

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
<b>EVENT DRIVEN RISKS</b>										
<p><b>Social Services and Wellbeing (Wales) Act</b></p> <p>Failure to implement the Social Services &amp; Wellbeing (Wales) Act 2014.</p>	<p>Reputational / Financial / Stakeholders / Service delivery / Legal / Partnership / Community</p> <ul style="list-style-type: none"> <li>Legal challenge around interpretation of 'duties' under the 'wellbeing' concept.</li> <li>Increases in demand, or service offer, stimulated by new duties under the Act.</li> <li>Social care sector staff not sufficiently trained to implement Act from 6<sup>th</sup> April 2016.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Governance arrangements in place to ensure effective monitoring of progress across the region.</li> <li>Senior lead officers identified with responsibility for each work stream.</li> <li>Regional task and finish groups established for each work stream and action plans being delivered.</li> <li>Director leading workforce development planning for the region.</li> <li>Updated Social Care Development and Workforce Plan submitted to Welsh Government in September 2015.</li> <li>Successful partnership workshop held to ensure full engagement in process.</li> <li>Officers contributing to national work groups as required.</li> <li>Regular reports to Scrutiny Committee with references to Cabinet in place.</li> <li>National Learning &amp; Development Plan being developed by Care Council for Wales to support implementation of the Act.</li> <li>Staff attending workforce development sessions on a prioritised basis</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Joint approaches to developing opportunities across Cardiff, the Vale of Glamorgan and University Health Board (UHB) closely monitored through the regional Strategic Leadership Group.</li> <li>Establishment of the Regional Implementation Plan.</li> <li>Establishment of Regional Partnership Board as required by Part 9 of the Social Services &amp; Wellbeing (Wales) act 2014.</li> </ul>	<p><b>Tony Young</b></p> <p><b>Councillor Sue Lent, Deputy Leader - Early Years, Children &amp; Families</b></p> <p><b>Councillor Susan Elsmore - Health, Housing &amp; Wellbeing</b></p> <p><b>Updated Current Controls and Proposed Improvement Actions</b></p>
<p><b>Hostile Vehicle Mitigation in Cardiff</b></p> <p>Vehicle Borne Improvised Explosive Device (VBIED) detonating in an area identified as a high risk crowded place, as a result of the inappropriate boundary treatments and access control processes protecting and managing it.</p>	<p>Service Delivery / Reputation / Legal / Financial / Health &amp; Safety / Financial / Partnership / Community &amp; Environment / Stakeholders</p> <p>Potential for:-</p> <ul style="list-style-type: none"> <li>Large no's of fatalities, injuries to public in crowded place.</li> <li>Extensive structural damage and/or collapse of surrounding buildings.</li> <li>Major fire.</li> <li>Damage/disruption to utilities (gas, electricity, water etc.)</li> <li>Immediate impact to businesses in the Cardiff area.</li> <li>Media coverage affecting public perception, leading to a loss of public confidence directly resulting in reduced business, retail and tourism revenues generated in the city.</li> <li>Area to be viewed as a risk for potential future business investment.</li> <li>Inability to attract major future national and international events (political, sporting etc.)</li> <li>Increase in demand for council services/support for all affected.</li> <li>Current economic climate to reduce the effectiveness of any recovery/regeneration of the area</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>All existing identified high risk; crowded places have been formally assessed.</li> <li>Most crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge.</li> <li>Most crowded places have varying standards of boundary treatments protecting them; providing a limited/cursory visual deterrent but little/no protection from a hostile vehicle.</li> <li>CONTEST Protect/Prepare Task &amp; Finish Group has developed a City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'.</li> <li>20 (40%) of the identified 'gateways' into the crowded places already benefit from PAS 68/69 mitigation in place, implemented as a direct result of Home Office (Crowded Places) and Olympic Legacy funding.</li> <li>Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services &amp; Cardiff Council provide Project Argus and EVAC/Griffin training across the city to raise awareness for likely impacts associated with major incidents and in particular, terrorist attacks. The sessions also cover the support likely to be immediately available from the emergency services and Cardiff Council, the practical and simple preparations people/organisations can make prior to incident occurring to help themselves manage and recover from its impacts.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>WECTU CTASAs, the Emergency Services &amp; Cardiff Council continue to promote and provide Project Argus and EVAC/Griffin training across the city. The revised products were launched nationally in November 2014 and are now being rolled out in South Wales.</li> <li>The CONTEST Protect/Prepare Group will continue to maintain the City Gateways Public Realm Enhancement Scheme to ensure that the proposed PAS 68/69 mitigation for the remaining gateways remains appropriate. This work also includes the estimated costs for the procurement and installation of the PAS 68/69 mitigation and ancillary services.</li> <li>Work is ongoing with City Operations to advise developers across the city in relation to appropriate mitigation required.</li> <li>The CONTEST Protect/Prepare Group will continue to monitor and review the scheme to ensure it is fit for purpose until it is fully installed.</li> <li>Additional funding must be secured to procure and install the PAS 68/69 mitigation at the remaining 30 gateways (currently).</li> <li>The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters.</li> <li>The Tabernacle Access Control Document is now fully operational and sits and as an annex document to the main City Centre Access Control Protocol. It enables the Urban Traffic Control Officers to better manage Tabernacle 'users', covering their requirements whilst adhering to the existing Traffic Regulation Order.</li> <li>The CONTEST Protect/Prepare Group will continue to support City Operations in the delivery of all outstanding and future works associated with this risk.</li> </ul>	<p><b>Andrew Gregory</b></p> <p><b>Councillor Ramesh Patel – Transport, Planning &amp; Sustainability</b></p> <p><b>Updated Proposed Improvement Actions</b></p>

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<p><b>Welfare Reform</b></p> <p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants and restriction of social housing rents to LHA levels. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.</p>	<ul style="list-style-type: none"> <li>Private landlords stop renting to benefit claimants</li> <li>Social housing rents become unaffordable to some claimants, in particular those under 35 and with large families.</li> <li>Increased homelessness and demand for temporary accommodation</li> <li>Increased rent arrears, increased evictions</li> <li>Redeployment / Severance for 140 staff</li> <li>Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties.</li> <li>Barriers to building additional affordable housing Supported accommodation becomes unaffordable impacting on social services and vulnerable homeless clients.</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit. To date private landlords have not withdrawn from the benefits market in large numbers but changes in the economy could influence this in the future so this will continue to be monitored closely.</li> <li>Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help tenants to move accommodation where necessary.</li> <li>Timely information is being given to claimants to help them respond to the changes.</li> <li>A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move.</li> <li>A new Welfare Liaison team has been created within the housing service to assist tenants affected by the changes. Work is underway to identify those affected by the reduced Benefit Cap and to advise them accordingly.</li> <li>The number of properties becoming vacant has increased as a result of Welfare reform and this combined with other issues has resulted in a significant increase in void rent loss. Work is being done to encourage exchanges rather than transfers.</li> <li>Universal Credit has commenced in Cardiff, very small numbers affected. The scheme has been changed to include more information sharing for landlords and this should offset some of the risk. The council is providing face to face services on behalf of the DWP including digital inclusion and budgeting advice.</li> <li>The implications of the restriction of social housing rents to LHA rate are being considered in partnership with RSLs and options for providing shared / low cost housing are being considered. Work is ongoing to review supported housing schemes and prioritise this ahead of the changes.</li> <li>The Advice Hub in Central Library is providing comprehensive advice services for those affected by Welfare Reform.</li> <li>The Welfare Reform Task Group is working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected.</li> <li>Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Universal Credit was introduced from 30/11/15 but only for a small number of claimants. A review of workforce is currently underway using approximate roll out timetable. Agreement has been reached with DWP to provide face to face services for UC claimants and funding will be provided for this in the current year. Services and appropriate publicity are being developed.</li> <li>Digital inclusion training and banking support has been successfully implemented and will continue to be monitored.</li> <li>Additional resource has been agreed for supporting council tenants with the Universal Credit changes, staff have been recruited to assist with this and procedures are being developed.</li> <li>Work has been undertaken to cost the potential risks of Universal Credit and this will continue to be updated as the more information is known.</li> <li>Size restriction for social tenants and the Benefit Cap remains a significant risk with potential increased arrears and homelessness; procedures are being kept under review to identify any further action that can be taken, including more support for those wishing to exchange. Regular meetings are held with social housing providers to monitor and improve processes.</li> <li>DHP spend is being monitored carefully following the reduction in budget for 2015/16, to date spend is within budget.</li> <li>Work has been carried out on the impact of possible council rent decreases on the HRA business plan and discussion is ongoing with social landlords about the impact of possible rent decreases on future housing development. Further work will be undertaken when more information becomes available.</li> <li>Impacts of the Budget announcements such as the restrictions on benefit for younger people and reduction in benefit cap to £20k will be reviewed as more information becomes available.</li> </ul>	<p>Sarah McGill (Jane Thomas)</p> <p>Councillor Susan Elsmore – Health, Housing &amp; Wellbeing</p> <p>Updated Current Controls and Proposed Improvement Actions</p>
