

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
1	<p>City Security</p> <p>Major security-related incident in the city as a result of international or domestic terrorism.</p>	<p>Service Delivery / Reputation / Legal / Financial / Health & Safety / Financial / Partnership / Community & Environment / Stakeholders</p> <p>Potential for:</p> <ul style="list-style-type: none"> Large numbers of fatalities, injuries to public in crowded place. Extensive structural damage and/or collapse of surrounding buildings. Major fire. Damage/disruption to utilities (gas, electricity, water etc.) Immediate impact to businesses in the Cardiff area. 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. Area to be viewed as a risk for potential future business investment. Inability to attract major future national and international events (political, sporting etc.) Increase in demand for council services/support for all affected. Current economic climate to reduce the effectiveness of any recovery/regeneration of the area. 	High (A1)	<ul style="list-style-type: none"> All existing identified high risk; crowded places have been formally assessed. Some crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge. Crowded places have varying standards of boundary treatments protecting them; providing a limited/cursory visual deterrent but little/no protection from a hostile vehicle. CONTEST Protect/Prepare Task & Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'. 19 (38%) 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. The estimated cost for the procurement and installation of the PAS 68/69 mitigation and ancillary services is £3.6 Million. Work is ongoing with City Operations to advise developers across the city in relation to appropriate mitigation required. 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. The Tabernacle Access Control Document is 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. Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services & 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. As the above shows, the work done in the city to address security concerns has been predominantly focused on the provision of physical assets to mitigate against the threat of hostile vehicles. Although this area remains important, a more holistic approach is needed to develop the city's response to and management of a wider range of potential threats. 	High (B1)	<ul style="list-style-type: none"> The CONTEST Protect/Prepare Group will continue to monitor and review the city's Hostile Vehicle Mitigation scheme to ensure it is fit for purpose until it is fully installed. The CONTEST Protect/Prepare Group will give a status report to the Cardiff CONTEST Board The CONTEST Board will continue to try to identify external funding sources/opportunities from Welsh Government and UK Central Government to conclude scheme and appropriately mitigate the risk. £1m of work to enhance the city's HVM scheme (match-funded by Welsh Government and Cardiff Council) to be completed by Spring 2018. Progress delayed on some elements – planned completion now August 2018 The work that will be completed will improve the protection of the City Centre public realm but further funding will be required to conclude the protection of identified public realm. A holistic security strategy for the city is being developed through the city's CONTEST partnership mechanisms. This strategy will extend the perspective of the city's security beyond hostile vehicle mitigation to incorporate a range of security measures, including the continuing development and agglomeration of the city's CCTV and the deployment of new technological solutions Once the strategy has been completed it will provide a suite of costed business cases that will allow the continued incremental development of the city's security provision This in turn will allow partners to be more responsive to emerging funding opportunities 	Christine Salter (Head of Performance & Partnerships) & Andrew Gregory Councillor Huw Thomas Leader
2	<p>Welfare reform</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, 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</p>	<ul style="list-style-type: none"> Private landlords stop renting to benefit claimants Social housing rents become unaffordable to some claimants, in particular those with large families. Increased homelessness and demand for temporary accommodation Increased rent arrears, increased evictions Redeployment / Severance for 140 benefits staff Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties. Barriers to building additional affordable housing Supported accommodation becomes unaffordable impacting on social services and vulnerable homeless clients. 	High (A2)	<ul style="list-style-type: none"> Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit. 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. Timely information is being given to claimants to help them respond to the changes. 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. The Welfare Liaison team within the housing service is in place to assist tenants affected by the changes. Work has been carried out to identify those affected by the reduced Benefit Cap and to advise them accordingly and to identify the most vulnerable families and award DHP. Universal Credit full service has commenced in Cardiff. Despite additional resources put in place rent arrears for council tenants have risen significantly since the change was implemented. The council is currently providing face-to-face services on behalf of the DWP including digital inclusion and budgeting advice, however funding for this is being cut from March 2019 and will transfer to CAB. The Advice Hub in Central Library is providing comprehensive advice services for those affected by Welfare Reform and this is being rolled out across the city in Community Hubs and foodbanks. The Inclusive Growth Board and subgroups are working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected. Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate. Digital inclusion training and banking support has been successfully implemented and will continue to be monitored. Into Work Services are providing services across the city and helping people get back to work with particular focus on those families affected by the benefit cap. 	High (B2)	<ul style="list-style-type: none"> Further additional resource has been agreed for supporting council tenants following the implementation of Universal Credit Full Service as rent arrears have increased significantly, staff have been recruited to assist with this and the new team is working well. Rent arrears procedure has been reviewed to include a more preventative and flexible approach and more assistance for more vulnerable tenants. This will be monitored over the coming months. 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. Regular meetings are held with social housing providers to monitor and improve processes. DHP spend is being monitored carefully. Expenditure for 18/19 will continue focusing on the most vulnerable individuals, helping people with the transition into work and mitigating the risk of homelessness. Services for private landlords are being further developed to help prevent them withdrawing from the market. 	Sarah McGill (Jane Thomas) Councillor Lynda Thorne Housing & Communities
3	<p>Cyber Security</p> <p>Three of the eleven areas of a Cyber Security assessment underpinning the corporate risk have been identified as high risk as follows:</p> <p>Unsecure Configuration - unauthorised access, changes and exploitation to systems.</p> <p>Monitoring - inability to assess how and when systems are being used, leading to an ineffective response to deliberate attacks or accidental user activity.</p> <p>Corporate Cloud Security - 2016 Internal Audit identified contract, SLA and service management weaknesses in externally hosted services.</p>	<p>Reputational / Legal / Financial / Stakeholder / Service Delivery / Health & safety</p> <p>The intent of cyber attackers includes, but is not limited to:</p> <ul style="list-style-type: none"> financial fraud; information theft or misuse, activist causes to render computer systems intolerable and to disrupt critical infrastructure and vital services. <p>The impact of a cyber-attack / incident has the potential to involve the realisation of the risks associated with:</p> <ul style="list-style-type: none"> An information governance breach (i.e. Stop Now Order, Information Notice, Enforcement Notice, Financial Penalty etc.) A business continuity incident – with a potential for major loss of service and legal, health and safety and financial implications. A financial / fraud related attack. <p>A malicious attack could result in loss of confidence from those transacting with the Council (reputation), as well as legal, asset, system, operational and financial implications.</p>	High (A1)	<p>The principal controls for the high risk areas are as follows:</p> <ul style="list-style-type: none"> Secure Configuration - Established secure baseline and compliance standards with centralised policies to secure user environments. Monitoring - Minimal routine log analysis with incident reporting to ISB and discussed with IAO. Corporate Cloud Security - Maturing PIA & CIA process used to assess risks to data and technology solutions. <p>A cyber security maturity assessment is regularly reviewed against 11 risk factors following the National Cyber Security Centre approach (based on network security, user education and awareness, malware prevention, removable media controls, secure configuration, privileged accounts, incident management, monitoring, home and mobile working policy, risk management regime and corporate cloud security).</p> <p>The maturity self-assessment concludes that the Council has:</p> <ul style="list-style-type: none"> strong malware prevention, user privileges and home and mobile working controls. adequate / mature risk management regime, network security, user education and awareness, removable media controls and incident management. a need for senior management team (SMT) to collectively assess the effectiveness of secure configuration, monitoring and corporate cloud security controls. <p>The cyber security maturity assessment underpins this summary corporate risk and regular monitoring has commenced to drive risk-based prioritisation and actions.</p> <ul style="list-style-type: none"> Escalated risks to SMT around secure configuration, monitoring and corporate cloud security controls to SMT and support for improvements agreed at the meeting. Risks monitored and escalated via Information Security Board as well as directorate management meetings and Senior Management Team (SMT). As part of improving user education and awareness, Information Asset Owners receive compliance reports relating to Bob's Business Data Protection training. Privacy Impact Assessments which include Cloud Impact Assessments are in place. 	