

Ref No.	Description of Risk	Inherent 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	3	4	Critical	3	4	Critical	↑	S Gillingham Operational Risk Owners S Gillingham / D McAuliffe	<p><b>Resources DMT April 2017 (quarter 4)</b></p> <p>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 MTF5 and current budget strategy the level of cost pressures that the Authority is facing made the budget setting process extremely challenging.</p> <p>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.</p> <p>Development of replenishment plan underway.</p> <p><b>Corporate Services &amp; Strategy DMT April 2017 (quarter 4)</b></p> <p>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</p> <p>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.</p>
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	Critical	2	4	High	↔	D McAuliffe Operational risk owner L Squire	<p><b>Resources DMT April 2017 (quarter 4)</b></p> <p>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 CRR5 Business Continuity.</p>
CRR5	Business Continuity. Large scale incident / loss affecting the delivery of services. Risk that Business continuity processes are not robust enough to enable the provision of key services in an emergency	3	3	High	3	3	High	↔	D McAuliffe Operational Risk Owner D Griffiths	<p><b>Resources DMT April 2017 (quarter 4)</b></p> <p>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.</p> <p>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.</p> <p>A further gap analysis will be undertaken in May, and submitted to each DMT.</p> <p>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.</p> <p>As within the BCM Policy, each Head of Service needs to ensure their BCM plans are signed off at Directorate Management Team.</p> <p>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.</p> <ul style="list-style-type: none"> <li>Detailed work undertaken with most P1 - P4 services</li> <li>28 services with P1+P2 activities (resume within 24 hours): <ul style="list-style-type: none"> <li># 22 - draft plans</li> <li># 6 - still require plans</li> </ul> </li> <li>33 services with P1-P4 activities (resume within 5 days): <ul style="list-style-type: none"> <li># 24 - draft plans</li> <li># 9 - still require plans</li> </ul> </li> </ul>

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CRR6	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	3 3	High	← →	S Gillingham  Operational risk owner  A. Prosser	<p><b>Corporate Services &amp; Strategy April 2017 (quarter 4)</b> OD Strategy Delivery Plan 75% of actions delivered. Capacity issues have impacted on policy review and development.</p> <p>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.</p> <p>There has been a technical issue with the iTrent system which has delayed the implementation of manager self service model.</p>
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	Critical	2 4	High	← →	L. Jones	<p><b>Quarter 4 update Education DMT 27th April 2017</b> 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.</p> <p>The draft vision booklet has been co-constructed with Head Teachers detailing the statement and core principles.</p> <p>Progress reported on the four strategic aims termly in the directorate business plan</p> <p>Self Evaluation Report plan updated termly which effectively informs business service and team plans</p> <p>Task and finish group established to co - construct approach to wellbeing.</p>
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	High	2 4	High	← →	S Gillingham  Operational Risk Owner  A Prosser	<p><b>Corporate Services &amp; Strategy April 2017 (quarter 4)</b> Report with recommendations to CMT/Corporate Overview reviewing attendance management. This report is currently on hold and waiting to go to Executive</p> <p>Workforce Wellbeing have given notice of termination at the end of May 2017 - tendering process planned</p> <p><b>Progress update from Lynette Jones</b></p> <ul style="list-style-type: none"> <li>Task and Finish Group under chair Lynette Jones meeting regularly – action plan produced (approved by Audit March 17) to address 'No Assurance' Audit Report</li> <li>2 reports to CMT produced and approval given to progress action plan</li> <li>22 service managers completed questionnaire to devise the function matrix to improve recording, reporting and monitoring of sickness absence</li> <li>Completed function matrix shared via Report to WCMT (020517) and next steps identified</li> <li>Aim to implement new approach by end of June 17 to overlay with MER and accountability framework by end of July 1</li> </ul>

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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	Critical	3	4	Critical	← →	R. Crook  Operational Risk Owners Matthew Perry / Neil Hughes	<b>Environment Quarter 4 April 2017</b> 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 outcome 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	Critical	2	4	High	← →	S Gillingham  Operational Risk Owner B Elias	<b>Corporate Services &amp; Strategy April 2017 (quarter 4)</b> 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 however 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.
CRR18	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	High	3	3	High	← →	D McCann  Operational risk owner A Hoskins	<b>Quarter 4 - April 2017 Social Services SMT</b> 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 a 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.