

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 2014-15 (Feb 2015)	Current Risk Level 2014-15 (Mar 2015)	Current Risk Level 2014-15 (Apr 2015)	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. 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	High	As detailed in the mitigation actions.	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 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	Medium	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. 	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	Medium	Medium	Medium	Progress report presented to Audit Committee	Corporate Management Team
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. 4. Changing regulatory regimes affecting the type of materials that can be counted in the recycling PI resulting in possible non-compliance with targets.	1. Development of effective waste transfer facility. 2. Development of effective interim organics procurement strategy to cope with delays in main collaborative process. 3. Alternative strategies to ensure that recyclable tonnages "lost" from the PI calculation are mitigated against where possible by improving performance in other areas and where this is not possible, ensuring that WG are advised in advance of the likely impact on target achievement.	1. Yes. 2. Possibly. 3. Yes	High	High	High	1. Waste transfer station planning application submitted but not yet considered by planning committee 2. Interim organics contract now finalised but 2nd Heads of Valleys contract procurement yet to commence. 3. Council report to be prepared and considered by March meeting of full council on collection of recyclables.	Acting Deputy Chief Executive / Head of Community and Leisure Services

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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.	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	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	Medium	Medium	Medium	Letter from Minister questioning our Education Plan for surplus places.	Acting Deputy Chief Executive
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	Low	Memorandum of understanding agreed.	Acting Director of Corporate Services
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.	Low	Low	Low	Corporate Governance improvements being publicly recognised. (Risk now low following Corporate Services SMT on 2nd December 2014)	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 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.	Interim Chief Executive

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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	Medium	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. 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.	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	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	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. (This has now been implemented)	Acting Director of Corporate Services
CMT 36	Property Services - Asset Rationalisation (MTFP)	The MTFP has identified the rationalisation of council owned buildings as a contributor to making future revenue budget savings. The identification of buildings not fit for purpose, under-utilised or poorly performing and any that are surplus to requirements is important to further discussion/agreement on developing a disposal strategy	Failure to develop a strategy will lead to a reactive approach rather than planned that will make it extremely difficult to properly plan and realise the cost saving required under the MTFP	Develop lists (top 20 & 50) of candidate properties. Change culture from "does anybody want this surplus property" to "why cannot we dispose of this surplus property". Continue to stress the cost of providing office accommodation and looking at ways of reducing these costs. Ensure that the data collected for each property is current and accurate. Maximise the use of property.			Medium	Medium	The risk has been added following discussion at Corporate Services SMT; 10th March 2014	Acting Director of Corporate Services

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CMT 37	Dry Recyclable Waste Collection	There has been a substantial change in the recycling MRF Market which has resulted in the MRF Industry becoming very selective in the materials they are prepared to receive. The result has been no formal contract with any single MRF provider to treat the Authority's recyclables. Consideration therefore needs to be given to making changes to the recycling collection service to improve quality, reduce contamination levels and improve marketability of the material(s).	Significant issues experienced in attempting to secure a contractor to deal with dry recycling which will impact on the ability to achieve statutory recycling targets and could result in fines being levied against the Authority. There is difficulty in ensuring that residents provide materials of a suitable quality that is acceptable to MRF Contractors.	Currently working with WG to try and develop a solution that will overcome the problems identified. This will involve an intensive communications campaign, and may involve the installation of a picking/sort line at the Full Moon WTS and a potential change in collection method during 2015/16.	Yes- likely to require investment in payments to MRF Contractors, funding possible service changes and installation of the picking-sort line.		High	High	The risk has been added following discussion at Corporate Services SMT; 10th March 2014	Acting Deputy Chief Executive / Head of Community and Leisure Services