Medium (D1)	<ul style="list-style-type: none"> ICT and Information Governance (IG) Teams to continue to liaise with FM for physical security assurances and to promote an incident reporting culture. To enhance user education and awareness via Information Governance Seminars for each Directorate. To ensure strong ICT security, monitoring and cloud security controls: <ul style="list-style-type: none"> ICT lifecycle and notification targets are being monitored and managed through the 'ICT Platforms' risk actions. Collaboration between ICT and IG to develop and map current ICT system providers in phased development of an Information Asset Register. Privacy Impact Assessment / Cloud Impact Assessments to be reviewed to ensure compliance with the requirements of the General Data Protection Regulation (GDPR) Action Plan being managed by the Information Governance Team. Governance and management requirements to be formalised for periodic and systematic review of all ICT systems. SIRO to review / consider Cloud Infrastructure to ensure: <ul style="list-style-type: none"> Effective governance and management. Resource, risk appetite and outcomes required. Education of business systems owners in risk and management of cloud based services. Cyber Security Awareness training videos to be made available to council officers via e-learning portal. Key areas to be covered: GDPR; good password practice; internet security; scamming information and when to seek advice. 	Christine Salter (Phil Bear) Councillor Chris Weaver Finance Modernisation and Performance

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
4	<p>Waste Management</p> <p>Failure to meet statutory recycling targets and deliver cost effective compliance with waste management legislation</p>	<p>Consequence:</p> <p>Financial</p> <ul style="list-style-type: none"> - penalties and loss of grant support - continuing financial costs to service due to ongoing investigation - accurate measuring, and meeting landfill tax contingent liability <p>Legal & Regulatory</p> <ul style="list-style-type: none"> - Failure to comply with EU recycling waste directive, leading to sanctions, penalties or interventions <p>Strategic/ Reputational</p> <ul style="list-style-type: none"> - reputational consequence with citizens and key stakeholders 	High (B1)	<p>The foundations of the current controls (as documented at Q4 17/18) are within the Recycling Waste Management Strategy 2015-2018, located on the council's website: https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Documents/CAB%20Appendix%201%20-%20Recycling%20Waste%20Management%20Strategy%202015%20Eng.pdf</p> <p>Current Controls as at Q1 18/19:</p> <p>Recycling Development:</p> <ul style="list-style-type: none"> - Consultation of Waste & Recycling Strategy 2018-2021 has been completed and presented to Cabinet. - Implementation of In-Cab and tachograph system is partly complete, which will improve service delivery through real time technology, optimisation of routes and identification of waste contamination. - The newly installed Auto Sorter for mixed plastics/ fibre products became operational (July 2018) and will improve processing efficiency, reduce rejects and increase recycling. - Modelling has been undertaken on best option for managing co-mingled recycling issue, with twin stream concluded as best option - Ongoing mgt of Cardiff Organic Waste Treatment contracts (Kelda/ Dwr Cymru) for an Anaerobic Digestion (AD) facility and Open Window Composting (OWC) facility to treat source-separated food and green/garden wastes respectively, over a 15 year period - Education taking place across Cardiff with focus on key areas for recycling improvement. - intervention plan developed to move from 58-64% recycling - Glass trial pilot has been completed and reviewed <p>Wider Governance & Compliance:</p> <ul style="list-style-type: none"> - Ongoing investigation in the Waste function has been robustly serviced, and is following a number of lines of enquiry, through which the governance process is being rigorously reviewed. - A prudent valuation for a contingent landfill tax liability together with other potential impacts on the Council's accounts are in the process of being quantified with the support of external consultants (PWC), senior and specialist officers in the Council's accountancy function. - Prosiect Gwyrdd (Cardiff Council in partnership with other L.A's) - ongoing mgt of contract over 25 years with Viridor, who will produce energy from the remaining 'black bag' waste which historically has gone to landfill, providing the best environmental, cost effective and practical solution for waste after recycling/ composting has been maximised (22% recycling from bottom ash) - Senior Management have worked with WG on explaining the current position and the improvements being put in place - Introduction of improvements in weighbridge and data systems holding data on waste movements, to improve data management and ease collation of data. 	High (B2)	<p>Recycling Development:</p> <ul style="list-style-type: none"> - Actions from the Waste & Recycling Strategy 2018-2021 to be part of programme monitoring for meeting recycling targets. - Completion of In-Cab technology implementation & training - Application for funding to extend the Glass trial pilot to end of year and for next year for citywide roll out - A targeted approach to education that is aligned with enforcement to support the removal of contamination from the recycling stream. This may be in a blitz approach to target key areas of concern - will commence Q4 - Media campaign to promote/encourage removal of contamination from recycling material by citizens - will commence Q4 <p>Wider Governance & Compliance:</p> <ul style="list-style-type: none"> - Work is ongoing to review the Waste Data Flow team resourcing to ensure it is sustainable and can provide information in a timely manner. Senior Management continue to work with WG on explaining the current position and the improvements being put in place - Work is on going in relation to the Governance of Waste Data Flow review and development of a senior management role within new structure, providing leadership in the area of Waste Data Flow. - Senior Management to have ongoing regular engagement and discussions with WG on Cardiff's Waste Strategy and compliance with the WG Blueprint. WRAP and CC developing a mandate - Ongoing commitment to working with PWC and senior and specialist officers in the Council's accountancy function in relation to landfill tax contingent liability 	<p>Andrew Gregory (Matt Wakelam)</p> <p>Councillor Michael Michael, Clean Streets, Recycling and Environment.</p>
