

Caerphilly CBC Corporate Risk Register Oct 23

Appendix A

Risk ID & Regulator	Date added to Register	Risk Name	Risk Description	CMT Lead Officer	Last Quarter Risk Level	Current Risk Level	Planned Mitigations and Progress	Does the risk affect the Well-being of our Communities?	Well-being Risk Level
					Q2 2023/24	Q3 2023/24			
CRR-17	Q1 22/23	Impact of cost of living (inflationary) increases on our communities	The price increases in household energy bills combined with higher costs for food shopping and the price of fuel have created significant challenges for many residents, especially those already in need. The cost of living increase is likely to lead to additional demand being placed on council services as families affected seek our help. Difficulties in this area will continue throughout the winter and in to 2024.	DS	High	High	<ul style="list-style-type: none"> • CoL strategic working group established and meeting monthly and Operational group meeting fortnightly to ensure CoL crisis at forefront of planning and decision making • CoL web page will be continuously refreshed • Cost of Living team in Housing Rents now providing additional services for residents for income maximisation, welfare benefits, support and energy advice • Welcoming Spaces at 55 venues across CCBC offering warm place, food, activities, social opportunities for those unable to heat their homes effectively • Warm Packs purchased and issued to vulnerable residents via staff, partners and via Welcoming Spaces and community groups • Hardship Fund established to provide additional financial assistance for those not eligible for other grants. • Energy grant scheme developed to provide grants for installation of energy efficiency option (inc boilers, windows etc) for households. • Additional small scale measures including mobile phones, hygiene packs available for those in need • Ongoing additional funding and support to be made available to Food Poverty network (e.g. Foodbanks, fareshare schemes) throughout 22/23 to ensure adequate capacity to provide support to those at risk of food poverty (supported by initiatives including Cooking Champions to provide cooking skills & slow cookers etc) • Fuel, energy and food prices continue to be monitored 	Yes - cost of living increases have the potential to affect those in our communities who are already most in need.	High
CRR-08	17/18	Pressures on social care	Social Care capacity is an ongoing problem for the authority. The ability to recruit and retain care staff, in the face of significant competition from the retail and hospitality sectors is becoming more and more of an issue. As a consequence independent providers are handing back packages of care and the future of some care homes is in the balance.	DS	High	High	<ul style="list-style-type: none"> • Significant uplift in fees for 2023/24 for independent sector but feedback indicating this is insufficient for some providers • Commitment to external review of fee structures • Participation in work re standard fee methodologies at Regional Partnership Board level • Continue to open new in house residential homes for children • Capacity/fragility issues flagged up at a regional level via RPB and associated strategic groups • Recent Domicillary Care provider failure resolved by bringing carers onto in-house payroll • Given the likely financial settlements for Local Government it is unlikely that fee levels for 2024/25 will meet Provider needs or expectations. 	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.	High
CRR-25	19/10/2023 New for Q3	Winter Pressures	Indications are that the pressures across the health and social care system in Wales are going to be significant and challenging throughout the remainder of the financial year. Pressures associate with hospital discharge are already very significant and will increase as the winter progresses. Pressures across the Health Services mean that people will not be able to be admitted to or discharged from hospital as quickly as needed. This will have a knock on effect on demand for social care services. We know that in the winter of 2022 that an average of 70 people were waiting for care services at any one time and all the evidence currently suggest this will be worse. An inability to recruit and retain carers means that capacity will be stretched across the public and private sector.	DS		High	<ul style="list-style-type: none"> • Budget pressures will mean that fee uplifts for 2023/24 are likely to be unable to be at the same levels as the cost pressures experienced by providers, see above. Routine mointoring and actions include; • Regular meetings between head of adult services and Aneurin Bevan University Health Board (ABUHB) • Waiting list figures now incorporated into Directorate Performance Assessment • Standard topic on Regional Partnership Agenda • Weekly info provided to WG • Attendance at ADSSC meeting with the Chief Social Care Officer for Wales • Continued recruitment campaign for carers • Lobbying of WG for funding for Provider fees. 	Yes people being unable to access care se4rvicesc means that patient flow from hospitals is adversely affected and there are people in their own home who are unsupported.	High

