

Ref Appendix 1	Topic (& Service)	Risk, opportunities and Impact	Mitigation Actions (What actions can we take to address the risks or realise the opportunity)	Progress Update Dec 2019 (Are the mitigating actions reducing the risk or realising the opportunity?)	Risk Level 2019-20 Q1	Risk Level 2019-20 Q2	Does the risk affect the Well-being of our Communities?	Well-being Risk Level
<b>CRR 01 - All Directorates</b>	Exit from the EU (Brexit).	<p>The decision to leave the EU and the looming deadline to secure an exit deal has created considerable uncertainty.</p> <p>Moving forward it is difficult to determine what impact the exit from the EU will have in the medium to longer-term for Caerphilly CBC and our communities. However, in the short-term possible negative impacts from a No Deal scenario include the potential for workforce supply shortages in some areas and the possibility of some disruption to the supply of goods and services. There is also potential for price increases in the event of a No Deal exit.</p>	An internal Brexit Working Group has been established consisting of key staff across all Directorates. There is also cross-party political representation on this Group. The Council has also set aside £1m to meet any short-term financial impacts arising from Brexit.	The Withdrawal Agreement has been approved by Parliament and is now working its way through the House of Lords. The UK will leave the EU on the 31 <sup>st</sup> January 2020 and there will then be an eleven month transition period to discuss the finer details of the deal and the future working relationship with the EU. Until this process is completed the internal Brexit Working Group will continue to meet to keep the position under review.	Medium	Low	Potential impacts are not fully understood but they are likely to be felt over the short, medium and longer-term.	Unable to assess currently due to the level of uncertainty.
<b>CRR 02 - All Directorates</b>	Medium-Term Financial Plan (MFTP)	Failure to identify sufficient savings to support the Medium-Term Financial Plan (MFTP).	The Authority has a strong record of delivering balanced budgets and the process to finalise the 2020/21 budget is now nearing completion.	Draft budget proposals for the 2020/21 financial year were presented to Cabinet on the 13th November 2019 and this was followed by an eight-week consultation process. The announcement of the 2020/21 Provisional Local Government Financial Settlement was delayed until 16th December 2019 and this showed a favourable position. This along with feedback from the consultation process is now being considered to shape final budget proposals for Cabinet and Council consideration in February 2020. The funding position for future years remains uncertain as the UK Government is yet to undertake a three year comprehensive spending review. An important element of addressing future financial challenges will be our Future Caerphilly Transformation Strategy (TeamCaerphilly – Better Together). This Strategy sets out details of a major transformation programme to examine how services are prioritised, how they can become more business efficient, to explore opportunities for greater customer focus and digital delivery, and to consider alternative delivery models and seek out commercial opportunities.	Medium	Medium	Yes, we need to explain how it affects the Well being of Future Generations in our Communities	Medium
<b>CRR 03 - All Directorates</b>	GDPR Information Governance	<ul style="list-style-type: none"> <li>Failure to locate reliable information quickly (for example if backlogs of records accumulate) impacts on service delivery, plus we are missing an opportunity to use the Council's information assets more widely to benefit other Council services.</li> <li>GDPR introduces fines of up to 20million Euros for failing to evidence compliance, including Privacy Impact Assessments at early stage, and for data breaches such as data loss or retaining information for too long.</li> <li>Failure to comply with information requests (e.g. FOI) could lead to action by the Information Commissioner's Office - compliance expectation increased to 90%</li> <li>These risks could result in adverse press, loss of trust by the public, and criticism from the Council's auditors.</li> </ul>	<p>IGPT activity reported to Corp Gov Panel, including:</p> <ul style="list-style-type: none"> <li>Report on options for GDPR DPO role</li> <li>Review Information Asset Registers to include info required by GDPR, e.g. legal basis for processing</li> <li>Continue SIRO review of Information Risk Returns</li> <li>Update and re-launch DPA training, inc Members</li> <li>Update info sharing register to identify contract improvements</li> <li>Enforce use of privacy notices and Privacy Impact Assessments</li> <li>Implement records management programme, including better identification/creation of records and backlogs addressed (e.g. email, networks) and ensure records with historic value are protected</li> <li>Review publication scheme and charges for info requests</li> <li>Continue