5	<p>Schools Organisation Programme (Band B)</p> <p>Very large scale Capital Programme – Band B (£284m) with tight timescales for delivery, in context of very rapidly growing primary age school population.</p>	<p>Reputational / Legal / Financial / Social / Stakeholder / Health & safety.</p> <ul style="list-style-type: none"> • Insufficient secondary places in some central area of the City. • Insufficient places in ALN settings across the City, leading to costly placement in out of county & private settings. • School Buildings that are not suitable for teaching and learning • Further degeneration of school buildings & rise in assert management backlog • Three category "D" condition buildings, that are classed as end of life failing & being closed with hundreds of displaced students across the City. • Reducing educational standards. • Risk that insufficient capacity in team to deliver the very large programme. • Project cost and time overruns • Risk that Welsh Government do not approve individual project funding if not satisfied with Business Cases. 	High (A1)	<ul style="list-style-type: none"> • 21st Century Schools Band B funding bid was submitted to Welsh Government in July 2017 and the Strategic Outline Case for £284m was approved in November 2017. Two Cabinet Reports in October and December 2018 outlined the priorities for this second phase of funding. • Robust governance model, in line with Corporate Landlord being agreed. • Arup report commissioned to look at Governance & capacity issues within the SOP team, will report on recommendations to Cabinet in May 2018. • Head Teachers & Chairs of Governors of those schools involved in Band B briefed on process and timescales. • Band B Delivery Group and School Development group formed internally to look corporately at issues including legal title, highways & transportation and planning. • Technical feasibility and design work underway with assistance from Mott McDonald and Stride Treglown architects. • Finance preparing the capital profiles for submission to Welsh Government and to monitor draw down and spends. • Strategic Estates Department commissioned to achieve capital receipts of £25m to assist in funding the capital programme. • Developing an enhanced asset management regime for the three "D" category High Schools, Fitzalan, Cantonian and Willows, in order to ensure that they remain as safe teaching and learning environments until such time as the buildings are replaced. • Developing a robust procurement strategy for this large scale programme. 	Medium (C2)	<p>All risks are being monitored and reported to Band B Delivery Group.</p> <p>Formal Governance via a Schools Programme Board and Project Boards, being established.</p> <p>Strengthening of the capacity of the SOP team critical to ensuring effective delivery of the programme. This includes ensuring that corporate colleagues in departments including legal, strategic estates, ICT, planning and highways and transportation are available.</p> <p>Continued active dialogue with Welsh Government and other professional parties to support progress and development.</p> <p>Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward.</p> <p>Ensure consistent monitoring and reporting of all risks to Schools Programme Board.</p> <p>All risks are being monitored and reported to Band B Delivery Group.</p> <p>Formal Governance via a Schools Programme Board and Project Boards, being established.</p> <p>Strengthening of the capacity of the SOP team critical to ensuring effective delivery of the programme. This includes ensuring that corporate colleagues in departments including legal, strategic estates, ICT, planning and highways and transportation are available.</p> <p>Continued active dialogue with Welsh Government and other professional parties to support progress and development.</p>	<p>Nick Batchelar (Janine Nightingale)</p> <p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
6	<p>Business Continuity</p> <p>Large scale incident/loss affecting the delivery of services.</p> <p>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</p>	<p>Reputational / Legal / Financial / Stakeholder / Service delivery / Health & safety</p> <ul style="list-style-type: none"> Health and Safety – potential impact on staff and on the public relying on our most, time sensitive, critical services. Legal action -Failure of key services could lead to Legal action against the council. Financial - Failure of key services could led to significant financial cost both in terms of Ombudsman action and Enforcement action from regulatory bodies as well as individual legal action against the corporate body where service failure leads to legal action against us from private claimants. Reputational - Impact on key services to the public could lead to significant reputational damage to the organisation. Stakeholder – Impact on key stakeholders as result of failure. Service delivery – Potential significant impact on service delivery to the public, impact of key services could lead to significant impacts to the public and the corporate body un delivering its services. 	High (B1)	<ul style="list-style-type: none"> The Council has a BCM Champion who sponsors BCM at a strategic level and is actively supporting the BCM Programme. We have an approved Business Continuity Policy which is aligned to ISO22301. BCM Intranet web page. 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. The Council has employed a Business Continuity Officer (appointed October 2010). The officer is a qualified ISO22301 lead auditor. 