

CORPORATE RISK REGISTER – Q4 SUMMARY 2017/18

Appendix D

Risk Description	Inherent Risk	Residual Risk	Risk Owner	Cabinet Member
EVENT DRIVEN RISKS				
<u>City Security</u> Major security-related incident in the city as a result of international or domestic terrorism.	High Priority A1	High Priority B1	Christine Salter (Joseph Reay) Andrew Gregory	Councillor Huw Thomas Leader.
<u>Welfare Reform</u> 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, removal of automatic entitlement to housing costs for under 21s and changes to funded for supported housing. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.	High Priority A2	High Priority B2	Sarah McGill (Jane Thomas)	Councillor Lynda Thorne Housing & Communities.
<u>Cyber Security</u> The ability to protect information systems (hardware, software and associated infrastructure), the data on them, and the services they provide, from unauthorised access, harm or misuse. This includes harm caused by the operator of the system (intentionally or accidentally) as a result of failing to follow security processes. The principal external threat groups to information systems are categorised by HM Government as cyber criminals, states and state-sponsored, terrorists, hackers and script kiddies.	High Priority A1	Medium Priority (Red/Amber) C1	Christine Salter (Phil Bear)	Councillor Christopher Weaver Finance Modernisation and Performance
<u>Waste Management</u> 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. Failure to comply with EU recycling waste directive.	High Priority B1	Medium Priority (Red/Amber) C2	Neil Hanratty (Tara King)	Councillor Michael Michael Clean Streets, Recycling and Environment.
<u>Schools Organisation Programme (Band B)</u> Very large scale Capital Programme – Band B (£284m) with tight timescales for delivery, in context of very rapidly growing primary age school population.	High Priority B1	Medium Priority (Red/Amber) C1	Nick Batchelar (Janine Nightingale)	Councillor Sarah Merry Deputy Leader & Education, Employment & Skills
<u>Business Continuity</u> Large scale incident/loss affecting the delivery of services. The potential risk is that our most time sensitive activities are not sufficiently resilient and fail, following an incident which impacts on their delivery and that our incident management structure, used in response to internal incidents and external emergencies, also fails in response to an incident	High Priority B1	Medium Priority (Red/Amber) C1	Christine Salter	Councillor Huw Thomas Leader
ONGOING RISKS				
<u>Non completion of Statutory Building Equipment maintenance</u> Currently statutory obligations testing is not organised consistently or a centrally managed process across the Council, partly due to a lack of understanding on who is responsible for arranging the testing and any remedial works identified. Consequently, there is a risk that the required testing and remedial works resulting may not be undertaken and completed correctly. Also, a complete up-to-date accurate register of all statutory obligations testing requirements does not exist. Furthermore, there is no embedded technology in use consistently to manage the statutory obligations work or the storing of relevant statutory obligation documentation.	High Priority A1	High Priority B1	Neil Hanratty (Tara King)	Councillor Russell Goodway, Investment & Development
<u>Air Quality</u> Poor air quality is the most significant environmental determinant of health. UK Government has placed the improvement of Air Quality very high on their agenda and it has been made clear that they consider the responsibility for addressing the issue is at the door of Local Authorities.	High Priority A1	High Priority B1	Andrew Gregory (Gary Brown)	Councillor Caro Wild, Strategic Planning & Transport.
<u>Education Consortium & Attainment</u> 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.	High Priority B1	Medium Priority (Red/Amber) C2	Nick Batchelar (Angela Kent)	Councillor Sarah Merry, Deputy Leader & Education, Employment & Skills
<u>ICT Platforms Unsuitable/ Outdated</u> 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.	High Priority A2	Medium Priority (Red/Amber) B3	Christine Salter (Phil Bear)	Councillor Christopher Weaver Finance Modernisation and Performance.
<u>Safeguarding</u> Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners.	High Priority B1	Medium Priority (Red/Amber) C1	Sarah McGill & Davina Fiore	Councillor Susan Elsmore Social Care, Health & Well-being Councillor Graham Hinchey Children & Families. Councillor Christopher Weaver Finance Modernisation and Performance.
<u>Financial Resilience</u> Failure to deliver a balanced annual budget and a fully informed Medium Term Financial Plan which would significantly weaken the financial resilience of the Council. The current outlook is that there is a Budget Gap of £91 million for the period 2019/20 to 2021/22.	High Priority A1	High Priority B2	Christine Salter (Ian Allwood)	Councillor Christopher Weaver Finance Modernisation and Performance.
<u>Budget Monitoring (Control)</u> 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.	High Priority A1	High Priority B2	Christine Salter (Allan Evans)	Councillor Christopher Weaver Finance Modernisation and Performance.
<u>Performance Management</u> After considerable progress in both developing the way the organisation manages performance and in actual performance improvement, there is a need to focus on ensuring Performance Management practices are mature, embedded and consistently applied as the organisation looks to continue improving outcomes in the face of significant financial pressures.	High Priority B2	Medium Priority (Red/Amber) C2	Christine Salter (Joe Reay)	Councillor Christopher Weaver Finance Modernisation and Performance.
<u>Health and Safety</u> Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.	High Priority A1	High Priority B1	Christine Salter (Donna Jones)	Councillor Christopher Weaver Finance Modernisation and Performance.