suspension of surveillance activity</li> </ul>	Records management work programme has resulted in over 1km hard copy records identified for secure disposal, saving space in Records Centres and Council offices. Network drives under review with data emerging on ownership, duplicates, and data with sensitive content, which means we can approach data owners directly to make decisions on their data regarding anonymisation or deletion, to reduce backlogs and facilitate implementation of Office 365. Email backlogs under review with the next step to address leaver data. New modular Protecting Information elearning launched to staff and elected members, aimed at 'drip-feeding' key messages throughout the year. Discussions with all Directors/SMTs about improving FOI compliance in the face of increasing numbers of requests. Devised a common methodology for assessing likelihood and severity of risks across data breaches, IT security incidents, Data Protection Impact Assessments, to bring more consistency. Data processing agreements and DPIAs embedded within procurement processes, and awareness raised of DPIAs, records management and IT Security at Go Digital days and cyber bus tour.	Medium	Medium	Yes - protection of privacy (Article 8 HRA), Duty to Document and protection of historic records to evidence public sector activities	Medium
<b>CRR 04 - All Directorates</b>	Climate Change	<p>Not being prepared for the impacts associated with climate change. For Caerphilly this will manifest as a more volatile weather pattern:</p> <ol style="list-style-type: none"> <li>More severe storms resulting in damage to trees and buildings.</li> <li>Increase in winter rainfall resulting in flooding, affecting people, property and infrastructure, including availability of outdoor sport pitches.</li> <li>Extreme Weather Conditions: Difficulty in modifying temperatures in some of our buildings (incl. Housing) could lead to increased financial burden, uncomfortable environment conditions (dangerous temperatures) affecting people's health, wellbeing and delivery/receipt of effective services.</li> <li>Changes in species including a decline in native species, changes in migration patterns and increases in alien and invasive species, including pests and disease.</li> <li>Reduction in summer rainfall resulting in reduced river flows and water availability.</li> <li>Increase in levels of extreme weather such as snow/ice which could potentially impact on not only the travelling public but the elderly/frail and those in fuel poverty.</li> <li>Grass fires.</li> <li>Vehicles being used by the authority are outdated and therefore consuming more fuel and producing higher levels of emissions.</li> <li>Extremities in foliage growth, and the reduction in both street/highways cleansing, and weed control, will have a direct impact on future maintenance and environmental damage controls, potentially leading to systematic failures and increased costs to the authority for response repairs (e.g. Footpaths; Highways; Gullies; Drainage; Cycle-ways) as well as public liabilities.</li> </ol>	<p>A Local Climate Impact Profile (LCLIP) has been prepared and links to other plans including Highways Winter Maintenance Plans, Business Continuity Plans &amp; Emergency Plans etc.</p> <p>Mitigation work being undertaken includes:</p> <ol style="list-style-type: none"> <li>A Tree Management Strategy and implementation of resources to manage tree stock.</li> <li>Assessing the condition of trees.</li> <li>Assessing the vulnerability of drainage infrastructure in excessive rainfall.</li> <li>Installing flood risk measures at priority vulnerable locations.</li> <li>Considering climate change in the Asset Management Programme.</li> <li>Street lighting options being considered to reduce Carbon emissions.</li> </ol>	<ol style="list-style-type: none"> <li>An additional Arboricultural Officer has been appointed to assist with programme of tree surveys undertaken to deliver the adopted Tree Management Strategy. Tree works being undertaken in accordance with survey recommendations.</li> <li>Local Flood Risk Management Strategy (Engineering) in place. Risca flood defences now completed. Sustainable Drainage Approval Body (SAB) implemented from 7th Jan 2019 to improve control and approval for drainage infrastructure on new developments. New Land Drainage Bye Laws now approved. Pitch drainage capital is being selectively spent at priority sites.</li> <li>Ongoing staff training is being delivered by the Corporate Energy Team Re: Energy Efficiencies/Carbon Management and Effects of Climate Change. Several projects have been delivered for solar PV installations to Corporate Building (e.g. Care Homes) and schools.</li> <li>Biodiversity Work: Supporting 'pollinators' projects including work with Sirhowy Valley Honey Bee Company.</li> <li>The Winter Service Plan 2018 (Highways) has been reviewed, updated, placed on the CCBC internet and effectively delivered to date.