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. The Council has a 24 hour Incident Management structure for Gold and Silver Officers. 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. 87 % of our most time sensitive 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 Cardiff Council is a member of the Core Cities Business Continuity Group and has been for the last 8 years. This membership allows the sharing of best practice and joint initiatives between group members. 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. Internal Audit completed an audit of the Business Continuity Risk in September 2018 and the assurance statement was Effective with opportunity for improvement. Three key actions were identified and an action plan has been agreed to address the improvement opportunities, two of these actions have now been completed with the final eon due before the Year end. The Corporate Incident Management structure and many individual team Business Continuity Plans were tested in the two extreme snow events of March 2018, the value of the incident management structure and the business continuity work was recognised in the outcomes of the structured debrief following the two snow incidents. Targeted specific actions are being undertaken to enhance resilience around our severe weather response capability, these should be in place by winter 2018. The Business Continuity Officer is preparing ready to support our Directorates with our most time sensitive activities to consider and plan for any impacts around Brexit, this preparation is on going. 	Medium (D1)	<ul style="list-style-type: none"> 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 core buildings. 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. The Emergency Management Unit are planning a piece of partnership work with ICT to support areas that provide red activities in assessing the impact the loss of technical services, and ensuring suitable mitigation is in place to make our red services more resilient, where this is possible. 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. The Business Continuity Officer is working to develop and enhance individual Directorate response capability to ensure Directorates are in a stronger position to respond to incidents which could impact on the Council and our most time sensitive activities. The Business Continuity Officer is proposing working closely with Education and Life Long Learning to support them in developing a school specific Business Continuity Plan template to enhance schools resilience capability. The Emergency Management Unit propose enhancing our wider Business Continuity and Resilience work through the development of a separate but council hosted and developed EVAC Cardiff website, building on the strength of our existing EVAC Cardiff work which will support our main resilience work streams, building on the success of the EVAC Cardiff APP. This will complement our existing work with partner agencies in this area and aims to support the wider public in being more aware and empowered around their own and their community's resilience. This work should be complete by end of Quarter 2 2018/2019. The BC officer is leading a review of 4x4 resources across the council to support our response capability to future winter storms. 	Christine Salter Councillor Huw Thomas Leader
7	<p>Non-completion of Statutory Building Equipment maintenance</p> <p>RAMIS holds statutory obligations across the estate and is the central system for uploading of certificates and identifying and closing down remedial actions.</p> <p>The risk from statutory inspections lies with the cost of the remedial works which are required to maintain the premises, installation, equipment in a safe and legally compliant condition. However the visibility provided by RAMIS allows accurate evaluation of risk and targeting of funds available.</p>	<p>Potential consequences of non-compliance with statutory maintenance:</p> <ul style="list-style-type: none"> Fatalities or serious injuries Closure of part or whole of facilities with major disruption to service delivery HSE interventions and consequential actions including fines and prosecution; Significant additional expenditure requiring realignment of Corporate budgets; Temporary relocation of staff Temporary loss of operational service Invalidation of insurance policy Serious adverse impact on reputation Damage to fabric of building or other equipment 	High (A1)	<p>Contractor</p> <ul style="list-style-type: none"> Statutory Planned Preventative Maintenance (PPM) undertaken by competent contractor. Consequential remedial work identified on test certificates. Improved statutory maintenance contracting arrangements in place in Qtr 1 inc. use of SFG 20 as specification for statutory obligations testing and new risk based specification for legionella management supported by RAMIS. FM competent person(s) review all test certificates, remedial work captured and communicated to client as necessary/applicable Statutory Obligations Team has been established within Building Services to improve monitoring and supervision of statutory obligations contractor. Contractors have been trained in the use of RAMIS in order for test certs to be uploaded directly to the system by contractors. <p>RAMIS IT Software</p> <ul style="list-style-type: none"> RAMIS implemented across the Council with bi-monthly reporting on statistics to SMT; 200 Building Managers have received training in their responsibilities and use for the RAMIS system, including schools estates staff and Headteachers. Full time officer Administrating RAMIS, providing training and issuing reports from the system to all service areas to push compliance ratings up to a minimum of 80% set by SMT. RAMIS has been embraced by Service Areas and will ensure that the Council is aware of compliance position on any