CRR-16	2021/22	Recruitment and Staffing Capacity	The Council needs to be able to employ sufficient numbers of staff across its services in order to ensure service delivery can be maintained. At present, there are challenges in recruiting replacement staff within certain Council professions that could, if not overcome, create difficulties over the medium to long term.	ED	High	High	<ul style="list-style-type: none"> Recruitment Team appointed and now actively supporting the organisation Recruitment webpages successfully launched and being refreshed with additional video content Specialist campaigns and resources have been designed and have successfully supported specific recruitment campaigns Council has purchased access to specialist social media recruitment solutions Improved benefits package established (includes 6 additional days leave) Leadership Capacity increased through successful appointment of Deputy Chief Executive, Deputy Section 151 Officer and ongoing appointment of Corporate Director Social Care & Housing Successful recent recruitment interventions in Digital, Social Care, Catering Performance metrics around new entrants, internal moves and exits being collated for ongoing review Migration of HR system to the Cloud provides comprehensive workforce data and intelligence around vacancies and the establishment Workforce Development Toolkit now in use and being applied more broadly across the organisation following a successful pilot Actions set out within the Management response to Audit Wales Springing Forward - Workforce Review are also being implemented 	Yes - Should the Council experience a loss of staff from a particular service coupled with an inability to recruit, there is a potential risk to service deliver which could impact the community albeit this is considered low at this point	Low
CRR 11	Q1 May 2020	Fleet	Providing a fully operational, compliant fleet of vehicles is essential for the Council to deliver all of its front line services. In this regard the Council holds a goods vehicle operators licence ("O licence") and must continue to demonstrate compliance with the conditions of the "O licence" and the legislative framework in which it exists. There is a current risk relating to the ability of the Council to staff its fleet management and maintenance service with suitably qualified and/or experienced staff and deliver the required level of management and maintenance standards.	MSW	High	High	<ul style="list-style-type: none"> A Fleet Transformation Project has been established to shape the future arrangements of the service An additional officer is undergoing the qualification required to be added to the Operators License Work continues with Recruitment to seek to increase staffing numbers directly and via Agency arrangements Residual workshop staffing capacity concentrating primarily on HGV Fleet maintenance Sub contractors being engaged for other work where the market is able to respond. Processes and procedures for vehicle safety and driver compliance are currently under review and will be revised if necessary Arrangements to transition from current managed service contract which ends in January 2024 form part of the Fleet Transformation Project Any vehicles leased through existing arrangement will need to be maintained by the Council through the lease period Councils use of short term or 'spot hires' to plug gaps in provision is also being considered as part of the Fleet Transformation Project 	Yes - Should the Council be unable to ensure sufficient HGV vehicle availability, there is a risk that some services will not be able to be provided to residents.	Medium
CR-18	Q2 Sept 2022	Ukraine War	The Ukraine War has displaced a significant number of Ukrainian Nationals and the UK Government, Welsh Government and Local Government is attempting to provide opportunities for resettlement. This will place significant additional pressures on Housing, Social Care, Education and wider support services at a time when resources are already stretched. Amendments to long standing allocation, admission and access policies may also be a requirement which could cause unintended consequences. The war has also impacted on certain supply chains increasing the lead times and delivery timeframes of certain goods.	CH	High	High	<ul style="list-style-type: none"> Council has invested in a temporary Resettlement Team to help manage the situation Regular meetings with Welsh Government and WLGA continue to understand impact Dialogue with Private Sector Landlords underway to identify vacant properties Grant applications submitted to WG to enable improvements to private sector stock Weekly Multi Disciplinary Team operating with key partners in attendance Support sessions held for Ukrainian refugees. Welsh Government super-sponsor scheme continues to drive capacity and planning challenges for Local Authorities Some easing of numbers/pressures at current time but position remains very volatile Update to Cabinet given 	Yes - pressure around housing and possible education and social care needs of Ukrainian refugees adds to challenges already being seen by over-stretched services.	High