</li> <li>Our wider organisational response to extreme weather events were the subject of a de-</li> <li>A fleet contract (Managed Service Partnership) has been established to implement a replacement programme which is raising vehicle standards, improve fuel consumption and emissions, and reduce servicing, maintenance and breakdown demands (improve efficiencies). Trialling electric vehicles.</li> <li>Street lighting: Proposals approved for lamp replacement programme (LED) and part-night-lighting (a strategy being implemented over a two year phased approach).</li> </ol>	Medium	High	Yes - there is an impact to a 'Resilient Wales' by not proactively addressing the operational response to climate change. The contribution to global issues and a 'Globally Responsible Wales' is met through low carbon planning and sustainable development. There is a direct impact to Health also.	Medium



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<b>CRR 05 - Communities Directorate</b>	Community & Leisure:  Greenspace and Landscape Services	Ash die back ( <i>Chalara fraxinea</i> ) is the most significant disease to affect the UK tree population since dutch elm disease in the 1960's. The disease will result in the decline and death of the majority of ash trees in Britain. Unfortunately, many ash trees predominantly line our roadside verges, so the disease will affect high risk locations. In our borough, ~ 37,400 + ash trees could be affected by this, requiring substantial resource, logistics and environmental considerations/implications, such as: a) Thorough surveys (to identify needs/requirements) b) The formulation of a Removal Strategy c) Budgeting and Finance d) Considerable clean-up and disposals e) Wider environmental impact (contaminations/biodiversity/eco systems) f) Wider impacts on road sweeping and weed treatment. All of which, will ultimately lead to damage to the environment and its infrastructure and have an effect on the 'look and feel' of the county borough.	Initial action to include: 1. Interim CEO to discuss at G10 meeting of Gwent Chief Executives with a view to them lobbying WG for funding 2. Interim Director of Communities to raise with the WLGA so that they can lobby WG for funding. Followed by: 3. Write, approve and implement a Removal Strategy and 4. Secure appropriate Funding Streams to implement the Removal Strategy. 5. Source and secure wider partnership and collaborative arrangements to implement all necessary works. 6. Clarify known 'hot-spots' for initialising works, to control and manage any associated public risks/disruptions.	It is already known that this will require a substantial cost implication due to the logistics and labour intense nature of addressing such matters.  Considered the content and guidance as available from The <b>Tree Council publication: ASH DIEBACK: an Action Plan Toolkit First published February 2019</b>  Recently published research by the University of Oxford, Fera Science, the Sylva Foundation and the Woodland Trust calculated that this disease will have a significant cost impact across the country, due to the significantly high levels of mortality rates to the tree species affected (75%+).	High	High	Level unknown at present	Unknown
<b>CRR 06 - Communities Directorate</b>	Regeneration & Planning:  Local Development Plan	The Adopted LDP is due to expire on 31/12/21. The Replacement LDP was well advanced, however, the Council withdrew that plan in July 2016 following local opposition to a number of development sites contained within the Plan. The Council has resolved to progress the preparation of a Strategic Development Plan and a new LDP in parallel. The adopted LDP allocates land for the development of 8625 houses to be built over a 15 year period. The annual Joint Housing Land Availability Study indicates that many of the allocated sites are not available or viable within the required 5 year period, and there is therefore a shortfall of housing land. Housing developers will therefore submit applications to develop land that is not allocated in the LDP. The Council will consider the applications, but the lack of a five-year housing land supply will be a material planning consideration which could outweigh other policies in the plan. A refusal of planning permission may lead to an increase in appeals and award of costs if the Council is considered to have behaved unreasonably, e.g. where a reason for refusal is not based on any sound evidence.	The Adopted LDP remains in force until 2021. In the interim, officers are working closely with Welsh Government officials to agree the appropriate footprint for strategic planning for the Cardiff Capital Region. On 29th January 2018 the Cardiff Capital Region Cabinet agreed that work should commence on a Strategic Development Plan (SDP) for the area. A formal report was considered by the Cabinet on the 10th June 2019 which determined the timeline for reporting this matter to all ten Councils. Caerphilly Council considered this matter in October 2019 and resolved to commence work on the SDP.	