Ref No.	Description of Risk In	nherent Risk Score	Current Controls	Residual Risk Score		Proposed further controls to mitigate / reduce risk	Direction of Travel	Risk Owner	Progress since last update
CRR1	Failure to plan for and transform services in the medium / long term in light of current public sector funding outlook will lead to significant reactive and unplanned reductions in front line services	GHIGH	Budgets firmly aligned with Council priorities Service prioritisation and planning Medium Term Financial Strategy regularly reviewed and updated to reflect known and emerging pressures Impact of new and existing burdens / budget pressures being continually assessed Risks associated with potential budget reductions evaluated prior to implementation Budget monitoring refined and forecasting introduced into financial monitoring reports. Transforming Blaenau Gwent programme. Lets Talk' public engagement events held annually to ascertain public opinion on savings proposals. Regular review of reserves	3	4	Implement relevant opportunities for savings and service improvement to address current and emerging cost pressures and underperformance (Strategic review, internal service reviews)     Consideration of collaborative opportunities on local regional and national level to support financial resilience     Development of replenishment plan for returning general reserves to 4% target.	<b>↑</b>	S Gillingham Operational Risk Owners S Gillingham / D McAuliffe	Resources DMT April 2017 (quarter 4) The 2017/18 revenue settlement presented the Council with a challenge in setting a budget for 2017/18 financial year. Despite a higher settlement than that planned for within the MTFS and current budget strategy the level of cost pressures that the Authority is facing made the budget setting process extremely challenging. Funding of cost pressures from reserves has resulted in the forecast level of reserves falling below the target level (4%) with reserves at the end of 2017 2018 forecasted at 2.64%. The Medium Term Financial Strategy will need to include a plan to address this situation.  Development of replenishment plan underway.  Corporate Services & Strategy DMT April 2017 (quarter 4). Heads of service have been asked to formulate ideas for savings for 18 19 by June 2017 based on targets. Strategic corporate plan developed which will include a strategic transformation plan  Agreed that this risk should be re-scored to critical as there are no major transformational projects currently identified for 2018 2019 onwards in order to mitigate this risk.
CRR2	The ICT provision supporting Council services is not resilient and fails to provide assurance requirements in terms of operational functionality and data security. Medium to long terms loss of IT systems	3 4 <b>CH</b>	Daily backups completed, copies kept on another site.     Market leading national software providers.     Maintenance contracts & agreements in place covering IT infrastructure.     Investment identified to improve the Council's resilience. ICT budget-security of the infrastructure and security is prioritised, when any ICT spending is required     DR back up in place at the General Offices & Merthyr Tydfil CBC.     BG now a partner in the SRS	2	4 "9"	Disaster Recovery needs to be tested as the risk of critical downtime still high. Small scale disaster recovery was included as part of core system upgrade.     Delivery of the agreed service from SRS will be monitored on a regular basis.     Regular performance reports on the SRS partnership to Scrutiny	<b>+ +</b>	D McAuliffe Operational risk owner L Squire	Resources DMT April 2017 (quarter 4).  A business continuity collaborative project with the SRS will be reported to the strategic board April 2017. The SRS will lead on the project, supported by BCI qualified officers from BGCBC, NCC and MCC. The aim is to ensure the SRS have robust business continuity arrangements in place, give consideration to disaster recovery arrangements and ensure these are linked to the BCM requirements of each organisation. This links in with CRRS Business Continuity.
