

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 (Oct 2015)	Current Risk Level 2015-16 (Jan 2016)	Current Risk Level 2016-17 (Apr 2016)	Comments from latest risk review	Risk Owner
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. Draft 2016/17 savings proposals totalling £12.432m were endorsed by Cabinet on the 14th October 2015. These proposals are now subject to a wide ranging consultation process which will end on the 8th January 2016.	1-4 None	Medium	Medium	Low	Final 2016/17 proposals will be presented to Cabinet and Council in February 2016. Potential savings of £6.930m have also been identified for 2017/18 but based on current planning assumptions there is a projected shortfall of £4.511m against the anticipated total savings requirement for 2016/17 and 2017/18. This risk is predicted to be HIGH going forward to 2017-20.	Corporate Management Team
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.	Interim Chief Executive
CMT17	Sustainability of service provision via external grant funding	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. This risk is predicted to be HIGH going forward to 2017-20.	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	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. This is regularly referred to a School Board for further discussion.	Interim Chief Executive
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).	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 January 2016. The highest risks are: <ul style="list-style-type: none"> ● Failure to achieve programme objectives ● Changes to the business plan ● Unforeseen costs. 	None	High	High	High	Internal works completions for 2015/16 are 1415 against a target of 1835, a performance of 77%. Note that 40% of the slippage numbers is due to no access. An additional 93 void properties have been brought to WHQS internally by HRO prior to re-letting, improving the overall position for the year to 1508. Eight external works contracts have reached practical completion relating to 203 properties in Markham, Argoed, Oakdale and Hengoed. There is a significant pipeline of external works on the ground, at contract award stage or being tendered. There are also some major gaps in the contract arrangements relating to the external works in the Lower Rhymney Valley and the sheltered housing schemes and a new strategy has been agreed. For internal works an exercise has been undertaken on average costs per property to inform a further cost plan review. The average contractor cost for the 4 internal components (kitchen, bathroom, heating, rewire) is £17,000, the in house workforce £19,000 and these compare with the Savills cost plan of £12,000. There are off-setting savings as a result of previously achieved work, and tenant refusals (including no access).	Corporate Director Communities

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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 recycle 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 about to commence This is one of the area's which are subject to the Business improvement programme. ISP project scoping document has just been completed and will be presented to the BIP board in the coming weeks. Timeline suggests discussion on way forward at CMT in late summer followed by autumn members seminar. Communication campaign underway to address recycling contamination Awaiting 15/16 PI outturn but likely to achieve WG 58% target Alternative outlet in place for CA site wood recycling Working with Cardiff CC to maximise recycling % from existing 70% contractual arrangement. In addition discussions held with Cardiff regarding lengthening MRF contract. Quarterly performance reports to CMT 		High	High	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.	Corporate Director Communities
CMT38	IT	Cyber Attack on our ICT systems	<p>Malicious activity targeting the Authority:</p> <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: 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.			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	Acting Director of Corporate Services
CMT39	Fragility of the Social Care market	The independent sector social care market across Wales is in an unprecedented position in terms of its fragility and this is starting to be felt in Caerphilly.	<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.	Not known at present			Medium		Corporate Director Social Services
CMT40	The Well-being of Future Generations (Wales) Act 2015	The Well-being of Future Generations (Wales) Act 2015 ('the Act') gives a legally-binding common purpose – the seven well-being goals – for national government, local government, local health boards and other specified public bodies. It details the ways in which specified public bodies must work, and work together to improve the well-being of Wales.	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.	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.	Yes, could be cost of consultations and publications although a specific figure is not known at this time			High		Corporate Director Social Services