Chief Planning Officers and Planning Policy lead officers have met monthly as a Project Group to progress various work streams necessary to establish the project in advance of the formal commencement of plan preparation. It is unlikely that the 5 year land supply can be addressed in the short term. In the medium to long term a replacement plan will increase the land supply position. A number of significant applications have been submitted and approved by Welsh Government on appeal. Resulting in significant cost to the authority. Having regard to the number of potential future developments there are concerns that existing infrastructure such as transport, schools, and other services is inadequate. Due to the number of impending developments being agreed by the WG Planning Inspector we have moved this into a high risk category.  Funding identified and approved for SDP.	High	High	Yes, the lack of an LDP threatens the timely delivery of land for development, particularly housing, making it more difficult to achieve the goal of prosperity.	Medium
<b>CRR 07 - Education &amp; Lifelong Learning Directorate</b>	School Attainment	1. Attainment levels are still below the Welsh average, below local Authorities with a similar Free School Meal population. 2. There is a gap between the attainment of Free School Meals pupils and Non-Free School Meals pupils which must be addressed. 3. Higher than expected rates of exclusion will impact on pupil attainment.	1. Standards of attainment are monitored and reported to the Senior Management Team (SMT) / Corporate Management Team (CMT) / Scrutiny Committee, through an annual programme of reporting described in the Directorate Plan Handbook. 2. Through the newly revised Sharing Ambitions document, the LA will continue to work closely with the EAS to ensure that schools are challenged and supported effectively. 3. Schools most at risk of underperformance will be monitored through the regional Schools Causing Concern process. 4. Where schools fail to make the expected progress at the expected rate, in consultation with the EAS, the LA will consider the use of statutory powers.	The unverified data for KS4 indicates an improving trend across the range of Legacy Indicators and newly implemented interim measures. There is a downward trend in the majority of indicators for exclusions.	High	High	Yes, this limits contribution to 'Prosperous and More Equal Wales'. Standards of attainment and gaps in inequality can result in a low skilled, low paid workforce, and higher levels of unemployment leading to poverty. Over the long-term (25 years) in the life of a young child to adult the potential outcome of the attainment gap makes this a high risk. This is a long term risk	High
<b>CRR 08 - Social Services &amp; Housing Directorate</b>	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.	• 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 and Authority. • Introduction of RISSA from 01.04.18 could have significant implications for recruitment and retention of staff.	Fee levels for 2017/18 agreed at 3.1%. This was funded via a mix of core funding and CCBC's element of the Social Care Workforce grant paid by Welsh Government. A further element of workforce funding has recently been released by WG. Discussions are ongoing with commissioned providers to determine how these monies should be allocated. Fee levels for 18/19 agreed at 2%	No change in risk level. 2018/19 fees agreed. Further concerns with regard to stability. Largest provider of domiciliary care in the UK in financial difficulty, this resulted in us cancelling our contract with them and moving to a new provider to ensure service maintained and resources are not only in large providers Further representations from Providers in relation to fee levels. Debates at a national level re sustainability of funding levels. One Nursing home has closed within the borough and 2 further homes have now been identified as services of concern.	High	High	Yes - reducing help that can be provided for the most vulnerable in our society will affect our ability to contribute to a 'Healthier Wales' which requires peoples mental and physical well-being to be maximised. Whilst this may be a medium risk operationally from a FGA perspective this would be high as it directly affects those most in need.	High (Medium-term)



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CRR 09 - Social Services & Housing Directorate	WAO Corporate Safeguarding Review	WAO Review identified a number of areas for improvement that need to be addressed across the whole Council.	Corporate Safeguarding Board will meet quarterly to monitor an Action Plan to address the recommendations that has been developed by the Designated Safeguarding Officers in each Service area. Review and Action Plan to be presented to Cabinet and Scrutiny Committees.	Action Plan developed and dates for Cabinet and Scrutiny have been set.	Medium	Medium	Yes	Medium