given asset to avoid any risks to building users and the organisation. <p>Statutory Obligation Compliance</p> <ul style="list-style-type: none"> Electrical Safety Policy Implemented by H&S. Electrical testing and works monitored/supervised by qualified internal staff. Electrical certificates received and reviewed by qualified internal staff. C1/C2 electrical remedial works identified through testing dealt with appropriately and immediately by contractor undertaking electrical works. PPM Certificates uploaded to RAMIS. <ul style="list-style-type: none"> Spreadsheet database recording property holdings and the status of statutory obligation compliance across entire Council estate integrated into RAMIS. Currently reporting on RAMIS comprises of compliance against 5 main high risk disciplines; Gas Safety Fire (all disciplines) Legionella (Risk Assessment and water quality checks) Fixed electrical systems Top slicing of schools budget to cover the five high-risk disciplines, under review to ensure sufficient funds are available. New in-house Statutory Obligations Team set up to manage the undertaking of the statutory obligations surveys/work across the Council. (David Lowe) <p>Schools Building Maintenance</p> <ul style="list-style-type: none"> Handbook detailing roles and responsibilities for safe management and maintenance of school premises, plant and equipment has been updated and issued to schools. <p>Corporate Landlord Programme</p> <ul style="list-style-type: none"> Corporate Landlord Model Programme Brief approved by the Programme Board – objective to create one point of contact in the Council to lead on all property matters across the Council's estate. Implementation of the Corporate Landlord Programme commenced 2017/18. <p>Conditions Survey of Non Domestic Buildings</p> <ul style="list-style-type: none"> This work is ongoing through 2018/19. <p>Client Liaison Officers</p> <ul style="list-style-type: none"> Client Liaison Officers have impacted positively on building relationships between with schools and other customers/clients, in particular the management/commissioning of statutory obligations and PPM. 	High (B2)	<p>Contractor</p> <ul style="list-style-type: none"> Establish a contractor Forum for RAMIS to meet 6 monthly following training. (Donna Jones) <p>Statutory Obligation Compliance</p> <ul style="list-style-type: none"> Continue to commission investigations / work to complete required compliance testing (and works required) in respect of 'gaps' in compliance identified by reports from RAMIS. (Donna Jones / David Lowe) Complete the mandatory Building Managers sessions to ensure that all Council building Duty Holders have a clear understanding of their statutory obligations compliance responsibilities (by end of Qtr 2) (Donna Jones) Continue with the conditions surveys of the non-domestic buildings (complete 18/19). (Helen Thomas) <p>Landlord / Occupancy Agreement</p> <ul style="list-style-type: none"> Complete Landlord/Occupancy Agreement template and roll out Qtr2/3 18/19. This will set out principle occupant and landlord permissions responsibilities and Permission for Works arrangements required. (Helen Thomas) <p>Corporate Landlord Programme</p> <ul style="list-style-type: none"> Finalise and implement the new corporate management structure to deliver a corporate Landlord 	Neil Hanratty Councillor Russell Goodway Investment & Development

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
8	<p>Air Quality & Clean Air Strategy</p> <p>- 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. The UK and devolved Governments have a legal obligations to achieve nitrogen dioxide (NO2) annual average limit value (40ug/m3 AA) as set out in the EU Ambient Air Quality Directive (2008/50/EC) in the shortest possible time, and their continued failure to meet this has been subject to a number of legal challenges. Cardiff does not comply with legal standards of NO2, and the primary source of the pollution is road transport emissions, particularly diesel vehicle emissions. Cardiff currently falls short of the required limits and although improvements are being seen, non-compliance of the legal limits is projected beyond 2020. Inability to secure funding to undertake full feasibility study through to implementation of mitigation measures</p> <p>- The timescale for completing the technical work on compliance of nitrogen dioxide limits required under the direction from Welsh Government is extremely challenging</p>	<p>Consequence:</p> <p>- No improvement to air quality, leading to:</p> <p>Legal & Regulatory / Financial</p> <p>- breach of legal / statutory requirements</p> <p>- Potential significant financial penalty</p> <p>Health & Safety</p> <p>- No improvement to health</p> <p>- Increased burden on health care</p> <p>- Further deterioration of related health conditions</p>	High (A1)	<p>Monitoring - Cardiff have 4 existing declared 4 Air Quality Management Areas (AQMA's) all as a result of elevated NO2 concentrations resulting from road traffic emissions.</p> <p>Development of a Clean Air Strategy:</p> <p>A draft strategy has been developed which outlines the strategic measures required to address the air quality issues in Cardiff, summarised as follows:</p> <p>- LDP Policies adhered to (KP18, EN13), Develop and finalise relevant SPG to improve AQA, additional relevant SPGs</p> <p>- Transport strategy- reducing congestion, Car clubs, 20mph zones, changing behaviours</p> <p>- Active Travel Improvements - increase Cycling and Walking</p> <p>- Public Transport Improvements - Buses, Metro, Trains, school travel plans, behaviours</p> <p>- Increase EV infrastructure, alt fuels (H2), fleet changes (CCC to lead), industry change, influence behavioural change. Non idling zones, parking permit reform, taxi policy review.