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<u>Climate Change & Energy Security</u> 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.	High Priority B1	Medium Priority (Red/Amber) C1	Andrew Gregory	Councillor Michael Michael Clean Streets, Recycling and Environment.
<u>Coastal Erosion</u> Breach of current defences resulting in widespread flooding.	High Priority B1	High Priority B1	Andrew Gregory	Councillor Michael Michael Clean Streets, Recycling and Environment
<u>Information Governance</u> 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.	High Priority A1	Medium Priority (Red/Amber) C1	Christine Salter (Vivienne Pearson)	Councillor Christopher Weaver Finance Modernisation and Performance..
<u>Social Services – Provision</u> Failure to provide robust and adequate social services in the context of increasing costs and limited resources.	High Priority B1	Medium Priority (Red/Amber) C1	Sarah McGill	Councillor Susan Elsmore Social Care, Health & Well-being Councillor Graham Hinchey , Children & Families
<u>Promoting Independence</u> Failure to sustain an effective whole system approach that enables adults with significant health needs to remain in, or return to, their own homes and reduces the need for / length of hospital stays.	High Priority B1	Medium Priority (Red/Amber) C1	Sarah McGill	Councillor Susan Elsmore Social Care, Health & Well-being
<u>Delivering Capital Ambition Programme</u> Projects within the Programme fail to deliver the change required to ensure the implementation of the Administration's agenda and to refocus services to meet the challenges faced by the Council and the city's wider public services.	High Priority B1	Medium Priority (Red/Amber) C2	Christine Salter (Dean Thomas)	Councillor Christopher Weaver Finance Modernisation and Performance.
<u>Legal Compliance</u> Changes in services and staff roles across the Council resulting in: - gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate; - inability to deliver the services in accordance with all duties and responsibilities due to lack of resource: In each case leading to increased risk of challenges. Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.	High Priority B2	Medium Priority (Red/Amber) C2	Davina Fiore	Councillor Huw Thomas , Leader.
<u>Education – Schools Delegated Budgets</u> Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.	High Priority A2	Medium Priority (Red/Amber) C2	Nick Batchelar (Neil Hardee)	Councillor Sarah Merry Deputy Leader & Education, Employment & Skills
<u>Fraud, Bribery and Corruption</u> Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.	High Priority B2	Medium Priority (Red/Amber) C2	Christine Salter (Ian Allwood)	Councillor Christopher Weaver Finance Modernisation and Performance.
<u>Asset Management</u> Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.	High Priority B2	Medium Priority (Amber/Green) D2	Neil Hanratty	Councillor Russell Goodway , Investment & Development
<u>Workforce Planning</u> Importance of forecasting and planning to build capability and capacity for the future is not fully recognised and embedded.	Medium Priority (Red/Amber) B2	Medium Priority (Red/Amber) B3	Christine Salter (Philip Lenz)	Councillor Christopher Weaver Finance Modernisation and Performance.