<p><b>Waste Management</b></p> <p>Failure to achieve targets for Landfill allowance, specifically for Biodegradable Municipal Waste and WG statutory Recycling Targets. Ineffective delivery of recycling targets and residual waste treatment.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Environmental / Community</p> <ul style="list-style-type: none"> <li>Significant financial penalties for failure at up to £200/tonne or incorrectly capture tonnage data</li> <li>Procure landfill elsewhere with additional costs.</li> <li>Reputation damage</li> <li>Increased costs of landfill and alternative treatment markets</li> <li>Risk to grant funding (currently £6.9m 2016/17), potential in year cuts, future year grant reductions and changing terms and conditions</li> <li>No MTFP for future grant funds or capital confirmed by WG</li> <li>Reducing Grants; reducing market values for recyclates</li> </ul>	B	1	High Priority	<p><b>Policies / Strategy</b></p> <ul style="list-style-type: none"> <li>Previous updates contain the policy position improvements between 2008-2015.</li> <li>Waste Management Strategy 2011-2016 was approved on 13th Jan 2011 and was revised and approved in April 2015.</li> <li>Several progress reports have been made to Cabinet and Environmental Scrutiny in that period.</li> <li>Monthly performance tracking of recycling has been established to help predict the end of year position.</li> <li>Steps taken to improve MRF processing rates means less waste to treatment.</li> <li>Commercial recycling centre opened March 2014, its performance is increasing with more commercial HWRC being identified.</li> <li>Focus on pre-sort on the HWRCs is showing improvements in site recycling.</li> <li>Restrictions to Cardiff domestic householders have reduced tonnage profiles in qu4 of 2015/16.</li> </ul> <p><b>Contracts / Projects</b></p> <ul style="list-style-type: none"> <li>Several Contracts have been put in place for additional materials to be recycled from the HWRC's.</li> <li>Interim contract in place for disposal of biodegradable green/food waste</li> <li>A flexible Interim Disposal Contract in place with Biffa for 2-10 years; commenced April 2009.</li> <li>Aggregate recycling is now in place.</li> <li>Recycling litter bins are in place in the city centre.</li> <li>New initiatives such a charging for bulky waste, commercial recycling centre, sweepings, mattress and carpet recycling schemes are all underway.</li> <li>New HWRC delivery model is under review.</li> </ul> <p>This year, placing the focus on pre-sort high quality recycling and removing the reliance on post sorting of waste.</p> <p><b>Prosiect Gwyrdd</b> Financial Close occurred December 2013 Viridor are the appointed contractor which commenced Sept 2015.</p>	B	2	High Priority	<p><b>Risk of Fines</b></p> <p>The minister still has wavered fines for the 13/14 failings. However, the targets increase from 52% to 58% in 15/16, 64% to be achieved by 2019/20, therefore, the risk rating remains high.</p> <p><b>Policy / Strategy</b></p> <ul style="list-style-type: none"> <li>The outline waste strategy has been approved by Cabinet April 2015. The first phase of reducing residual waste capacity to force higher dry recycling and food and green waste recycling began in Qtr. 2 and the city wide changes were completed by the end of Qtr. 3. Flats Strategy to improve waste and recycling collections from flats is designed to enable greater recycling and food waste from hard to capture areas, to be implemented in 2016/17.</li> <li>The sweepings contract is secured and operating</li> <li>Exploring reuse partners, Market test and commencement to take place by Qu3 2016/17.</li> <li>Working with other Local Authorities to explore TEEP business cases and/or exploring joint working options</li> <li>Delays have been experienced in the HWRCs changes, which will reduce the recycling potential and waste minimisation activities that were planned for 2015/16 onwards. Revised streamlining of sites to fully commence in qu3 2016/17.</li> </ul> <p><b>Contracts / Projects</b></p> <ul style="list-style-type: none"> <li>Progress the Organic procurement is to timescale to SCD of 01/04/17. Interim contracts remain in place.</li> <li>An interim Contract for residual treatment is in place for when the landfill closes and to ensure LAS targets are met and tax avoided wherever possible.</li> <li>New markets for carpets and mattresses are being explored</li> </ul> <p><b>Project Gwyrdd</b></p> <ul style="list-style-type: none"> <li>Financial Close occurred December 2013, service commencement started 01 April 2016, all risks regarding</li> </ul>	<p>Andrew Gregory</p> <p>Councillor Bob Derbyshire - Environment</p> <p>Updated Potential Consequences, Current Controls &amp; Proposed Improvement Actions</p>

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					<p><b>Organic procurement</b> The procurement of a processing facility for food and green waste was completed for both Cardiff and the Vale of Glamorgan. The new facility will be operational in 2016, whilst the interim arrangements remain in place.</p> <p><b>Household &amp; Commercial Waste Collections</b> Household Waste collections were changed further towards the WG recycling blueprint is now underway by changing to: smaller fortnightly black (with accompanying hygiene services and weekly food and dry recycling and fortnightly green. National government discussions on comingled recycling remain an issue and further modelling on the best option for Cardiff will be completed in 2016.</p> <p><b>Collaboration work</b> Working and engaging with Welsh Government on legal and policy changes.</p>				<p>treatment and recycling of the ash (IBA) derived from residual now lie fully with the contractor.</p> <ul style="list-style-type: none"> <li>To help secure 2015/16 IBA, recycling began in Qtr. 2 to secure additional recycling tonnages. Furthermore, for 2016/17, the contractor has secured recycling for flue gas residues which will offer a further 1%.</li> </ul> <p><b>Collections</b></p> <ul style="list-style-type: none"> <li>Commercial waste operations have refined the marketing package for recycling in the commercial sector to increase recycling from commercial waste collected by the Waste Collection Authority that is included in the total MSW (and therefore relevant to statutory targets).</li> <li>Set and achieve new commercial recycling opportunities for new materials and new income opportunities – targeting commercial food collections and schools.</li> <li>Risk remains high that recycling performance and weather impacts on green waste could lead to a status quo in recycling performance or at worse a drop in performance</li> </ul> <p><b>MRF</b></p> <ul style="list-style-type: none"> <li>A high risk remains in the materials market fluctuations influenced by world-wide pricing affecting the volume of material recycled. In qu 4 Glass market impacts severely risked several 1000's tonnes of glass, this situation was recovered but highlights the ongoing volatility and risk to meeting statutory targets</li> </ul>	
<p><b>Preparation of Local Development Plan</b></p> <p>Preparing a plan that is considered 'sound' by the Inspector, within the proposed timetable.</p>	<p>Service delivery / Reputation / Legal / Financial / Partnership / Community &amp; Environment &amp; Stakeholder</p> <ul style="list-style-type: none"> <li>Preparing a plan which the independent Inspector considers 'unsound' and therefore cannot be adopted.</li> <li>Reputational issues for the Council.</li> <li>No adopted plan in place would mean the Council would not be in a position to effectively manage and control development- its ability would be significantly reduced.</li> <li>Failure to achieve corporate priorities which the LDP would help deliver relating to economic, social and environmental objectives.</li> <li>Possible breakdown of key strategic partnerships and with stakeholder groups.</li> <li>Delays in preparation.</li> <li>Possibility of planning applications being submitted in advance of plan adoption.</li> <li>Possible negative publicity on delay.</li> <li>Stakeholder concern at delay to timetable.</li> <li>Potentially significant objections raised by objectors and / or legal challenge submitted against Council impacting on timetable and plan content.</li> <li>Infraction proceedings against the Council resulting in significant financial penalties.</li> <li>Insufficient resources.</li> <li>Staff resource and monies required to undertake technical studies and other specialist advice considered necessary.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Use of project management techniques to effectively manage process and regular update meetings between Senior Officers and Members.</li> <li>Monitor emerging legislation/guidance/evidence and respond early to changes.</li> <li>Monitor budget spend and consider additional resources when required. A medium term financial bid has been agreed for 2013/14.</li> <li>Undertake Scrutiny process together with wider Member Briefing to raise awareness.</li> <li>Build in effective consultation and engagement into process to ensure stakeholders are informed at all stages.</li> <li>Close liaison with the Welsh Government Planning Division and Planning Inspectorate to:</li> <li>Ensure early warning of any problems (e.g. Consultation on LDP)</li> <li>Ensure LDP is sound, founded on a robust evidence base with sustainability appraisal and well audited community and stakeholder engagement. Undertake tests of soundness 'self assessment' at all stages of LDP preparation as recommended in national guidance</li> <li>Ensure procedures, Act, Regulations etc, are complied with and no undue risks taken</li> <li>LDP Corporate Officers Working Group</li> <li>A revised timetable for preparation of the LDP has been agreed by Executive and Council in November 2011. The revised timetable for the Delivery Agreement was agreed by WG in December 2011</li> <li>Initiated schedule of meetings with Authorities within South East Wales and other stakeholders to discuss cross border and consistency issues to meet the tests of soundness</li> <li>Meetings held with Authorities within South East Wales and other stakeholders to discuss cross border and consistency issues to meet the tests of soundness. Report of Findings agreed and forms a background paper to the Preferred Strategy.</li> <li>A Flood Study Report to investigate fluvial food risk from reens in the Wentloog Levels has been completed and evidence presented in the report has informed the assessed candidate sites and inclusion of an additional strategic site.</li> <li>The LDP Preferred Strategy was approved by Cabinet on 18th October 2012 and Council on 25th October 2012.</li> <li>A consultation on the Preferred Strategy was completed on 14th December and over 1000 responses have been received.</li> <li>Final report has been completed on population and household projections as part of the evidence base to support the Deposit Plan. Report recommends reducing the overall level of housing growth in the Plan by approximately 4,000 dwellings.</li> <li>Final draft Gypsy and Traveller study investigating potential new sites has been completed and circulated for Member agreement.</li> <li>Report on Masterplanning general principles was approved by Cabinet on 16th May. These principles inform the preparation of the schematic Masterplans.</li> <li>Workshops held with officers to help inform the development of the strategic sites specific frameworks.</li> <li>A Masterplanning Framework Document has been prepared as a background paper to the Deposit Plan.</li> </ul>	D	4	Low Priority (Green)	<ul style="list-style-type: none"> <li>Local Development Plan adopted by Council on 28<sup>th</sup> January 2016 within timescales agreed with Welsh Government and within budget.</li> <li>No Legal challenge received within the required timescales (6 weeks of adoption).</li> </ul>	<p><b>Andrew Gregory</b></p> <p><b>Councillor Ramesh Patel - Transport, Planning &amp; Sustainability</b></p> <p><b>Updated Current Controls, Proposed Improvement Actions and Residual Risk.</b></p>



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					<ul style="list-style-type: none"> <li>The Deposit Plan was approved by Cabinet on 12th September 2013 and Council on 26th September 2013 for consultation purposes.</li> <li>Consultation on the Deposit Plan was completed on 26th November 2013 and over 400 responses have been received.</li> <li>Consultation on the Alternative Sites was undertaken between 11th February and 4th April 2014.</li> <li>Following approval by Council on 26th June, 2014 the Deposit Plan and supporting information was submitted to the Welsh Government and Planning Inspectorate for examination on 14th August 2014.</li> <li>Following commencement of the examination, the Council submitted Statements relating to the "Matters and Issues" raised by the Inspectors and the LDP Examination Hearing Sessions were held in January and February 2015. These Statements included Statements of Common Ground agreed with key stakeholders.</li> <li>Following the request by the Inspectors the Council responded to the 187 Action Points within the agreed timescales to support the LDP at examination. These responses were prepared in partnership with relevant service areas and consultation on the First Matters Arising Changes Schedule took place in June 2015.</li> <li>Further Hearing Sessions took place in September 2016 and consultation on the second Matters Arising Schedule took place in October 2015.</li> <li>The Inspectors Report was published in January 2016 and the Plan was adopted by Council on 28<sup>th</sup> January 2016.</li> </ul>					