</p> <p>Cardiff's Transport & Clean Air Green Paper 'Changing how we move around a growing city' has also been developed and consulted on.</p> <p>WG Direction:</p> <p>Following the receipt of the Formal Direction from Welsh Government a Cabinet Report titled Air Quality – Welsh Government Direction was submitted and approved by Cabinet on 28th March 2018. The initial proposal setting out the case for change was submitted to Welsh Government on the 28th March 2018 to meet the requirement to submit before the 31st March 2018. This included the identification of governance, associated resource requirements, the scope of work, procurement approach, indicative costing's and timeline.</p> <p>- ANPR survey has been completed and data analysed.</p> <p>- Consultants for both Air Quality and Traffic Modelling have been procured.</p> <p>- baseline position established for Cardiff utilising the ANPR data and transport model (July 2018)</p> <p>- feasibility plan submitted on 30th September 2018.</p> <p>- further modelling of NS movements was not necessary as the fine tuning of the baseline resulted in there not being an issue on the A470/North Road.</p> <p>A number of Active Travel and Transport mitigations have already been implemented:</p> <p>- 20 mph zones in Cathays, Gabalfa, Canton and Riverside</p> <p>- Launch of bike hire scheme and installation of 250 Next Bikes in the city centre, with usage uptake extremely positive</p> <p>- Car free day to promote active and alternative travel</p> <p>- Active Travel improvement schemes at various locations, to enable and promote safe and sustainable travel to school etc</p> <p>- A4119 Ph 2b Bus priority measures at Cathedral Rd</p> <p>- Pilot of segregated cycle lane at Maes y Coed Rd</p>	High (B1)	<p>- The outcomes of the Transport & Clean Air Green Paper consultation will be used alongside the feasibility study outcomes to inform the development of a White Paper on Transport and Clean Air - work is ongoing and will be published in April/ May (PC leading on this)</p> <p>- ongoing development and implementation of programme of active travel and transport improvements</p> <p>- Modelling is now underway for a charging clean air zone as a benchmark against the proposed mitigation measures. Two CAZ options are being modelled.</p> <p>- Decision to be made on the proposed measures to produce an outline business case by the end of March to enable the full business case to be submitted to WG by the end of June 2019.</p>	<p>Andrew Gregory</p> <p>(Gary Brown)</p> <p>Councillor Caro Wild, Strategic Planning & Transport</p>
9	<p>Education Consortium & Attainment</p> <p>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.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> Budget implications. Educational standards falling behind other LA's. Potential impact on Estyn judgement for LA. Intervention from WG 	High (B2)	<p>There have been continuous improvements in nearly all 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 now based on clear priorities and a good understanding of Cardiff schools. Cardiff schools are being challenged more rigorously and supported more effectively to improve.</p> <p>A Secondary Senior Challenge Adviser with well-developed knowledge and skills to build on the progress made to date has been appointed on an interim basis. There is a new Primary Senior Challenge Adviser in post.</p> <p>The Schools Causing Concern processes have been revised in partnership with the Consortium and the Local Authority. The systems and processes to secure improved joint service delivery is now in place, with regular meetings calendared with the Assistant Director and the Senior Challenge Advisers, Primary and Secondary.</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. 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. 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>A number of Cardiff schools have been appointed as Pioneer Schools to develop the new curriculum over the next three years in line with "Successful Futures".</p> <ul style="list-style-type: none"> The 2018/2019 delegated budget allocations were issued to schools in early March 2018 and monitoring arrangements put in place for those schools showing financial concern. Officers from Education and Financial Services have started to work 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. The previous 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 Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure. 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. 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 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 Individual school budget monitoring positions reported to Education Management Team on a quarterly basis 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. 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 2018/19 school budget letters and the 2018/19 Budget Report. Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance. 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 17/18 have been identified as requiring meeting with S151 officer and senior education officers. These meetings took place in April and early May. The Council will also introduce an increased level of scrutiny of school curriculum plans through support identified with the Central South Consortium. 	Medium (B3)	<ul style="list-style-type: none"> Officers will continue to ensure the agreed commissioning arrangements are refreshed and delivered and impact positively on the performance of schools. A comprehensive review of the Local Authority annex is underway to ensure it is closely related with the priorities contained within the Education Directorate Delivery Plan 2018-2019. Local Authority officers and members of the Consortium have already identified the need to commission more comprehensive support for Governors and support for Federations. 	<p>Nick Batchelar (Jackie Turner)</p> <p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