CRRS	Business Continuity, Large scale incident, Joss affecting the delivery of services. Risk that Business continuity processes are not robust enough to enable the provision of key services in an emergency	Hg)	Training programme underway for all service managers / heads of service Business Continuity advice and guidance available to all service managers through Civic Contingencies Team.	3	3	Further workshops for completion of Business Impact Assessments     Report to DMTs and CMT on critical services     Implementation of on-line system for business continuity plans and impact assessments     Development of Corporate BCM Plan     Further training on business continuity strategies     Many urgent services to develop service area BC Plans     Review of BCM Strategy (3 yearly review)     Development of BC plans for Corporate Buildings	<del>+</del>	D McAuliffe Operational Risk Owner D Griffiths	Resources DMT April 2017 (quarter 4).  Civil Contingencies Team are no longer able to provide individual assistance for service areas in updating Business Impact Analyses (within service area business plans), developing service recovery options, strategies and arrangements or developing service business continuity plans due to staffing reductions.  • Service business continuity plans will be assessed and interdependencies considered. The aim of this work is to ensure those services higher priority service areas are dependent upon also have arrangements in place to restore their service to an acceptable level.  • A further gap analysis will be undertaken in May, and submitted to each DMT.  • Each Head of Service will be provided with a range of scenarios to undertake a table top exercise to test that their service BCM plans are fit for purpose. This information needs to then be reported to the Civil Contingencies Team.  • As within the BCM Policy, each Head of Service needs to ensure their BCM plans are signed off at Directorate Management Team.  • A collaborative project with the SRS will be reported to the strategic board April 2017. The SRS will lead on the project, supported by BCI qualified officers from BGCBC, NCC and MCC. The aim is to ensure the SRS have robust business continuity arrangements in place, give consideration to disaster recovery arrangements and ensure these are linked to the BCM requirements of each organisation.  • Detailed work undertaken with most P1-P4 services  • 28 services with P1-P4 activities (resume within 24 hours):  # 22 - draft plans  # 6 - still require plans  # 33 services with P1-P4 activities (resume within 5 days):  # 24 - draft plans  # 9 - still require plans

Ref No.	Description of Risk	Inherent Risk Score	Current Controls		idual Risk Score	Proposed further controls to mitigate / reduce risk	Direction of Travel	Risk Owner	Progress since last update
CRRG	If the Council does not have the appropriate capacity and capability in the workforce, then its service specification will not be delivered effectively.	3 4 Critical	A raft of HR support and guidance documents / policies these set clear guidance and boundaries for managers enabling them to manage human resources. There is a programme in place to review and update policies Self Assessment and business planning processes in place – this sets the priorities for the service in line with Council and Directorate priorities Structured process for consultation with staff, includes a Consultation and Engagement Framework for Trade Unions and a communication framework for staff which includes the CEO newsletter, Team meetings, briefing sessions, intranet etc. OD Strategy in place and delivery plan for year 1 and 2 delivered. Review underway in line with Future Generations Act HR profiles developed and punished quarterly for directorates, schools an council as a whole to enable workforce planning - this feeds into the business planning and SE process. Leadership programme targeted at middle management completed over last two years. Established a mature process for performance management and review for senior managers.	3	3 190	A planned approach currently being developed for a HR strategy will set out the strategic priorities for development of HR service and support to the Council Embedding workforce planning into business planning, will enable managers to plan their workforce in line with Council priorities and give consideration and planning for capacity and capability. Improving workforce planning data and analysis to provide an organisation view and linked to changing services design - again ensuring the Council has capacity and capability to deliver alternate service delivery models Review of Organisational Development Strategy and capacity in corporate Organisational Development	<del>+</del> <del>+</del>	S Gillingham Operational risk owner A. Prosser	Corporate Services & Strategy April 2017 (quarter 4)  OD Strategy Delivery Plan 75% of actions delivered. Capacity issues have impacted on policy review and development.  Capacity issues in Corporate OD - 118% increase over last 3 years in disciplinary cases. 87% increase in grievance cases. Significant increase in use of settlement arrangements and one extra day per employee sickness. This capacity has a knock on effect to management capacity.  There has been a technical issue with the ITrent system which has delayed the implementation of manager self service model.
CRR7	Failure to deliver improvements in educational attainment (particularly at Key Stage 4) will result in an adverse impact on outcomes and life chances for children and young people	3 4 CHE	EAS SLA to deliver the statutory school improvement functions of challenge, monitor, support and intervention on behalf of LA to schools Schools Challenge Cymru advisor support, challenge and additional financial resource     LA /EAS Education Improvement Boards (EIB), Accelerated Improvement Boards (AIB), intervention panels in place to monitor and hold to account     Termly reporting of progress against targets     Corporate Director of Education half termly QA meetings with EAS to effectively hold EAS Challenge Advisors to account     Wilder core group meetings to scrutinise support plans for identified schools     Use of Warning Notices to improve     Greater clarity of roles and responsibilities regarding pupil outcomes level 2+ i.e. Iocal authority, EAS, Schools.     Greater scrutiny by HOS for School Improvement of individual pupil level, Challenge Cymru and the schools     Enhanced self evaluation panel established     Termly ESTYN LAL (Local Authority Link Inspector) meetings     Pupil Tracking folder established. Comprehensive database of relevant performance information.	2	4 (2)	Creation of a common vision for Blaenau Gwent which will support the ongoing development of education in Blaenau Gwent and ensure that schools are positioned appropriately to make best use of the support of other schools enhancing their capacity to create resilience and sustainability.  4 strategic outcomes - strong LAESCYP self-evaluation processes, A clear Vision for Education, Effective processes to hold the EAS to account for commissioned school improvement work, Effective, efficient and economical high quality provision for all learners, including vulnerable learners.  • Development and implementation of wellbeing strategy and data pack	<del>+</del> <del>+</del>	L. Jones	Quarter 4 update Education DMT 27th April 2017 The vision was signed off by full Council in March 2017. This will look to create the autonomous, self-improving school system which will ensure that sustained progress continues into the future. Extensive engagement on the draft vision has been undertaken with stakeholders.  The draft vision booklet has been co-constructed with Head Teachers detailing the statement and core principles.  Progress reported on the four strategic aims termly in the directorate business plan  Self Evaluation Report plan updated termly which effectively informs business service and team plans  Task and finish group established to co - construct approach to wellbeing.
