procurement leading to potential contract delays and wall cavity insulation issues that could have budget implications.	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).	1. 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. 2. 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.	1-2 None	High	Low	Low	No change to risk	Acting Director of Corporate Services

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CMT 31	Governance Arrangements	The Wales Audit Office Public Interest report has identified significant governance issues.	1. This is a risk to robust decision making and proper accountability.	1. The Improving Governance Arrangements Board has been set up, also the Action Plan has been developed and agreed. 2. The action plan has been reviewed by CMT and PDM. 3. Regular reports to Cabinet in respect of progress on delivering the Action Plan.	Improving Governance budget established	High	Medium	Low	Corporate Governance improvements underway and progress regularly reported to Cabinet. WAO Corporate Governance Inspection has recognised improvement.	Acting Director of Corporate Services

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<b>CMT 32</b>	Highway Safety Inspections	40% (target 95%) of highway safety inspections done within timescale at the end of 2012-13.	1. Highway safety is compromised if the authority fails to satisfactorily maintain its highway asset	1. Since August 2013, two new highways inspectors have now been appointed to fill vacant posts, therefore the risk has been reduced.	1 None	High	Medium	Low	The % of highway safety inspections has risen from 40% in March 2013 to 73% in June 2013 and improved further to 91% by Nov 2013..	<b>Acting Deputy Chief Executive</b>
<b>CMT 33</b>	Ffynnon Transition Arrangements	The Ffynnon PM system will be switched off in June 2014 as it will no longer be funded by the Welsh Government.	Performance Management information will not be collated and reported in the customary way. This could lead to incomplete information gathering, poor decision making, lack of accountability.	1. A meeting has been scheduled with the supplier Coactiva to discuss future arrangements and possible contract extension/negotiations. 2. A business case has been prepared outlining the possible options and recommendations for approval by CMT.	2. Additional budget of circa £18k/yr for an initial period of 2 years required.		High	Low	CMT has agreed the two year Ffynnon continuity contract, hence reducing the level of risk to the Authority. Risk will remain until new contract commences in June 2014.	<b>Acting Director of Corporate Services</b>

Ref	Aspect	Risk Description	Mitigation/progress/action	Risk Level 2010/11 (Dec 2010)	Risk Level 2011-12 (July 2011)	Risk Owner
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
CMT08	Procurement	Economic pressures, uncontrolled markets which will result in volatile markets.	1. Procurement "rules" established and accepted. 2. We are aiming to improve the compliance significantly.		Risk mitigated - delete Feb 2014	Acting 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

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<b>CMT21</b>	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.	<b>Risk mitigated - delete</b>		<b>CMT</b>
<b>CMT23</b>	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.	<b>Risk mitigated - delete</b>		<b>Director of Corporate Services</b>
<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>