<p><b>Education – Schools - SOP</b></p> <p>Large scale programme with tight timescales for delivery, in context of very rapidly growing primary age school population.</p>	<p>Reputational / Legal / Financial / Social / Stakeholder / Health &amp; safety.</p> <ul style="list-style-type: none"> <li>Insufficient primary places in some areas of the City.</li> <li>Further degeneration of school buildings</li> <li>Reducing educational standards.</li> <li>Project cost and time overruns</li> <li>Risk that Welsh Government do not support the revised strategy and associated capital bid including agreement to the additional funds requested and/or withhold individual project funding if not satisfied with Business Cases.</li> <li>Difficulties associated with data source and production could undermine proposals and stakeholder trust in the SOP change process</li> </ul>	B	1	High Priority	<p>Proposals to balance supply and demand at primary level to reduce risk of insufficiency including:</p> <ul style="list-style-type: none"> <li>At its meeting on 10 March the Cabinet approved proposals to expand Ninian Park Primary from 2FE to 3FE and to establish a new 2FE Welsh-medium school on site adjacent to Hamadryad Park (the new school is to open in September 2016 in the vacated Ysgol Tan yr Eos accommodation).</li> <li>The St Mary the Virgin CW Primary School Governing Body have also approved proposals to expand the school from 1FE to 2FE.</li> <li>At its meeting on 10 March the Cabinet approved the proposal to close Glyn Derw High School and Michaelston Community College from September 2017 and to transfer the new replacement school to the new build accommodation on the Glyn Derw site from September 2018.</li> <li>At its meeting on 10 March the Cabinet approved proposals to consolidate Gabalfa Primary School at 1FE and to permanently establish Ysgol Glan Ceubal at 1FE and to establish a nursery at the school.</li> <li>At its meeting on 21 March the Cabinet approved the proposal to expand Ysgol Glan Morfa from 1FE to 2FE, the transfer the newly expanded school to a new build school at the Maltings and the expansion of Moorland Primary School from 2FE to 3FE ( a verbal update will be provided at the meeting).</li> <li>At its meeting on 21 March the Cabinet approved recommendations on proposed changes to English-medium and Welsh-medium catchment area changes. This was to leave English catchments unchanged for now and consider further, but to implement changes to Welsh medium catchments. The latter decision has now been called in and will be heard on 17<sup>th</sup> May.</li> <li>Consultation on the proposal to close Meadowbank Special School was extended to 06 April, and proposed outcome will be discussed shortly.</li> <li>Capital funding for suitability and sufficiency issues is £1m for 2016/17 to compliment Asset budget and deal with buildings issues not covered by either Asset or 21<sup>st</sup> century funding.</li> <li>Assets being considered corporately to maximise the opportunity to focus funds realised within the Council and through other sources on fewer high quality buildings.</li> <li>Alternative models of design, procurement and construction in the initial stages of implementation with a view to reducing likelihood of cost overruns and reduce time required to complete the whole process. For example the Eastern High two stage tender process and incorporation of standardised design approaches. This approach has been adopted on subsequent procurement of three new primary schools.</li> <li>Extensive work on the 21<sup>st</sup> Century Schools Band B funding now to take place during 2016 to submit progress to WG in early 2017.</li> <li>Consultation on restructure of team completed and recruitment to be completed by end May 2016</li> </ul>	C	1	Medium Priority (Red/ Amber)	<p>All risks being monitored and reported to Schools Programme Board.</p> <ul style="list-style-type: none"> <li>Pursue 'Turn Key solution' i.e. one contract, single point of management and responsibility</li> <li>Two step procurement methods being undertaken on all procurements</li> <li>Standardised design methods being used where possible</li> <li>Continued active dialogue with Welsh Government and other professional parties to support progress and development</li> <li>Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward</li> <li>Ensure consistent monitoring and reporting of all risks to Schools Programme Board.</li> <li>Strengthen capacity in SOP Team.</li> </ul>	<p><b>Nick Batchelar</b></p> <p><b>(Janine Nightingale)</b></p> <p><b>Councillor Sarah Merry - Education</b></p> <p><b>Updated, Current Controls and Proposed Improvement Actions</b></p> <p><b>Residual Risk reduced from B2</b></p>
<p><b>Education Consortium &amp; Attainment</b></p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> <li>Budget implications.</li> </ul>	B	1	High Priority	<p>The authority has made satisfactory progress against the Estyn recommendation that relates to the Central South Consortium.</p>	C	2	Medium Priority	<ul style="list-style-type: none"> <li>Officers will continue to ensure the agreed commissioning arrangements are refreshed and delivered and impact positively on the performance of schools.</li> </ul>	<b>Nick Batchelar</b>

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The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.	<ul style="list-style-type: none"> <li>Educational standards falling behind other LA's. Potential impact on Estyn judgement for LA.</li> <li>Intervention from WG</li> </ul>			High	<p>Estyn reported in March 2016 that Overall, Cardiff schools are being challenged more rigorously and supported more effectively to improve. There have been improvements in most of the outcome indicators at all key stages, although the performance of a few of Cardiff secondary schools is still a significant concern. The work of the school improvement service commissioned from the regional consortium is based on clear priorities and a good understanding of Cardiff schools. Since the monitoring visit in 2014, the local authority has worked well with its schools to engage school leaders and to develop a change in culture in which schools are more aware of their responsibility for their own improvement.</p> <p>There is a strong working relationship between the local authority and the regional consortium. The local authority has moderated the outcomes of categorisation in partnership with the regional consortium, and this has led to a more accurate view of school performance, an improved model of differentiated support and challenge, and earlier intervention in schools causing concern.</p> <p>The performance management and quality assurance of the work of challenge advisers is now more systematic, and the authority has taken robust steps to improve practice where underperformance is identified. There are robust processes to quality assure the reports of challenge advisers, and this has led to an improvement in the consistency and precision of their reports. Processes to validate judgements through the collection of first-hand evidence are improving, and this is beginning to provide the authority with a more accurate evaluation of their schools. Through school improvement meetings, challenge advisers are developing a better understanding of the role that wider services in the local authority play in improving schools.</p> <p>The local authority works productively with its regional consortium to address the specific needs of Cardiff schools, and to promote school-to-school working. A few Cardiff schools are acting as hubs to disseminate good practice and to provide training and networking opportunities across the consortium. School improvement groups (SIGs) of teachers and leaders across the region are working on key improvement issues, and these groups focus well on evaluating their work in terms of outcomes for pupils. The local authority has commissioned the regional consortium to deliver a comprehensive range of leadership development programmes specifically to address leadership issues across its schools. These include training for aspiring leaders, middle leaders, headteachers at various stages of their careers, and development for those leaders who are capable of supporting other headteachers, or leading more than one school.</p>			(Red/Amber)	<ul style="list-style-type: none"> <li>Directorate delivery plan now refreshed with clear accountabilities and performance measures. These will be shared with the consortium and associated roles, responsibilities and accountabilities agreed.</li> <li>Recruit a Secondary senior challenge adviser with well-developed knowledge and skills to build on the progress made to date.</li> </ul>	<p>(Angela Kent)</p> <p>Councillor Sarah Merry - Education</p> <p>Updated current Controls and Proposed Improvement Actions</p> <p>Residual Risk Reduced from B2</p>
<p><b>ICT Platforms Unsuitable/ Outdated</b></p> <p>The ICT platforms (desktop, software, network, servers, and telephones) will not be able to support the technologies required by the corporate change programme and deliver effective service to the council, or will not provide a reliable service due to age and condition of equipment and systems.</p>	<ul style="list-style-type: none"> <li>Reputational / Financial / Stakeholder / Service delivery.</li> <li>Loss of PSN services.</li> <li>Service delivery impacts from unreliable/unavailable ICT systems.</li> <li>Cardiff seen as unable to deliver on aspirations.</li> <li>Poor morale from frustrations with inability to deliver services.</li> <li>Potential for income losses from revenue collection impacts.</li> <li>Unable to meet delivery deadlines on both business as usual and transformation projects.</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>Measurements put in place to track impact.</li> <li>Existing ICT budget spend focused on dealing with critical issues, capital and revenue budget resource provided to address major issues, medium term financial plan investment programme in place for subsequent years.</li> <li>Spending complete for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth.</li> <li>New system down analysis process in place to ensure that key pressure points are rapidly identified and fixed at minimum cost until full programme can be initiated. Recent issues with telephony have resulted in retargeting of some resources to focus on weak points now identified.</li> <li>New deliveries are all being designed for a 99.99% minimum uptime, with critical systems targeted at 99.999% (equating to less than 6 minutes per year).</li> <li>Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced to medium.</li> <li>Additional load balancers to be purchased for application resilience in key systems.</li> <li>All SAP hardware has been replaced and software versions brought to latest levels</li> <li>Continued replacement of unsupported window servers.</li> <li>Publication of system and application support lifecycles.</li> <li>Thin client server farms fully refreshed with new hardware and software versions upgraded</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Continued assessment of priorities for replacement – removal of systems out of supplier support is the main priority.</li> <li>System owners are being tasked to identify action plan for replacing systems out of supported levels</li> <li>Firmer engagement with business on decommissioning or replacing unsupported platforms and applications.</li> <li>Supplement existing file store solution – current solution is struggling for throughput so extra capacity required urgently</li> <li>Replace aged contact centre telephony</li> </ul>	<p>Christine Salter</p> <p>(Phil Bear)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p> <p>Updated current Controls and Proposed Improvement Actions</p>
ONGOING RISKS										

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
