

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 2013-14 (June 2014)	Current Risk Level 2013-14 (July 2014)	Current Risk Level 2013-14 (Aug 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	High	High		Balanced budget delivered for 2014/15. Strategy in place for 2015/16 & 2016/17. A further Cabinet report is programmed for 16th April 2014. WG has informed that indicative settlement figures for 2015-16 are likely to be less than predicted.	Corporate Management Team
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	High	High		CMT/Cabinet arrangements have been strengthened. There now needs to be a focus upon improving scrutiny arrangements. Some progress made, particularly in the area of risk management, and performance reporting at CMT. Main item outstanding is Performance reporting to Cabinet/Scrutiny, which is currently under discussion.	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		The MTFP process is underway and future key decisions will dictate the council's Asset Management Strategy. To be further discussed with WAO. A report on progress on WAO Recommendations has been drafted for presentation to P&R scrutiny on the 30th Sept 2014.	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	High	High		Report going to Audit Committee - Autumn 2014.	Corporate Management Team

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CMT12	Waste Management Service Continuity & Target Achievement	Significant changes in the Waste Management arena could potentially affect service delivery to the public and/or target achievement if mitigation measures are not put in place.	1. Lack of waste transfer station of effective design, size and location. 2. Uncertainty over long term organics procurement. 3. Uncertainty over future contractual arrangements for dry recycling and the WG stance on collection methods.	1. Development of effective waste transfer facility. 2. Development of effective interim organics procurement strategy to cope with delays in main collaborative process. 3. Obtaining certainty from WG over collection prescription and developing a TEEP case for the Authority.	1. Yes. 2. Possibly. 3. Not unless a change in collection methods is required.	High	High			Acting Deputy Chief Executive / Head of Community and leisure 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	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		There has been a cut to the Adult Learning Grant, the affect of the cut has not yet been established.	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	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		No change to risk	Local Service Board.
CMT25	Equal Pay	We want to Attain a Memorandum of Understanding with Unions and Claimants' Solicitors resulting in the delivery of a revised settlement strategy.	1. Potential not to succeed in GMF defence. No authority has been successful in its GMF defence in the last 10 years and the Council's GMF defence is scheduled for September 2013.	<ul style="list-style-type: none"> Project Board following risk assessment pertaining to proceeding with GMF defence, agree a settlement strategy for negotiation with Unions and claimant's solicitors Final data cleansing exercise and negotiation with union and claimants' solicitors in search of a memorandum of understanding run in tandem. Project Board put in place a Project Team to deliver the revised settlement strategy within agreed timescales. 	This can be funded from the Equal Pay / Single Status provision	Low	Low		Memorandum of understanding agreed.	Acting Director of Corporate 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.	Medium	Medium		Corporate Governance improvements being publicly recognised.	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	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.	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. 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	Medium	Medium		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.	Acting Director of Corporate Services
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		Corporate Governance improvements underway and progress regularly reported to Cabinet. WAO Corporate Governance Inspection has recognised improvement.	Acting Director of Corporate Services
CMT 35	Microsoft/Office 2003/Windows XP Upgrade	Product not supported after 8th April 2014.	Lack of support for Windows XP represents a significant risk across the authority as it has circa 3200 users of this software system.	1. Interim Extended Support Contract to be recommended in a report by SIRO to Acting Corporate Services Director and Interim Chief Executive. 2. Cabinet report being prepared to upgrade software and hardware. Scheduled for CMT on 17 April 2014.	1. Extended Warranty will cost approximately £200k (indicative cost - to be confirmed) 2. Upgrade arrangements will add a significant cost which could be funded via the Council's PC replacement programme	Low	Low		Extended support arrangement now in place until 08/04/2015. Original cost estimate overstated as actual cost is £12.5k. This risk will be mitigated by the implementation of Virtualisation Desktop Infrastructure (VDI) and upgraded Microsoft software. This implementation is scheduled to start in September 2014 and be completed by the end of March 2015.	Acting Director of Corporate Services