CRR14	Failure to improve attendance rates within the Council will lead to an unacceptable impact on the ability of the Council to deliver services effectively and financially support the cost of sickness absence.	2 4 145	Corporate Absence Management task Group Included in the Council's PMIF Attendance Management Policy reviewed 2016 Manager guidelines to supplement the Policy - management guidance on managing stress introduced 2016 Change management training has been provided to managers 'Coping with Change and Building Resilience' training is offered to staff Annual review of attendance management report to CMT and Scrutiny Reports to CMT and Scrutiny Active involvement in the all Wales HRD network	2	4 69	Annual report reviewing and recommending improvements to affect attendance management - report to CMT August 2016 and Scrutiny September 2016     The Organisational Development Division supporting line managers in effectively managing absence cases     Stress Management toolkit developed for managerial use	<b>←</b> →	S Gillingham Operational Risk Owner A Prosser	Corporate Services & Strategy April 2017 (quarter 4)  Report with recommendations to CMT/Corporate Overview reviewing attendance management. This report is currently on hold and waiting to go to Executive  Workforce Wellbeing have given notice of termination at the end of May 2017 - tendering process planned  Progress update from Lynette Jones  * Task and Finish Group under chair Lynette Jones meeting regularly – action plan produced (approved by Audit March 17) to address 'No Assurance' Audit Report  * 2. reports to CMT produced and approval given to progress action plan  * 2.2 service managers completed questionnaire to devise the function matrix to improve recording, reporting and monitoring of sickness absence  * Completed function matrix shared via Report to WCMT (020517) and next steps identified  * Aim to implement new approach by end of June 17 to overlay with MER and accountability framework by end of July 1

Ref No.	Description of Risk	Inherent Ri Score	sk Current Controls	Residual Risk Score		Proposed further controls to mitigate / reduce risk	Direction of Travel	Risk Owner	Progress since last update
CRR15	If the Council cannot further improve /increase recycling rates then it will fail to meet national waste targets resulting in financial penalties from the Welsh Government	3 4	WG blueprint for waste being followed     Project Management arrangements in place     Marketing and communications programme in place     Modelling completed (funded via WG) to identify measures which can     contribute towards the achievement of future targets     Participation monitoring completed - used to determine areas of low     participation     Identified a reserve budget as a contingency of £600,000     Calculations projected on future performance to inform plans     Operational action plan is in place to review performance	3	4 Critical	Regular Meetings to be held with Welsh Government to discuss opportunities of increasing the recycling performance. Strong enforcement using S46 for residents not recycling. Reduction of Black Bag Waste into the Household waste Recycling Centres New programme of participation monitoring and engagement to be put in place Marketing programme to focus communications on areas of low participation Stong Term business Plan being developed which will incorporate the service proposals identified alongside the waste flow modelling completed in 2016/17	<del>+</del> <del>+</del>	R. Crook Operational Risk Owners Matthew Perry / Neil Hughes	Environment Quarter 4 April 2017 The Council recently received confirmation that it will not be required to pay the fine for failing to achieve the target in 2015/16. The Projected outrum is more favourable than expected for 2016/17 and we are now expecting to achieve 57% for 16/17, this means that the Council is not expecting to achieve the target of 58%. Whilst significant improvement has been made, there is a risk that Welsh Government will seek to impose the fines for this year. Final performance results are not expected to be verified until the Summer / Autumn of 2017. Improvements within the overall performance have been as a result of the service becoming more established, marketing and communications and also the sourcing of new material markets.  The Towards Zero Waste Strategy Wales aims to recycle at least 70 per cent of our waste by 2025 and to be a zero waste nation by 2050. In 2019/20, the Council must improve performance even further and achieve a higher target of 64%.