<p><b>Budget prioritisation</b></p> <p>Delivery of the statutory obligation to set a balanced annual budget and to set a Medium Term Financial Plan which takes into account statutory budget planning obligations (compounded by the risk of late settlement figures from the Welsh Government).</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Risk of failing to meet statutory budget setting deadlines</li> <li>Risk that service delivery impacted due to decreasing resources or failure to effectively prioritise spend inline with Corporate Plan Objectives</li> <li>Risk that settlement figures will not be as anticipated giving an element of uncertainty to any proposals from Cabinet during public consultation and beyond.</li> <li>Risk that savings identified as part of business as usual and efficiencies are not achieved as planned</li> <li>Risk that financial constraints lead to increased instances of non compliance and financial impropriety</li> <li>Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa</li> <li>Risk of unbalanced budget as savings required over the medium term become harder to achieve and their impact on service delivery more difficult to manage.</li> <li>Failure of financial organisations with whom the Council has invested money.</li> <li>Risk that organisational development does not align to the financial strategy in relation to budget reduction requirements.</li> <li>Additional obligations such as Wellbeing of Future Generations Act leading to Council failing in statutory duty.</li> </ul>	A	1	High Priority	<p><b>2015/16 Budget Setting</b></p> <ul style="list-style-type: none"> <li>The 2015/16 Budget Report was set in February 2015 and included savings of £32.476M and savings from a capitalisation direction of £3.487M.</li> <li>Progress towards savings has been monitored throughout the year and 2015/16 savings totalling £1.969m that are no longer considered technically achievable, were written out as part of the 2016/17 Budget process in order to improve resilience moving forward.</li> <li>The capital receipts necessary to support the capitalisation direction have been received. Capitalisation of eligible revenue spend is under review as part of outturn.</li> </ul> <p><b>2016/17 and Medium Term</b></p> <ul style="list-style-type: none"> <li>The Provisional Settlement was not received until December 2015. At - 0.1%, the funding decrease was better than the -3% anticipated. This position was confirmed by final settlement with a very minimal change (&lt;£20k.)</li> <li>The better than anticipated settlement was used to reduce risk and improve resilience through addressing the pace and scale of the most challenging saving proposals, reviewing planning assumptions and introducing a new financial resilience mechanism. The latter is intended to reduce future risk whilst allowing for one-off investment and development in the meantime.</li> <li>The final 2016/17 Budget is underpinned by Directorate Savings of £20.344m, Council Wide Savings of £2.895m and Addressable Spend Savings of £5.596m; a total of £28.835m</li> <li>Savings proposals were underpinned by the Reshaping the Base exercise undertaken in conjunction with SMT and Informal Cabinet as part of 2016/17 Budget Strategy Development</li> <li>Focus will now need to shift immediately to achieving these savings.</li> <li>The Feb 16 Budget Report updates and rolls forward by one year, the MTFP set out in the July Budget Strategy Report. The estimated Budget Reduction Requirement for the medium term (2017/18-2019/20) is £73m. The Budget Report included a response to the medium term budget gap through a combination of budget planning assumptions and savings</li> </ul>	B	2	High Priority	<p><b>2016/17</b></p> <ul style="list-style-type: none"> <li>Work has already commenced on monitoring the achievability of these savings moving forward and directorates have been asked to provide updates on achievability risks and key milestones. This information will be shared with SMT during April.</li> <li>Consideration was given to the Wellbeing of Future Generations Act during the 2016/17 budget process and this will be built upon as part of 2017/18 Budget Strategy.</li> </ul> <p><b>Medium Term</b></p> <ul style="list-style-type: none"> <li>The Budget Report included a response to the medium term budget gap through a combination of a) planning assumptions and b) savings based on the 2016/17 Reshaping the Base exercise. The existence of a set of savings proposals for 2017/18 has shifted the first Budget Strategy focus from a target setting exercise to more detailed development of savings and this is already underway.</li> <li>Earlier focus on the development of savings should allow further time for due diligence, challenge of proposals and development of detailed plans.</li> </ul>	<p>Christine Salter (Ian Allwood)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p> <p>Updated Risk Description, Current Controls and Proposed Improvement Actions</p> <p>Residual Risk Reduced from A1</p>
<p><b>Financial Resilience</b></p> <p>Financial resilience of the Council over the medium term, given the scale of the financial challenge ahead.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Risk that the financial position of the Council is not understood by key stakeholders</li> <li>Risk that relevant, timely action commensurate with the Council's financial challenges are not taken</li> <li>Risk that this leads to intervention and increasing issues in respect of financial resilience</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>The Council regularly reports in relation to its financial performance and monitoring.</li> <li>The Council used the better than anticipated provisional settlement for 2016/17 to improve financial resilience as previously outlined. This included the establishment of a £4m financial resilience mechanism to protect the Council from the uncertainties associated with the absence of multi-year settlement information whilst allowing for one-off investment in the mean-time.</li> <li>The Wales Audit Office's Report into financial resilience scored the Council as low risk in terms of financial planning and control and medium risk in terms of financial planning.</li> <li>Improvement actions associated with the medium risk for financial planning related to 1) the improvement of savings plans and 2) the improvement of links between the MTFP and Organisational Development Programme, Service Plans and Improvement Plans.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>A financial snapshot has been developed in respect of the financial resilience of the Council and is reviewed 3 times a year and report at Budget Report (Feb), Budget Strategy (Jul) and to Audit Committee.</li> <li>Key stakeholders are briefed on this position and financial triggers against this snapshot continue to be developed and reviewed.</li> <li>A response to the Wales Audit Office's Financial Resilience recommendations has been developed and included as part of the Statement of Action re: the Corporate Assessment Follow on Report. It is anticipated that the level of General Reserves will increase as the result of the expected positive Council outturn position.</li> <li>Work in respect of improving savings plans has already commenced through the much earlier focus on development of detailed proposals for the forthcoming financial year which should allow further time for due diligence, challenge and development of detailed plans. Savings documentation has also been reviewed and developed with the aim of ensuring consideration and capture of key factors relating to savings proposals.</li> <li>Links between the MTFP, OD Programme, Service Plans and Improvement Plans will be enhanced and made more explicit as part of 2017/18 Budget Strategy Work.</li> </ul>	<p>Christine Salter (Ian Allwood)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p> <p>Updated Risk Description, Current Controls and Proposed Improvement Actions</p> <p>Residual Risk Reduced from A1</p>
<p><b>Budget Monitoring</b></p> <p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the drawdown of reserves.</p>	<ul style="list-style-type: none"> <li>Inability to balance spend, against budget, for the financial year.</li> <li>Requirement to implement emergency measures to reduce spending during the financial year.</li> <li>Requirement to drawdown from General Reserves at the year end.</li> <li>Impact on the 2016/17 Budget where issues remain with achieving 2015/16 budget savings and any unachieved savings brought forward from 2014/15.</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Clear financial procedure rules setting out roles and responsibilities for budget management are in place.</li> <li>In recognition of the quantum of savings and the risks posed a £4 million General Contingency was allocated in the Budget.</li> <li>Full financial monitoring processes are in place for month 3 to 11 of the financial year including achievement of budget savings.</li> <li>Monthly meetings are held between service accountants, directors and Cabinet Members. An initial review of the budget savings took place in month 2 with full directorate / portfolio monitoring meetings having taken place for Months 3 to 11. Work is currently being undertaken to finalise the outturn position.</li> <li>Availability of General Reserve should this be required.</li> <li>The full Council monitoring report for Month 9 was presented to Cabinet on 18 February 2016. The overall monitoring position showed a potential surplus of £988,000. However this included a projected overspend of £5.6m in relation to directorate budgets with projected shortfalls of £6.075m against 2015/16 savings targets and £2.594m against shortfalls</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The monitoring and challenge processes undertaken during the year have enabled offsetting savings to be identified which offset the shortfall against savings targets and this is reflected in the position set out in the Month 9 Monitoring Report.</li> <li>The outturn position is currently being finalised and will be reported to Cabinet in June.</li> <li>Significant work has been undertaken to track progress against savings targets and to try to reduce the amount of unachieved saving and this has been reported to Directorates, Cabinet Members and Cabinet throughout the year.</li> <li>In setting the 2016/17 Budget, the due diligence process considered the on-going achievability of the budget savings shortfalls identified in respect of 2015/16 and carried forward from 2014/15. As a result £3.029m was reinstated into the 2016/17 budget thereby reducing the on-going risk in</li> </ul>	<p>Christine Salter (Allan Evans)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p> <p>Updated Risk Description, Potential Consequence,</p>



Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<p>carried forward from 2014/15. Whilst the overall position is positive the shortfall against savings targets remains a significant area of concern.</p> <ul style="list-style-type: none"> <li>The final outturn position will be presented to Cabinet in June 2016.</li> <li>The Corporate Director of Resources, Chief Executive and Cabinet Members have held challenge meetings throughout the year particularly in those areas where significant overspends are reported.</li> </ul>				<p>respect of these savings targets.</p> <ul style="list-style-type: none"> <li>The balance of any 2015/16 or 2014/15 savings targets still to be achieved will carry forward into 2016/17 and will need to be monitored in conjunction with the £28.835m of savings targets set as part of the 2016/17 Budget.</li> </ul>	<p><b>Current Controls and Proposed Improvement Actions</b></p> <p><b>Residual Risk Reduced from B1</b></p>
<p><b>Health and Safety</b></p> <p>Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> <li>Fatalities</li> <li>Serious injuries</li> <li>Prosecution – fines for body corporate and/ or fines/imprisonment for individual</li> <li>Claims</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Dedicated team of competent Health and Safety Advisers providing specialist advice and guidance.</li> <li>Implementation of the 'Framework for Managing Health and Safety' based on the HSE model for successful health and safety management as detailed in the Council's Health and Safety Policy (revised 2014).</li> <li>The five key elements of the management system model for occupational health and safety are:-</li> <li>Policy 2. Organising - Control, Co-operation, Communication, Competence 3. Planning 4. Measuring Performance and 5. Audit and Review. (These elements encompass a wide range of actions including development and implementation of relevant policies and procedures, risk assessing, Annual Directorate Health and Safety Action Plans, corporate health and safety objectives, Directorate and Council Annual Health and Safety Reports, monitoring by Directorates, training, consultation with trade unions through corporate and Directorate meetings, accident reporting and investigation and auditing).</li> <li>Directorates carry out suitable and sufficient risk assessments as appropriate and ensure any necessary control measures are implemented and monitored.</li> <li>Health and Safety Advisers carry out a programme of health and safety audits, focussing on high risk activities, and undertake other inspections / investigations as necessary.</li> <li>Annual Business Objectives for Health and Safety Advisers.</li> <li>Code of Guidance on Leading Health and Safety for Senior Managers and Headteachers included on CIS.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Service Level Agreement for Caerphilly to provide management of H&amp;S function has commenced. Review of current processes is underway.</li> </ul>	<p>Christine Salter</p> <p><b>Councillor Graham Hinchey - Corporate Services &amp; Performance</b></p> <p><b>Updated Current Controls</b></p>