CR-19 Linked to AW Waste and Recycling Review Reported to Scrutiny 31 Oct 23	22/23	Waste Strategy and Recycling Performance	All Councils are required to comply with Welsh Government Statutory Recycling Targets. The Council is not currently meeting its statutory targets and needs to drive an increase in performance to avoid potential fines.	MSW	High	High	<ul style="list-style-type: none"> Minister has agreed the Council's proposed route map which sets out the principles and timescales for achieving enhanced recycling performance and interventions Joint Scrutiny considered route map end of June 2023 Cabinet decision approving the route map taken in July 2023 Cross Party Member Working Group established to help shape key aspects of the emerging Strategy Behaviour change and communication campaign initiated New enforcement process for recycling contamination agreed at Cabinet October 2023 Draft waste strategy for political consideration Winter 2023 Public consultation early 2024 before approval of waste strategy Spring 2024 	Yes <ul style="list-style-type: none"> Achieving higher levels of re-use and recycling has a positive impact on reducing carbon emissions Failure to achieve future statutory recycling targets may lead to WG fines which are significant financially and reputationally. 	Medium
CRR-02 AW ongoing monitoring of Financial position in ARA 23/24. No output yet.	2018 - 2023 From MTFP to COL	Medium Term Finances - cost of living impact on organisation	The cost of living crisis is having a significant impact on the Council's financial position due to rising inflation, higher than expected pay awards, the increased costs of energy and supplies and the wider impact of cost of living on our residents.	SH	High	High	<ul style="list-style-type: none"> 2023/24 budget approved by Council 23/02/23 Total 2023/24 cost pressures of £55.5m funded through 6.9% uplift in Financial Settlement (£22.2m), permanent savings of £5m, temporary savings of £6.9m, use of reserves totalling £15.3m and 7.9% increase in Council Tax (£6.1m) £22.2m of temporary measures for 2023/24 contributing to overall anticipated savings requirement of £48.3m for the two-year period 2024/25 to 2025/26. Work underway to refocus the transformation programme and to identify other savings proposals to address the financial gap External partners engaged by the Council to support the Transformation Programme in the early summer 2023 Capital funding review underway Cabinet update planned for Autumn 2023. 	Yes - Savings requirement of £48.3 will mean a refocus of how we provide services, so we need to be aware of how this will impact citizens through a range of methods and our engagement programmes.	High
CRR-06	16/17 previous ref CMT 44	Local Development Plan (LDP)	It is essential that the Council has a Local Development Plan in place which sets the policy context for future development control decisions as well as ensuring that sufficient land is earmarked to support the range of needs across the County Borough such as Housing, the Economy, Green space, etc.	MSW	High	High	<ul style="list-style-type: none"> Progressing the current Local Development Plan Process in accordance with the delivery agreement between the Council & Welsh Government (WG) Recent correspondence from WG will require further regional work (including the CCR) on growth assumptions Given the recent interaction with WG, then the LDP is probably not deliverable in its current form and in accordance with the existing delivery agreement timeline. Council report was considered 4th July 2023. Council agreed to "pause" progress with the LDP while regional work is completed on growth scenarios and regional Strategic Development Plan (SDP). Leader of Council has written to the Minister regarding the WG view of LDP growth scenarios and has also invited her to a meeting to discuss the matter as well as viewing the mid valley strategic housing site 	The LDP is the overarching document which governs land use planning decisions in the County Borough. It can therefore have a significant impact on future development which is of particular relevance to future generations for future housing provision, schools and leisure facilities. The LDP is also a key policy document in terms of the economic prosperity as it will ultimately determine land allocations for economic development purposes which impacts on the availability of employment opportunities for future generations.	Medium