CRR16	Failure to comply with the requirements of the Welsh Language Act and implement the associated Welsh Language Standards.	3 4	Appeal response to be submitted to WG. Options for interin welsh translation service proposed Funding provision of £50k for Welsh Language requirements in 2017-18 Fixed Term support Officer in place with language skills and expertise Submitted a number of challenge applications to the Welsh Language Commissioners Office on the standards duties New policies, procedures and guidelines for staff have been implemented	2	4 High	Opportunities are being initially explored with Torfaen Council to share expertise/skills to provide a level of resilience but these discussion are very initial at this stage. Consultation on welsh language bill being undertaken by WG, outcome unknown. Potential regional / national translation procedures identified  WESP (Welsh Education Statutory Plan) is being developed and to be endorsed by 2017. This intrinsically supports the welsh language promotion strategy.	<b>←</b> →	S Gillingham Operational Risk Owner B Elias	Corporate Services & Strategy April 2017 (quarter 4) Welsh Language Support Officer is in post however this is only a fixed term post.  The draft 2017-2022 Welsh Language Promotion Strategy has been agreed by Council.  Welsh Language Preference Project is underway.  Challenge to standard 41 (democratic arrangements) has been submitted hoverer we are currently compliant on some aspects of standard 41 and work towards full compliance continues. The outcome from challenge process from commissioner is not yet known.
CRR 18	Failure to comply and meet with the new legislative changes under Deprivation of Liberty Safeguards (Dols) following Supreme Court Judgement will result in a failure to meet statutory obligations under the Mental Capacity Act. 2005	3 3	The Joint Gwent Deprivation of Liberty Safeguarding (IOLIs) Team covering the 5 local authorities and Aneurin Bevan University Health Board undertake Best Interest Assessments to determine whether a DOLS exists within a care home, nursing home, hospital or in a person's own home.  All partner organisations have seconded a member staff into the Gwer DOLS team to meet the demand and backlogs.  Welsh Government have provided additional funding allowing the Employment of 2 new Best interest Assessors within the Gwent DOLS team.  Implemented a screening tool in order prioritise those at greatest risk. This tool has since been agreed to be used across Wales.  Following local best interest assessment training at least one deprivation of liberty safeguard will be completed per month for the DOLS Team.  "Up skilling" of staff on the ground so that operational staff are more aware of the requirements.	t t	High	Following local best interest assessment training at least one deprivation of liberty safeguard will be completed per month for the DOLS Team  Identified greater understanding of Best Interest training for staff. The increase of training and awareness for staff is ongoing. Team Managers are currently evaluating which frontline staff have completed the initial training, who requires refresher training so that training can be prioritised with the Work Force Development Team.  Further training around best interest to be completed for wider staff. The completion of training is reviewed by the Adult Services DMT on an quarterly basis and is part of an ongoing rolling programme of training with Work Force Development Team attends Social Services DMT to update on progress of the training and provides stats on those staff who have completed the training.  Impact of increase in demand on social work capacity to be assessed. The impact of having to prioritise other types of referrals to ensure that the Council meets statutory requirements.	<b>←</b> →	D McCann Operational risk owner A Hoskins	Quarter 4 - April 2017 Social Services SMT Training and awareness for staff is ongoing. Team Managers are currently evaluating which frontline staff have completed the initial training and who requires refresher training so that training can be prioritised with the Work Force Development Team. Training is reviewed by the Adult Services DMT on an quarterly basis and is part of an ongoing rolling programme of training with Work Force Development Team team providing support.  Additional funding has been secured from Welsh Government for DOLS using the Intermediate Care Fund, (ICF). There has been a recognition corporately that the Social Services Department face a cost pressure of £40k as a result of the secondment of a staff member to the DOLS team and therefore the cost pressure is being funded.  An annual progress report from the DOLS team for the year 2016 / 2017 will be available in May / June 2017. This will be compared with the 15/16 data and the risk assessment will be updated with the additional information.