<p><b>Climate Change &amp; Energy Security</b></p> <p>Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health &amp; Safety</p> <p>Flooding &amp; increased frequency and severity of storm events:</p> <ul style="list-style-type: none"> <li>Loss of life and personal injury</li> <li>Direct damage to property, infrastructure and utilities</li> <li>Contamination and disease from flood and sewer water and flood on contaminated land</li> <li>Increased costs of insurance</li> <li>Break up of community and social cohesion</li> <li>Blight of land and development</li> </ul> <p>Increased summer temperatures:</p> <ul style="list-style-type: none"> <li>An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services</li> <li>An increase in demand for limited water supplies</li> <li>Damage to temperature sensitive infrastructure (transport systems, electrical systems).</li> <li>Migration of biodiversity.</li> </ul> <p>Inconsistent energy supply and cost:</p> <ul style="list-style-type: none"> <li>Inability to deliver public services</li> <li>Decrease in economic output</li> <li>Disruption to the supply of utilities</li> <li>Increased transport costs</li> <li>Increased costs for heating / providing services to buildings</li> <li>Increased fuel poverty</li> </ul>	B	1	High Priority	<p><u>Emergency Management Unit</u></p> <ul style="list-style-type: none"> <li>Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) with Utilities (including Dwr Cymru) and Telecom companies to ensure planning is carried out with consideration of flood risk.</li> <li>Cardiff Area Community Risk Register is developed and reviewed on a regular basis by the Cardiff Area Risk Group. It takes into account changes in the national risk register and how those changes affect Cardiff.</li> <li>Cardiff Area flood group exists to exchange information, this group consists of NRW, Met Office, Emergency Services and Council Departments with a response to flooding. We also link into other responding agencies and voluntary organisations through the LRF via the Severe Weather Group, the Warning and Informing group and the Humanitarian Assistance and Community Resilience Group to promote preparedness through exchange of knowledge, assistance in plan writing and training.</li> <li>Cardiff Council Emergency Management Unit are carrying out a large and long term communication strategy in Cardiff in conjunction with multi agency partners highlighting flood awareness alongside other emergency eventualities and how residents, businesses and communities can be aware of the risks in their area and hence better prepare for them should that risk materialise. Cardiff now has 5 active community flood plans with others in the planning stage, we have also, through multi agency consultation, produced a '<b>Preparing for Emergencies – A Guide for Communities</b>' document which is now available to all agencies and organisations. It provides information on how to prepare, respond and recover from an incident including flooding. The document can be found via the following link; <a href="https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Emergency-Planning-and-Resilience/Pages/default.aspx">https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Emergency-Planning-and-Resilience/Pages/default.aspx</a></li> </ul> <p>Emergency Management Unit maintain up to date flood warning information from Natural Resources Wales on the Council GIS system.</p> <p><u>Energy Management Unit</u></p> <ul style="list-style-type: none"> <li>The Energy Management Team, in conjunction with Service Areas continues to promote initiatives to reduce energy consumption and carbon emissions, with the establishment of various loan funds, coupled with capital bids and allocations.</li> <li>The Council procures competitive energy contracts through the Welsh Purchasing Consortium on a 6 monthly purchasing window for the following 12 month financial year.</li> <li>Key sites are fitted with back-up generators for emergency backup, specifically for IT systems.</li> <li>The Carbon reduction Strategy 2022 identifies projects and activities</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>A public and key stakeholder consultation exercise has been completed, and the Local Flood Risk Management Strategy drafted for cabinet approval.</li> <li>An officers flood working group has been established to improve internal and key stakeholder communications on flooding issues.</li> <li>The proposal to further progress Surface Water modelling further in line with national guidance and deadlines to inform the Cardiff Area Flood Plan awaits the next guidance from the Welsh Government</li> <li>Identify where flood risk information is in place for key social and civil infrastructure and identify where there are gaps (i.e. contaminated land).The Flood Regulations 2009 require Flood Hazard &amp; Risk Maps to be produced showing impact and extent of future significant flood events (City Services by June 2015)</li> <li>To consider flood risks recognised in the Community Risk Register in the Community Planning/Integrated Partnership process. Community resilience workshops continue in high risk areas</li> <li>Strategic climate change resilience action plan approved by Cabinet on 11th July as part of a wider One Planet Cardiff Cabinet Report. Actions and recommendations in the plan cover heat planning and flooding issues.</li> <li>Corporate PI on climate change resilience developed to ensure that the authority and its services are prepared for a changing climate, and to enable robust reporting to WG on this work (in line with the potential reporting requirements of the Climate Change Act and Well-being of Future Generations Act). To focus on different aspects of climate change resilience annually - to enable Directorates to consider impacts from climate change to their assets, infrastructure, service delivery, strategy and partnerships, and to identify actions for improvement from this process. Meetings held with Performance to embed within corporate processes. Training and 1-2-1 support has been offered by the SD Unit to all Directorates to support them addressing the Corporate PI on this issue but uptake from Directorates has been low. The SD Unit will offer further support to Directorates to provide a combined year 1 &amp; 2 response and will investigate other ways to ensure that parties are more proactively engaged, including an analysis of how new legislation (Well-being of Future Generations Act and upcoming Environment Bill) will help to influence this agenda.</li> </ul>	<p>Andrew Gregory</p> <p><b>Councillor Bob Derbyshire - Environment</b></p> <p><b>Updated Current Controls and Proposed Improvement Actions</b></p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<p>through 4 strands in order to achieve a 35% reduction in the council's carbon emissions from electricity and gas by 2022. These include; Renewables, energy Efficiency, Design and Asset Management and Behaviour Change.</p> <ul style="list-style-type: none"> <li>A new energy policy and carbon reduction map has been developed which focuses on electricity and gas. This was implemented from 2015/16 and will run through until 2022 with an overall carbon target as well as site specific including a project programme</li> </ul> <p><u>Local Flood Risk Management Strategy</u> A Local Flood Risk Management Strategy was produced by the end of 2012 based on WG's Flood &amp; Coastal Risk Strategy guidance. Which integrates; the PFRA, a coastal protection strategy, stakeholder communications and set a clear corporate approach to flood management and risk was presented to the Environmental Scrutiny on 2 Oct 2012. Public consultation was undertaken on the full strategy between January and March.</p> <p><u>Planning</u></p> <ul style="list-style-type: none"> <li>Flood Consequence Assessment to inform LDP process (ongoing).</li> <li>A Flood Study Report to investigate fluvial food risk from reens in the Wentloog Levels completed to inform the assessed candidate sites.</li> <li>Compliance with WAG TAN 15 (Development &amp; Flood Risk - 2004) is already part of the planning process.</li> </ul> <p><u>Sustainable Development Unit</u></p> <ul style="list-style-type: none"> <li>Carbon Lite Cardiff Vision Forum project - Carbon Lite Cardiff Action Plan</li> <li>Changing Climate, Changing Places pilot project.</li> <li>Further guidance to be disseminated to service areas on climate change issues as and when new information becomes available.</li> <li>Share learning experiences of climate change related risks with Integrated Strategy partners as and when information becomes available.</li> </ul>				<ul style="list-style-type: none"> <li>The Council has signed up to the Compact of Mayors in addition to its existing commitment to the Covenant of Mayors. Work is underway with the Compact and Covenant staff to agree a combined method of emissions reporting so as not to duplicate efforts and to get maximum benefit from both commitments.</li> <li>The Council has signed up to the Compact of Mayors in addition to its existing commitment to the Covenant of Mayors. Work is underway with the Compact and Covenant staff to agree a combined method of emissions reporting so as not to duplicate efforts and to get maximum benefit from both commitments.</li> <li>To consider the long term planning implications for coastal protection owned/managed by the Council (will be considered under the Local Flood Risk Management Strategy). An initial coastline survey has been completed and added to the strategy report, which indicates high levels of coastal erosion in south east Cardiff, further study is required into the high priority sites identified consideration of strategic defences is required alongside Welsh Government. Funding of £400k has been secured from Welsh Government for 2016/17 to develop a Project Appraisal Report to manage coastal flooding and erosion risk. The appraisal must consider flood risk and wider benefits, therefore, the investigation will be commissioned to establish a potential project to protect against coastal flooding for future years.</li> <li>To consider the long term planning implications for coastal protection owned/managed by the Council (will be considered under the Local Flood Risk Management Strategy). An initial coastline survey has been completed and added to the strategy report, which indicates high levels of coastal erosion in south east Cardiff, further study is required into the high priority sites identified consideration of strategic defences is required alongside Welsh Government.</li> <li>Progress has been made to establish up to date energy budgets.</li> <li>Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, deliver the fuel Poverty strategy through measures such as Cyd Cymru, ECO and Green Deal opportunities, provide supplementary planning guidance on passive and renewal heating systems to new build and retrofit schemes.</li> <li>Energy security related issues to inform corporate financial systems revised buying and power consumption monitoring arrangements to save money and reduce demand and provide corporate &amp; community planning for Energy City Wide to Business and public sector.</li> <li>Further guidance to be disseminated to service areas on energy security and energy savings opportunities such as implementation of Carbon Culture, delivering extensive energy invest to save programmes on the Council Estate.</li> <li>Delivering renewables within larger properties to lower dependency to grid supply.</li> <li>Energy Performance certificates undertaken to Council owned stock to improve understanding along with a variety of energy efficiency measures (cavity / loft / external wall insulation and boiler upgrades) funded via ARBED, ECO and Green Deal.</li> </ul>	
