

Ref	Area	Background information	Actual Risk	Mitigation actions - what we are doing to reduce the risk and by when.	Additional Resources Required	Current Risk Level 2015-16 (Apr 2015)	Current Risk Level 2015-16 (July 2015)	Current Risk Level 2015-16 (Oct 2015)	Comments from latest risk review
CMT01	Medium Term financial budget planning 2016-17	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. 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. Report presented to Council 25th Feb 2015 outlined revised MTFP for 2016/17 and 2017/18 and a set of 5 key principles agreed by members that would be used in the first instance to identify savings proposals. This was agreed by Council. 3. CMT met on 26th February to agree timetable for the next £26m of savings. Meetings will be held with finance staff and CMT prior to Leadership Team and PDM. A July seminar is planned for a list of savings proposals.	1-4 None	High	High	Medium	As detailed in the mitigation actions.
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 unbalanced 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, 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 2014. A survey by WG has identified a public opinion view that the council is best in Wales at informing the public how we are performing. 2. Performance Management training identified as part of the Member Training Programme. 3. New programme of presenting performance information to Scrutiny meetings being developed by CMT. Risk Management monitoring arrangements have been strengthened. 4. A self evaluation model has been rolled out as part of the council's performance management planning process. Self evaluations are scheduled for completion by mid March 2015.	1. None. 2. None 3. None 4. Support being provided by WLGA at no cost. Additional cost recovered from identified Improving Governance budget	Medium	Medium	Low	CMT/Cabinet arrangements have been strengthened. There now needs to be a focus upon improving scrutiny arrangements. <ul style="list-style-type: none"> • Risk management has been strengthened – Corporate Risk Register reviewed by CMT monthly. Report to Audit Committee 10th September 2014. • Self-Evaluation to be completed by services by mid March 2015. • Performance reporting to CMT/Cabinet re-structured with quarterly meetings. • Review of Scrutiny to be completed by October 2015.
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	Low	Low	Progress report presented to Audit Committee

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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. 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.	1 None	Medium	Medium	Medium	Improvement has been continuous in the majority of key indicators for several years but remains a priority, especially at L2+ KS4.
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	There has been a cut to the Adult Learning Grant, the affect of the cut has not yet been established.
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	Medium	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 LDP.
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. Behind schedule. Completing programme in time allocated and within budget.	• The WHQS programme has its own specific risk register which was reviewed and updated by the Project Board on 10th March 2014.		High	High	High	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. Challenge to tender process remains a risk particularly given the large scale of contracts. Key personal additions made & Deputy Head of Programmes appointed 14-10-14. All major contracts have now been let and contractors are on site.

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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. 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	Low	Low	Low	Failure to make progress in Information Governance will impact on service delivery council wide as information quality and location is unreliable; there is a risk of up to £500,000 fines for breaches of the Data Protection Act; and failure to comply with the Freedom of Information Act could lead to decision and enforcement notices from the Information Commissioner's Office. These risks could also result in adverse press, loss of trust by the public, and criticism from the Council's auditors. Mandatory Protecting Information training is done and will take place annually. The Information Governance Communications Plan is complete and Member training continues. The information risk policy and register is place and is reported to SIRO quarterly. The Records Management policy is also in place. Work is ongoing with ICO.
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	Low	Low	Low	Corporate Governance improvements underway and progress regularly reported to Cabinet. WAO Corporate Governance Inspection has recognised improvement. The Annual Improvement Report (AIR) has been positively received, with reference made to the significant amount of work already undertaken. Report going to Cabinet 28/10/15, look to remove thereafter.
Combination of CMT 12 & CMT 37	Waste Management Service Continuity & Target Achievement	Significant changes in the Waste Management arena and substantial change to the recycling MRF market could potentially affect service delivery to the public and/or target achievement if mitigation measures are not put in place.	<ul style="list-style-type: none"> The existing strategy and service delivery model does not enable us to meet future waste/recycling targets, these include: <ul style="list-style-type: none"> High contamination rates in the co-mingled recycling bin. Short term contract for recyclate which only realises 70% recycling Loss of food waste into residual waste Food and green waste not collected separately Transfer station not of sufficient capacity for future tonnages. 	<ul style="list-style-type: none"> Collection, treatment and disposal modelling being undertaken with WG consultants. WAO review planned end of 2015 Cabinet report scheduled for Spring 2016 for implementation by April 2018 – agreeing collection methods, treatment and disposal methods, transport and staff requirements, including a financial plan for implementation. Communication campaign underway to address recycling contamination Approval obtained to use bottom ash from Project Gwrydd towards 15/16 target Exploring alternative outlet for wood CA site recycling Working with Cardiff CC to maximise recycling % from existing 70% contractual arrangement Quarterly performance reports to CMT 	Yes	High	High	High	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.

Risk Owner
Corporate Management Team
Acting Director of Corporate Services
Corporate Management Team

Risk Owner
Interim Chief Executive
Corporate Management Team
Interim Chief Executive
Interim Chief Executive

Risk Owner
Acting Director of Corporate Services
Acting Director of Corporate Services
Corporate Director / Head of Community and Leisure Services