CRR 10 - Social Services & Housing Directorate	Welsh Housing Quality Standard (WHQS) programme	Failure to meet WHQS for all our social housing stock by 2020. 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).	<p>The WHQS programme has its own specific risk register which is reviewed and updated by the Project Board quarterly.</p> <p>The highest risks are:</p> <ul style="list-style-type: none"> <li>Failure to achieve programme objectives - the probability level has increased due to one of the main internal works contractors having ceased trading and another (Vinci) terminating their contract early. Arrangements were made to initiate internal work via the DPS to achieve WHQS by 2020. There is still a risk in relation to the external works, however significant improvements in performance have been made. Contingency arrangements have been implemented as identified below.</li> <li>Contract arrangements for the south of the borough have been put in place for the external works and this is operating well. Originally the Dynamic Purchasing System (DPS) arrangement was introduced to provide an opportunity to undertake both internal and external works around the authority as a further contingency measure. As a result of two of the main internal works contractors ending their contracts, alternative arrangements have been implemented whereby the in-house workforce will pick up the majority of this workload by moving resources from other contract areas. This includes a recent transfer of contracts from the DPS of approximately 150 properties to ensure continuity of our in house workforce and to take advantage of the better performance and tenants satisfaction levels that are being experienced via our in house workforce. This has been reflected in a which was made available to members and tenants in April 2019. Monthly Project Board meetings will continue to be held to monitor ongoing performance and to assist with the decision making process. The completion date for full compliance is currently projecting June 2020 which is still within our target date.</li> </ul>	<p>The programme is now constantly being reviewed and more work undertaken in-house to provide us with a level of certainty and control as we move towards the final stages of the programme. There are some concerns in relation to contracts which include leasehold properties as these are incurring significant delays due to the need to follow legal consultation processes and subsequent challenges from leaseholders. This situation is currently being closely monitored and has been raised with WG who advise that other authorities have encountered similar problems. A significant percentage of work to the sheltered housing schemes is being undertaken by the in-house workforce. The programme is progressing with works on track to be completed by the 2020 deadline, however due to work content and asbestos issues, three schemes will require full decants which may delay completion until post 2020, but discussions with WG indicate that these can be categorised as acceptable fails. Performance levels for Qtr 2 are:- Internal compliance 91%, external compliance 83%, overall compliance 71%. Latest projections have confirmed the initial target date set internally of March 2020 should be slightly extended to June 2020 to allow for the issues experienced by contractors to be addressed.</p> <p>Furthermore information is constantly being gathered as part of a rigorous validation process which has put us in a much better position to project our completion date. The validation team will continue to challenge and closely monitor performance on a weekly basis for both internal and external aspects of the programme until its completion. The WG deadline therefore remains achievable.</p> <p>Projected expenditure against the budget has been reduced from £56m to £45m for this year, as some work will now be undertaken between April and June 2020. This information has been projected forward and used to review our delivery programme up to 2020, which demonstrates that this is still deliverable within the timescales and remains affordable at £260m, although borrowing of £15m will be required for the 2019/20 programme. £7.3m is available from WG as a contribution to the programme in the form of a MRA (Major Repairs Allowance) grant, which will be fully claimed by the end of Qtr 2. While there are risks that require appropriate mitigation measures there is an increased momentum and more confidence about the 2020 deadline which has been supported by the recent WAO review. Current borrowing projections indicate that £57m is required to finalise the programme which is below the level of borrowing approved by Full Council.</p>	Medium	Medium	Yes	Medium

**ICLIP Key:**  
**Involving** a diversity of the population in the decisions that affect them;  
**Working with others** in a **collaborative** way to find shared sustainable solutions;  
**Looking to the long term** so that we do not compromise the ability of future generations to meet their own needs;  
**Taking an integrated** approach so that public bodies look at all the well-being goals in deciding on their well-being objectives;  
**Understanding the root causes** of issues to **prevent** them from occurring.