CR-20	Added May 2023	Potential Withdrawal of Bus Support Funding and Contraction of Local Bus Services	There is a significant likelihood of extensive industrial action being taken across multiple public services, largely in relation to levels of pay and working conditions.	MSW	Medium	Medium	<ul style="list-style-type: none"> Meetings being held nationally and regionally (regional scrum) as Wales wide issue In June 2023, WG confirmed a continuation of BES funding until March 2024 and the regional scrum has agreed revisions to the bus schedule with each local authority The amendments to CCBC services are relatively minor overall but the funding is only in place until March 2024 	Yes - restricting connectivity of communities and limiting potential to travel for those without access to a car or rail travel	Medium
CR-19	19/10/2023 New for Q2	Conflict in Israel	The current conflict in Israel may result in a further influx of refugees to the country and may also have an adverse impact on supply chain.	CH		Medium	<ul style="list-style-type: none"> Corporate Management Team to keep situation under review as part of Risk Management Planning process 	Yes - pressure around housing and possible education and social care needs should refugees enter the county albeit no emerging need as yet.	Low

CRR-04	01/07/2015 Prev ref CMT41	Impact of Climate Change	Climate change and the trend for increased risk & frequency of adverse weather presents a risk to the natural & built environment.	MSW	Medium	Medium	<ul style="list-style-type: none"> Decarbonisation Strategy and associated action plan in place and a new team created Report on progress against the action plan and way forward for decarbonisation presented to Scrutiny 2nd May 2023 and Cabinet 14th June 2023 Effective Emergency Planning Strategies, processes and operational responses. Robust Local Flood Risk Management Strategies underpinned by a progressive suite of flood alleviation infrastructure projects. Implementation of Sustainable Urban Drainage (SUDS) practices across new developments. Effective management of the natural environment across the countryside/green open space portfolio/culture and embedding across organisation Specific actions across the Council's asset portfolio to reduce its own level of carbon emissions. 	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
CRR-20	Q1 22/23	Housing Supply	The authority currently has around 6000 people on its Housing waiting lists and significant challenges in ensuring that people are in the right accommodation for they and their families particular needs. The influx of Ukrainian refugees, the Afghan resettlement programme and local homelessness challenges are increasing the need an appropriate supply of housing.	DS	Medium	Medium	<ul style="list-style-type: none"> Caerphilly Keys service now in place New build programme agreed and progressing with 400 homes target Outline planning for circa 130 homes at Ty Darren and Oakdale Secondary School Transitional Accommodation Programme Board established Progression of Development and Governance Strategy. Cabinet updates Quality of offer - review of service and standards. Increase in expectations of UK Government re. refugees from Afghanistan will further increase demand in this area 	Yes people having a roof over their heads and living in accommodation of a suitable size and standard is a fundamental part of wellbeing and is evidenced as having a positive impact on people's health.	Medium
CRR 13 AW homelessness review Issued Nov 22	Q1 21/22	Increased Homelessness	Increased numbers of homelessness could result in increased incidents of rough sleeping and increased use of B&B/hotel type accommodation to address emergency needs. This in turn could result in poor outcomes for the households concerned and a repeat of the homelessness cycle. As national Covid policy delaying evictions by private landlords has come to the an end, evictions could rise significantly.	DS	Medium	Medium	<ul style="list-style-type: none"> Implementation of the Rapid Rehousing Strategy Caerphilly Keys service now in place Use of support providers and specialists to assist those that are homeless and to sustain tenancies to avoid homelessness occurring Implement Homelessness strategy which has been developed in collaboration with neighbouring authorities Review the availability of temporary accommodation to reduce / avoid use of B&B Look at opportunities to further increase the availability of properties in the private sector as an alternative means of accommodating homeless individuals Work with the police & probation service to plan accommodation for prison leavers Review the type of accommodation that is required to meet the needs of those presenting so that this can be considered in longer term future planning 	As above	Medium