<p><b>Information Governance</b></p> <p>Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Leads to the Information Commissioner issuing notices of non compliance and implementing financial penalties</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Information Security Board chaired by the SIRO held quarterly.</li> <li>Suite of Information Governance Policies in place.</li> <li>Processes for Information Requests, Data Loss in place.</li> <li>The Information Governance Training Strategy in place.</li> <li>Information Requests and Training compliance monitoring reports provided and reported to Information Security Board, SIRO.</li> <li>The processing of CCTV requests (section 35 requests) has been centralised to ensure that these are dealt with appropriately</li> <li>ICO Consensual Audit determined that the Council is considered to have a 'reasonable level of assurance' in place</li> <li>Procurement contracts to include a clause regarding 3rd Parties processing personal data</li> <li>Privacy Impact Assessment process realigned and a PIA Board established to ensure that the Council, when changing systems and processes where personal data is involved, considers relevant legislation. (in preparation for the new EU requirements)</li> <li>PQA process includes the requirement for PIA's where personal information is being processed</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>The Improvement and Information Team who are responsible for the Governance of CCTV have compiled a register of all CCTV devices owned by the Council. A review of the use of these devices is being undertaken through the council's Information Security Board and the nominated Directorate Information Asset Owners</li> <li>Work is underway to provide advice and guidance to Directors and Lead Officers working on the Alternative Delivery Models on Information Governance matters</li> <li>Work is underway to ensure that Information Governance matters are key considerations as the Council moves towards being 'digital by default'</li> <li>Work to support the collaborative services i.e. Regional Regulatory Service, Vale Valleys and Cardiff Adoption Service continues to ensure that the on-going Information Governance requirements are met and delivered</li> <li>Advice and assistance provided to the National Adoption Service and Rent Smart Wales continues as Cardiff Council is the Data Controller for these services</li> </ul>	<p>Christine Salter</p> <p>(Vivienne Pearson)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p> <p>Updated Proposed Improvement Actions</p>



Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
									<ul style="list-style-type: none"> <li>New e-learning training programme to go live in May 2016</li> <li>Review remaining 10% of Information Requests siting in Directorates with a view to bringing them into the 'One Council Approach'</li> <li>Business case to be presented including options to take forward work on Information Sharing Protocols in line with revised WASPI arrangements</li> </ul>	
<p><b>Social Services – Costs</b></p> <p>Failure to reduce the cost of delivering social services.</p>	<p>Reputational / Community / Legal / Financial / Stakeholders / Service delivery</p> <p>Quality and range of services and interventions compromised, e.g.:</p> <ul style="list-style-type: none"> <li>Safety and welfare of individuals in the community compromised.</li> <li>Achievement of good outcomes for service users compromised.</li> <li>Shortage of appropriate services including placements.</li> <li>Inability to meet key objectives and performance targets.</li> <li>Increase in challenges from carers, including financial challenges.</li> <li>Increase in Delayed Transfers of Care (DToC).</li> </ul>	B	1	High Priority	<p>Strategic service improvement governance arrangements including:</p> <ul style="list-style-type: none"> <li>Organisational Development Programme.</li> <li>Multi agency Improving Services to Children Board.</li> <li>Adult Services Improvement Board.</li> <li>Vulnerable Families Partnership Board.</li> <li>Social Services Reshaping Programme.</li> <li>Adult Social Care Strategic Commissioning Programme.</li> <li>DToC action plan.</li> <li>Internal Review team within Assessment &amp; Care Management continues to focus on delivery of targeted reviews and reviewing packages of domiciliary care for individuals.</li> <li>Assessment &amp; Case Management Business Process Review - commenced with corporate resources.</li> <li>Adult Social Services Position Statement completed.</li> <li>Robust and transparent scrutiny of budgets in place but this remains a significant challenge.</li> <li>Adult Services, Care &amp; Social Services Inspectorate Wales (CSSIW) and the Providers are working together to improve service delivery.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Remodelling Children's Services.</li> <li>Multi-Agency Safeguarding Hub (MASH).</li> <li>Remodelling services to disabled children.</li> <li>Redesign services for children with emotional, behavioural or mental health difficulties (UHB led).</li> <li>Enhance Community Resource Teams e.g. moving to 7 day working (ICF and RCF funding).</li> <li>Plan to increase domiciliary care capacity.</li> <li>Creation of combined Health &amp; Social Care Locality Community Resource Teams to increase efficiency and effectiveness.</li> <li>Review and implement effective contract monitoring and management arrangements.</li> <li>Identify commercialisation opportunities.</li> <li>Ongoing close monitoring of DToC Action Plan</li> <li>Living Wage growth bid submitted for 2016/17 budget.</li> <li>Rationalise / streamline improvement boards and governance.</li> </ul>	<p><b>Tony Young</b></p> <p><b>Councillor Sue Lent, Deputy Leader - Early Years, Children &amp; Families</b></p> <p><b>Councillor Susan Elsmore - Health, Housing &amp; Wellbeing</b></p> <p><b>Updated, Current Controls and Proposed Improvement Actions</b></p>
<p><b>Delayed Transfers of Care</b></p> <p>Failure (with Health partners) to reduce the number of Cardiff residents experiencing delayed transfers of care.</p>	<p>Reputational / Legal / Financial / Community / Stakeholders / Service delivery</p> <ul style="list-style-type: none"> <li>Potential ministerial intervention incurring significant reputational and political risk.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Leadership group established to tackle DToC - consisting of Cabinet Members from the Cardiff, Vale of Glamorgan, Chair of UHB and relevant officers.</li> <li>Joint action plan received and agreed by the Health Minister on 29th June 2015 under frequent review to monitor progress.</li> <li>Health &amp; Social Care Integration - continued progression on integration with Health - partnership / governance arrangements for Mental Health, Learning Disabilities and frail older people; development of integrated complex hospital discharge team across Cardiff, Vale of Glamorgan and the UHB.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Performance challenges set to improve DToC - includes ongoing close monitoring of DToC Plan.</li> <li>Strategic review of reablement as part of ODP.</li> <li>Strategic review of DToC re-engineering as part of ODP.</li> <li>ICF and RCF monies to enhance the Community Resource Teams - e.g. moving to 7 day working, 2<sup>nd</sup> Primary Care Fund.</li> <li>Plan to create more domiciliary care capacity to ensure availability of services to achieve timely discharges.</li> </ul>	<p><b>Tony Young</b></p> <p><b>Councillor Susan Elsmore - Health, Housing &amp; Wellbeing</b></p> <p><b>Updated Proposed Improvement Actions</b></p>
<p><b>Performance Management</b></p> <p>A performance management culture is not embedded within the Council leaving the Council exposed to intervention by Welsh Government in line with the Local Government (Wales) Measure 2009 and associated requirements</p>	<p>Reputational / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices.</li> <li>Council unable to accelerate performance improvement as planned/desired.</li> </ul> <p><u>Outcome Agreement 2013/16</u> Financial</p> <ul style="list-style-type: none"> <li>The WG guidance for the Outcome Agreement for 2013/16 means that there is a risk of not securing all or part of the £3.2m funding for 2013/14 and subsequent years</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The Council's refreshed Corporate Plan, which sets out four key priorities along with a series of related Improvement Objectives, was approved alongside the budget in February 2016.</li> <li>The Council's improved approach to the way it manages its performance was recognised by the Wales Audit Office's follow-on report, but it is also clear there is more work to be done to build on the success achieved so far. A new Performance Management programme will be put in place to deliver the required change.</li> <li>The Council's developing approach to Performance Management will continue to develop the way in which Benchmarking data is used, with specific emphasis on measuring the Council's improvement compared to Wales and Core Cities.</li> <li>Balanced Scorecards are produced each quarter and circulated to Cabinet and Directors for use in improving communication of performance. The continuing development of a scorecard approach to reporting will be a key part of the Performance Management programme of activity.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>A Programme of activity is being launched in April 2016 to ensure the Council's Performance Management arrangements continue to improve, leading in turn to improved services and better outcomes for our residents and service users</li> <li>Planned areas of focus include: <ul style="list-style-type: none"> <li>Developing a reporting framework that allows the right audiences to focus on the right level of detail to better aid decision-making</li> <li>Ensuring greater effectiveness of corporate planning frameworks, with clearer accountabilities and enhanced 'line of sight'</li> <li>Embedding a culture of challenge throughout the organisation</li> <li>Increasing the transparency with which we manage our performance</li> </ul> </li> </ul>	<p><b>Christine Salter</b></p> <p><b>(Joe Reay)</b></p> <p><b>Councillor Graham Hinchey - Corporate Services &amp; Performance</b></p> <p><b>Updated Current / Existing Controls and Proposed Improvement Actions</b></p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
<p><b>Organisation Development</b></p> <p>OD projects fail to deliver the radical change required to deliver efficiency savings and service changes, due to service and resource pressures.</p>	<ul style="list-style-type: none"> <li>The Council's budget constraints are so severe that the consequence of not delivering large-scale change could have a major impact on customer services.</li> <li>Radical changes to service delivery models may impact on the Council's reputation if not planned, co-ordinated and governed effectively.</li> <li>If change is not delivered, there could be unplanned reduction in staffing to achieve savings, which would result in loss of business knowledge and resources to implement change.</li> <li>Reputational impact if services do not meet increasing customer expectations.</li> <li>If change is not effectively planned, managed and implemented it may be delayed and subsequently impact on the Council's ability to achieve necessary savings and service improvements.</li> <li>With the increased budget pressures, the Council may not have sufficient capital and revenue to invest in technology which would achieve medium and long-term improvements and savings.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Governance arrangements established, led by the Chief Executive and Programme Boards, chaired by Directors to ensure change is delivered</li> <li>Disciplined approach, where risk assessment forms an integral part of the approach to change</li> <li>Programmes initiated with dedicated resources</li> <li>Experienced gained by managing programmes and projects over a number of years, building on lessons learned</li> <li>Building capacity and capability across the organisation through development opportunities and skills transfer</li> <li>Appropriate engagement and stakeholder management, including Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit.</li> <li>Improving compliance to project and programme management governance standards by streamlining core processes and enhancing reporting, increasing transparency across change initiatives.</li> <li>Continued implementation of Programme &amp; Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources.</li> <li>Organisational Development Board joined up with Senior Management Team who meets monthly to discuss the OD Programme. This ensures all Directors are fully engaged with the OD Programme.