CRR-07	Q2 2020	Impact of Covid-19 on learner achievement	The impact of covid on learner achievement remains unknown and requires further evidence and appropriate intervention, particularly with the inconsistent nature of assessment since 2020 along with reduced levels of pupil attendance and higher than average levels of exclusions.	ED	Medium	Medium	<ul style="list-style-type: none"> Education Strategy that focuses on Reignite, Recover, Reform Agenda now live Developing the information, intelligence and data to ensure the LEA operates as an effective commissioner of improvement services Further enhance self evaluation and improvement planning processes Greater focus on inclusion and improved wellbeing with enhanced tracking Establish a system of active peer learning that provides opportunities to consider problems, share good practice and innovation Increased support for pupils at risk of becoming NEET (Not in Education, Employment or Training) Improving Pupil Attendance Support More Able and Talented pupils Improve Pupils' Acquisition of Digital Skills Deliver Welsh in Education Strategic Plan 2022-2032 Build new schools through Sustainable Communities for Learning Ensure Medium Term Financial Planning arrangements for Schools 	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 medium risk. This is a long term risk	Medium

CRR-22	01/12/22	COVID Enquiry (Capacity to service)	Inquiry has now commenced. CCBC now receiving requests to submit evidence with extremely short timeframes of 2-3 weeks. WLGA hosting regular meetings to support LA's in conjunction with the LGA. No be-spoke resources identified, therefore completion of evidence falling to a small number of officers, all of whom have other duties. Requests/submissions likely to go on for many months/years.	DS	Medium	Medium	<ul style="list-style-type: none"> • Covid 19-Inquiry Group established. • Submissions agreed and signed off by CEO • Consideration to be given to a creation of a be-spoke role to complete evidence requests • Awaiting feedback from Covid Inquiry • Further modules announced via enquiry website • Some concern re absence of input from WLGA. 	No - this risk relates to organisational capacity following which organisational capacity and functionality will be reviewed.	N/A
CR-23	01/12/22	Resilience and Wellbeing of Staff	Since early 2020, Council staff have been dealing with unprecedented challenges over an extended period of time. Staff have supported communities through the pandemic. More recently staff have had to respond to the impacts of the Programme for Government, the war in Ukraine and, more recently the Cost of Living crisis. Expectation continue to rise and the Council's resources are extremely stretched at present. There are high levels of staff sickness currently. The 2023/24 budget is also adding further workload pressures as alternative mechanisms for service delivery will need to be worked up.	CH	Medium	Medium	<ul style="list-style-type: none"> • Embedding the Workforce Development Strategy • Embedding the Employee Wellbeing Strategy • Further promotion of the Employee Benefits Scheme • Recommendation to provide staff with an additional 5 days annual leave • Embedding the Employee Wellbeing Framework • Work commenced with external support to understand the underlying reasons for sickness absence levels and to pilot some new approaches to reduce impact • Creation of a coaching network across the organisation to help unlock issues • Rollout of the Workforce Development Toolkit 	Although this risk relates to organisational capacity, well-being of staff can indirectly affect productivity and sickness levels can affect capacity to deliver services	Low
CRR-24	Dec-22	Impact of Strike Action on Public Services	There is a significant likelihood of extensive industrial action being taken across multiple public services, largely in relation to levels of pay and working conditions.	CH	Medium	Medium	<ul style="list-style-type: none"> • NAHT Action Short of Strike continues, although clarification has been provided in respect of the activities that LAs, consortia and Head Teachers will engage in during this period. • Potential Industrial action across multiple sectors continues to be monitored 	Potential unrest could affect ability to provide services in the short term	Low
CRR 12	Added Q1 2020/21	Covid-19 Recovery and Future Wave Response	As the local economy seeks to recover from the impact of the COVID-19 pandemic, the Council will need to focus on a series of recovery measures to stimulate local growth. The Council will also need to remain prepared to manage its critical services and workforce pressures through potential future waves that limit social mobility and reduce the availability of resource	CH	Medium	Low	<ul style="list-style-type: none"> • Cabinet have adopted an Economic Recovery Framework to stimulate growth and a progress is regularly reported to Cabinet • New Economic Development Strategy TOR being developed • Adoption of Corporate Plan November 2023 - WBO4 - Enabling our Economy to Grow • Cabinet have adopted a Social Value Policy to drive community benefit and the foundational economy across the locality • The Council maintains a critical service list and business continuity plans • The Council has formalised and embedded its Agile Working approaches to ensure 	The mitigating actions have helped recovery and the cost of living economic pressures are reflected in other risks	Low