</li> <li>OD/SMT Board approved Programme Briefs for Reshaping Services, Enabling &amp; Commissioning and all component programmes. OD/SMT have approved the draft Digital Strategy, ahead of formal submission to Cabinet in May 2016.</li> <li>Improved reporting for the OD Programme has been developed (Dashboard Reports) and implemented at OD/SMT Board. These reports are produced 4-weekly.</li> <li>Appointment of programme managers to oversee the OD Programme (OM2 in April 2015 and OM1 in August 2015) has provided additional capacity and direction.</li> <li>SharePoint implementation within OD began in December 2015 and will continue through spring 2016, further improving information management, efficiency and internal communications.</li> <li>Controlled Risk Self Assessment tool piloted in OD to inform strengths and weaknesses in controls and help prioritise areas for improvement.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>New Programmes &amp; projects being initiated as part of Organisational Development – driving change from within Directorates, but corporately governed.</li> <li>Digital Services Roadmap to be developed / finalised and used to inform delivery.</li> <li>Further work required to improve programme reporting and information flow.</li> <li>Further work required to understand the interdependencies for all the projects ongoing in the OD Programme to ensure best use of resources and no duplication of effort.</li> <li>Enabling technologies to be realigned as appropriate to the priority areas.</li> <li>Meetings arranged with DMTs to discuss ongoing OD Programme and future projects that may require OD support so that resources can be planned accordingly.</li> <li>Annual review of the ODP that will map out the next steps for key projects and initiatives.</li> <li>Working with Finance to ensure that saving plans included in the medium term financial plan are directly linked to the ODP.</li> </ul>	<p>Christine Salter (Dean Thomas)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p> <p>Updated Current Controls and Proposed Improvement Actions</p>
<p><b>Business Continuity</b></p> <p>Large scale incident/loss affecting the delivery of services.</p>	<p>Reputational / Legal / Financial / Stakeholder / Service delivery / Health &amp; safety</p> <ul style="list-style-type: none"> <li>Inability to operate in a timely and efficient manner.</li> <li>Potential impact on health and safety.</li> <li>Impact on key services to the public.</li> <li>Inability to meet business obligations e.g. partnership arrangements.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The Council has a BCM Champion who sponsors BCM at a strategic level and is actively supporting the BCM Programme.</li> <li>We have an approved Business Continuity Policy which is aligned to ISO22301.</li> <li>BCM Intranet web page.</li> <li>BCM toolkit is now available on CIS allowing all service managers to develop an appropriate BCM response for their services allowing future effective maintenance and audit. BCM workshops are available from the BC Officer on request.</li> <li>The Council has employed a Business Continuity Officer (appointed October 2010). The officer is a qualified ISO22301 lead auditor.</li> <li>The Council worked with Marsh to complete a corporate exercise to identify and prioritise all activities. Marsh conducted a follow up BCM session at CMB on the 24th May 2011 which concluded the work on prioritising and classifying all of the Councils activities. This work to prioritise activities continues to be reviewed annually by the senior leadership team to keep the work live.</li> <li>The Red and Amber activities were last reviewed in July 2014. The BCM Champion presented a report to the SLT on the position on all the Red and Amber activities. Directors, Assistant Directors and Chief Officers were tasked with ensuring that their Red and Amber activities had business continuity plans produced and audited by the end of 2014/2015.</li> <li>A partnership approach between the Emergency Management Unit and the Corporate Risk Steering Group is helping to raise awareness and drive forward the BCM programme.</li> <li>71 % of our most time critical activities (Reds) now have Business Continuity plans which have met, or are going through, audit. Work on the remaining plans is ongoing to close gaps and bring them up to date and in line with the corporate audit requirement</li> <li>14.5 % of our Amber activities now have business continuity plans which meet the business continuity audit requirement.</li> <li>The Council now has a 24 hour Incident Management structure for Gold and Silver Officers. This structure was exercised in a corporate exercise OTAN run by the Emergency Management Unit in 6th and 9th of June 2014. This exercise also gave BC plan owners the opportunity to exercise their own BC arrangements. Further training for our Gold officers is due in November 2015.</li> <li>The existing and well tested corporate emergency management structure was successfully and extensively used in the preparation for and over the NATO summit period. This structure was ready to manage a corporate response to any incident.</li> </ul>	C	1	Medium Priority (Red/ Amber)	<ul style="list-style-type: none"> <li>It was agreed by SLT in July 2014 that a target date for completion of effective up to date Red and Amber business continuity plans would be put in place and this would have a target date of the end of 2014/2015, individual Directorates are responsible for progressing this work.</li> <li>The BC Officer has started working with Directorates to start building business continuity plans for the Councils 62 Amber activities (activities that need to be recovered between 1 hour and 24 hours following business disruption)</li> <li>The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with ISO22301 this has been distributed to all Directorates.</li> <li>The BC Officer is working closely with Facilities Management to ensure they have effective plans in place to help manage possible business disruptions to our four core buildings.</li> <li>Continue to promote the need for the Office Rationalisation Project to incorporate a solution to manage the risk and impact of loss of work space effectively, to limit impact on the provision of council services should there be a business continuity incident. This would probably be best achieved through roll out of an effective mobile working solution. A solution has been identified and is available to staff. Internal services have been working to improve the resilience and capability of infrastructure to support the use of this solution.</li> <li>Work with ICT to ensure our core infrastructure is as resilient as practical to support a resilient and effective delivery of essential ICT services and the effective planning for recovery of critical IT services after an incident that affects our IT.</li> <li>Work with the teams involved with looking at the potential of using alternative delivery models for council services. Identifying risks associated with alternative delivery models for specific services and recommend potential risk management solutions for implementation, to protect the delivery of our most critical services.</li> <li>Facilities Management have identified a vulnerability within one of our electrical emergency generator supplies which the BC Officer is working to support the closure of this vulnerability.</li> <li>The BC Officer is actively supporting the development of an</li> </ul>	<p>Christine Salter</p> <p>Councillor Phil Bale, Leader – Economic Development &amp; Partnerships</p> <p>Reviewed – No change</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<ul style="list-style-type: none"> <li>Cardiff Council is a member of the Core Cities Business Continuity Group and has been for the last 4 years. This membership allows the sharing of best practice and joint initiatives between group members.</li> <li>The Business Continuity Officer has been working closely with the procurement section of Resources to ensure that the resilience of suppliers is considered carefully when procuring services which are important to our most time sensitive activities, our Red and Amber activities.</li> <li>Risk and Audit conducted an audit of the Business Continuity Risk in the first 2 quarters of 2015 / 2016 a briefing note has been issued to SLT on the current position and actions moving forward to further enhance our organisational resilience.</li> </ul>				appropriate Threat and Response Policy to support council security arrangements.	
<p><b>Education – Schools Delegated Budgets</b></p> <p>Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> <li>Budget implications.</li> <li>Reducing educational standards.</li> <li>Intervention from WG</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>2015/2016 Budget allocations issued to schools in early March 2015 and monitoring arrangements put in place for those schools showing financial concern. This has continued for the 16/17 budget process.</li> <li>Officers from Education and Financial Services have worked with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible. .</li> <li>The fall in pupil numbers for certain schools made it clear that a longer period than four years was needed in order to achieve a balanced medium term position</li> <li>Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.</li> <li>Work ongoing with all schools but focussed targeting on specific secondary schools to continue to dampen the growth in deficits and ensure that those that do occur are recoverable.</li> <li>Officers from Education, HR, finance and legal looking at potential intervention strategies and developing a protocol for intervention.</li> <li>Reviewing closely with Education Management Team and SOP in particular as to the opportunities available to address short medium term fall in pupil numbers for certain secondary schools. Some schools are unviable in short term but the spaces will be required in the next five years so financial plans required to get over the next few years with low pupil numbers.</li> <li>For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school</li> <li>Individual school budget monitoring positions reported to Education Management Team on a quarterly basis</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Council make full use, if necessary, of formal warnings and powers of intervention.</li> <li>Officers have exercised the statutory powers of intervention in three secondary school governing bodies which is beginning to have a positive impact on the ability of the Council to ensure schools meet the targets set out in their deficit recovery plans.</li> <li>Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan, this may involve removing delegation from a Governing Body.</li> <li>Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula.</li> <li>School Budget Forum has agreed a revised protocol for responding to schools in deficit and this needs regular review with a tightening on the number of deficit budgets accepted. This has been reflected in the harder message contained within the 2016/17 school budget letters and the 2016/17 Budget Report.</li> <li>Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance.</li> <li>The Council has been able to protect school delegated budgets over and above the Welsh Government threshold and a smaller number of schools than in 15/16 have been identified as requiring meeting with S151 officer and senior education officers. These meetings will place in April and early May.</li> <li>Work is continuing with the School Budget Forum and consortium to ensure that the formula funding mechanism is transparent and remains fit for purpose whilst considering any interaction or impact of any grant allocation decisions.</li> <li>Maintaining the need for financial probity whilst ensuring that each school has the opportunity to improve school standards.</li> <li>Working with consortium to ensure that maximising value from constituent parts of Education Improvement Grant is secured and that there is clarity of allocation mechanism for 2017/18 and beyond.</li> <li>Developing the medium term budget strategy for 2017/18 and providing early notification to budget forum and individual schools of likely impact of said strategy.</li> </ul>	<p><b>Nick Batchelar</b> <b>(Neil Hardee)</b></p> <p><b>Councillor Sarah Merry - Education</b></p> <p><b>Updated Current Controls and Proposed Improvement Actions</b></p> <p><b>Residual Risk Reduced from B2</b></p>



Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
<p><b>Legal Compliance</b></p> <p>Changes in services and staff roles across the Council resulting in:</p> <ul style="list-style-type: none"> <li>- gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate;</li> <li>- inability to deliver the services in accordance with all duties and responsibilities due to lack of resource:</li> </ul> <p>in each case leading to increased risk of challenges.</p> <p>Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> <li>• Increase in number of challenges with consequences in terms of already stretched resources and impact of adverse decisions</li> <li>• Implementation of decisions delayed due to challenges and potentially fatally disrupted.</li> <li>• Impact on projects if reputation for sound management and implementation of projects is damaged</li> <li>• Major incident.</li> <li>• Adverse press/media reaction</li> <li>• Involvement from Welsh Government in terms of performance standards or measures.</li> <li>• Increased costs on external legal support</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>• Professional internal legal and financial advice provided to a high standard.</li> <li>• Legal Services repositioned in the senior management structure.</li> <li>• Maintaining robust decision making process with legal implications on all reports.</li> <li>• Appropriate use of NPS Legal Services by Solicitors Framework to increase resilience.</li> <li>• Dedicated teams in specialist areas e.g. equalities, FOI / DPA.</li> <li>• Sharing training/publications received</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Prioritisation of work to make best use of internal expertise (including programme of projects in accordance with SMT decision)</li> <li>• Continue efforts with exploration of collaboration with other legal services to see if there is the potential to increase resilience and / or efficiencies.</li> <li>• Further development of standard precedents with guidance for use in cases of low value/low risk/repetitive matters</li> <li>• Provide legal training to Directorates to develop knowledge within Directorates of specific statutory functions.</li> <li>• Encourage Directorates to ensure reports are discussed at preliminary stage in development to ensure all legal issues are addressed early</li> </ul>	<p>Christine Salter (David Marr)</p> <p>Cllr DeAth - Skills, Safety &amp; Engagement</p> <p>Updated Current Control &amp; Proposed Improvement Actions</p>
<p><b>Fraud, Bribery and Corruption</b></p> <p>Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>• Increase in frauds and losses to the Council.</li> <li>• Reputational risk as more frauds are reported.</li> <li>• Increased time investigating suspected fraud cases.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>• The Council communicates a zero tolerance approach to fraud, bribery and corruption.</li> <li>• Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy.</li> <li>• Financial Procedure Rules and Contract Standing Order and Procurement Rules frameworks for staff to follow.</li> <li>• Dedicated team of professionally trained and experienced investigators to prevent deter and detect fraud against the Council.</li> <li>• Proactive work on National Fraud Initiative exercises led by the Internal Audit team, in collaboration with the Cabinet Office and Wales Audit Office.</li> <li>• Receipt and dissemination of fraud intelligence alerts from law enforcement agencies.</li> <li>• Regular reports to the Section 151 Officer and Audit Committee and the Chief Executive.</li> <li>• Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority.</li> <li>• Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control.</li> <li>• Procurement team compliance role relating to contract procedure rules.</li> <li>• Savings proposals are reviewed and supported by a robust business case and process in consideration of risks to the operation.</li> <li>• Ongoing delivery of briefings to Schools on fraud and control risks.</li> <li>• Cardiff Manager Programme includes session on risk management and compliance / control.</li> <li>• Senior Management Assurance Statements – challenge to Directors and the Chief Executive.</li> <li>• Approval of new Fraud, Bribery and Corruption Policy and Money Laundering Policy at Cabinet, June 2015.</li> <li>• Provision of disciplinary management information on DigiGov.</li> <li>• Multi-team collaboration in the development of the updated Disciplinary Policy and supplementary guidance materials.</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Seek approval of a policy for Monitoring Employees at work and a management framework for its enactment.</li> <li>• Development of a package of mandatory e-learning modules for the pool of Investigating Officers and Disciplinary Chairs throughout quarter one 2016/17.</li> <li>• Continue to deliver the mandatory face to face training for investigating Officers to improve the standard of investigations. To be delivered to the pool of Investigating Officers by the end of quarter two 2016/17.</li> <li>• Continue to deliver the mandatory face to face training for of Disciplinary Hearing Chairs. To be delivered to the pool of Disciplinary Hearing Chairs by the end of quarter two 2016/17.</li> <li>• Continue to build upon and enhance the mandatory face to face training programmes.</li> <li>• Review process for ensuring appropriate fraud, bribery and corruption awareness for Council officers.</li> <li>• Delivery of Cardiff Manager Programme.</li> <li>• Review a sample of Disciplinary Hearing outcomes for consistent application of the Disciplinary Policy.</li> <li>• Challenge inconsistent disciplinary sanctions and report findings to the Section 151 Officer and Audit Committee.</li> <li>• Enhance DigiGov to facilitate changes introduced by the new Disciplinary Policy and the production of management information, by the end of quarter 2 2016.</li> </ul>	<p>Christine Salter</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p> <p>Updated Risk Title, Current Control &amp; Proposed Improvement Actions</p>
<p><b>Asset Management</b></p> <p>Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.</p>	<p>Reputational / Legal / Financial / Health &amp; Safety / Stakeholders</p> <ul style="list-style-type: none"> <li>• Poor use of assets / VFM.</li> <li>• Lost opportunity for capital receipts.</li> <li>• Increased maintenance.</li> <li>• Prosecutions / fines.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>• Cabinet formally approved a new Property Strategy in November 2014.</li> <li>• Corporate Asset Management Board and supporting Working Group now set up to raise property profile and introduce more structured, disciplined approach to management of property and the Office Accommodation Rationalisation Programme.</li> <li>• Established rolling programme of 'Fitness for Purpose' reviews of all council properties providing high level assessment of the current performance and value of buildings.</li> <li>• Carbon Management / Energy Efficiency - Certificates / General Awareness / Introduction of Energy Renewables Strategy.</li> <li>• Established Implementation Plan for the new Property Strategy.</li> <li>• Determined governance and work programme updates for new Corporate Asset Management Board at meeting in January 2015.</li> <li>• Review of Investment portfolio completed. Report on future strategy and direction of non-operational estate presented to PRAP in January 2015 for onward consideration by Cabinet in June 2015.</li> <li>• Asset Management Plan considered by Cabinet in July 2015.</li> <li>• Future Strategy and direction of the Council's non - operational Investment Estate approved by Cabinet in November 2015.</li> <li>• Asset Management Board and Partnership Board fully operational.</li> </ul>	D	2	Medium Priority (Amber/Green)	<p>Establish Investment Board and new Governance for the Investment Estate.</p>	<p>Neil Hanratty</p> <p>Councillor Phil Bale, Leader – Economic Development &amp; Partnerships</p> <p>Updated Current Controls and Proposed Improvement Actions</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<ul style="list-style-type: none"> <li>Delivered targets in Corporate Asset Management Plan in 2015-17 as follows: <ul style="list-style-type: none"> <li>Gross internal floor area reduced by 3.5%</li> <li>Maintenance backlog reduced by @£4.4m</li> <li>Running cost reduced by £1m</li> <li>Delivered £6.7 million capital receipts</li> </ul> </li> </ul>					
<p><b>Workforce Planning</b></p> <p>Importance of forecasting and planning to build capability and capacity for the future is not fully recognised and embedded.</p>	<p>Reputational / Financial / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> <li>Poor service delivery due to ineffective use of resources.</li> <li>Lack of resources with the knowledge and skills the Council requires for future delivery</li> <li>Loss of resources and recruitment problems.</li> <li>Poor morale</li> <li>Loss of experienced staff members including managers</li> <li>Reduce the likelihood of attracting high calibre managers to Cardiff Council</li> <li>Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care.</li> </ul>	<b>B</b>	<b>3</b>	<p>Medium Priority</p> <p>(Red/Amber)</p>	<ul style="list-style-type: none"> <li>The Workforce Planning Project forms one of the projects within the Workforce Strategy programme with its purpose to review, develop and implement workforce planning</li> <li>The Workforce planning project has a completed project brief identifying a number of key outputs required for workforce planning</li> <li>HRPS provided the Workforce Planning data within the Resources/Staff section of Directorate Delivery Plan</li> <li>Behavioural Competence Framework implemented, including 12 behavioural competencies set out in 4 levels as a way in which the Council describes its people and jobs.</li> <li>Work is being carried out on linking processes that can be used for the identification and development of potential e.g. Recruitment &amp; Selection, PPDR and Cardiff Academy and underpinning these with the Competency Frameworks.</li> <li>The Workforce Planning approach commenced with the roll out of the new tool and managers guide in March 2014. Whilst awaiting an IT solution, a new tool has been developed to enable the organisation to take a snapshot of where they are currently and to start to consider the 'skills' requirements piece</li> <li>Managers' guide to WFP developed and disseminated to Directorates March 2014.</li> <li>The Behavioural Competency Framework has been reviewed and stakeholder feedback collated to inform a revised approach which has been implemented</li> <li>Additional research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event. LGA/ Skills for Local Government hosted COP event.</li> <li>HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda.</li> <li>Workforce strategy developed and agreed by Cabinet in April 2015</li> <li>Options appraisal to deliver a workforce planning IT solution to be developed</li> </ul>	<b>B</b>	<b>3</b>	<p>Medium Priority</p> <p>(Red/Amber)</p>	<ul style="list-style-type: none"> <li>Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development. The alignment of DDP's and the Workforce Strategy has been piloted within Children's Services.</li> <li>Workforce Strategy signed off In April 2015 and a refreshed Workforce Planning approach is being taken forward in a number of ways. Children's Services have developed a Workforce Strategy for their area. Some test work has been carried out of a Workforce Planning Canvas tool. Resources have held a workshop which focussed on Professional and Technical areas to inform the key skills required for the Directorate going forward. Work has been carried out to build workforce planning into the Directory Delivery Plan process for 2016/17. There is also a review underway with Procurement colleagues of the Service Review Toolkit to fully integrate Workforce Planning into the tool kit. In addition work is still ongoing to identify a suitable Workforce Planning IT solution. Work has taken place with Cardiff and Vale College to look at an Essential Skills diagnostic tool. Work is being carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local Authorities.</li> <li>The project Plan for the Workforce Planning Project gives full details of the improvement action plan.</li> </ul>	<p>Christine Salter</p> <p>(Philip Lenz)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p> <p>Updated Risk Description, Consequence, Current Controls &amp; Proposed Improvement Actions</p>