10	<p>ICT Platforms Unsuitable/ Outdated</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>	<p>Reputational / Financial / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> Loss of PSN services. Service delivery impacts from unreliable/unavailable ICT systems Cardiff seen as unable to deliver on aspirations Poor morale from frustrations with inability to deliver services. Potential for income losses from revenue collection impacts. Unable to meet delivery deadlines on both business as usual and transformation projects. 	High (A2)	<ul style="list-style-type: none"> Spending complete for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth. 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. 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). Active projects underway and the current aged file storage solution have been replaced and cloud based storage for additional resilience and flexibility is being assessed. Other projects underway to replace many of the core older back end servers. Corporate file storage systems replaced and new disk to disk backup option installed to improve performance and resilience. Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced. Additional load balancers to be purchased for application resilience in key systems. Full renewal programme for all desktop, software, network, servers, and telephones, appropriate to Cardiff's ambitions and resources. Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority. Completed refresh of existing SAP, thin client and virtual server farms. Assessment of equipment required replacing to maintain PSN compliance. Further revenue and capital investment in 2018-20. Completed migration of VM infrastructure over to Pure Storage. Completed migration of users from old remote access service to new solution. 	High (B2)	<ul style="list-style-type: none"> Development of lifecycle monitoring and clearer customer engagement. Pilot leasing scheme within schools to be considered for corporate desktop estate. Breakdown of costs to remediate to be generated and reviewed. To include workstation replacement costs, supporting network infrastructure and server infrastructure. 	Christine Salter (Phil Bear) Councillor Chris Weaver Finance Modernisation and Performance
11	<p>Safeguarding</p> <p>Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners. Failure to comply with Court Orders.</p>	<p>Reputation / Financial / Stakeholders / Service delivery / Legal / Partnership / Community</p> <ul style="list-style-type: none"> A child/ren or adult/s suffers avoidable significant harm or death. Reputation of Council and partners. Severe adverse publicity. Potential regulator intervention. Loss of confidence by the community in the safety of children and adults. Loss of confidence of staff in the overall "safety" of the service, impacting on morale, recruitment and retention. Potential litigation with associated financial penalties Significant financial implications of formal intervention <p>In addition to the above:</p> <ul style="list-style-type: none"> Being held in contempt of court Imprisonment Unlawful detention of persons Payment of costs/damages Professional reputation of staff Recruitment problems 	High (B1)	<ul style="list-style-type: none"> Embedding the Social Services & Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding. Strategic review of safeguarding governance across the region completed in partnership with the Vale of Glamorgan Council. Strategic review of the functioning of the Regional Safeguarding Adults Board completed. Ongoing implementation of the Child Sexual Exploitation Strategy. Implementation of the Corporate Safeguarding Board work programme. Growth proposals for operational safeguarding capacity included in 2017/18 budget. Cardiff Council hosting the All Wales Adult and Child Protection Procedure re-write. Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with the Child Sexual Exploitation (CSE) Strategy. Draft Annual Plan for Regional Adults / Children's Safeguarding Board. WG convened training for authorised officers to undertake APSO Training. <ul style="list-style-type: none"> Embedding the Social Services & Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding. Ongoing implementation of the Child Sexual Exploitation Strategy. Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with the Child Sexual Exploitation (CSE) Strategy. Review of adult safeguarding undertaken and management strengthened. Systems in place to learn lessons from and address recommendations from child practice reviews, adult practice reviews and multi agency practitioner forums Monthly quality and performance review across all areas of social services Annual Plan for Regional Adults / Children's Safeguarding Board. SBAR system implementation to understand and address significant risks, including safeguarding risks, in social services Recruitment and retention strategy in place to address children's workforce issues Action plan being delivered to address high caseloads in Children's Services. Refreshed signs of safety action plan in place. 	Medium (D1)	<ul style="list-style-type: none"> Awaiting on WG to convene training in relation to Adult Protection Orders for wider awareness for other staff. Review of Adult Protection Procedures is ongoing following a full Board meeting, held 5.6.18. Draft Annual Plan is with the Business Unit, in preparation for the Boards. <p>Regular performance monitoring meetings with Children's Social Services have been arranged.</p> <p>Process and escalation procedures agreed for Children's work, to be agreed with adults.</p> <ul style="list-style-type: none"> Cardiff local operational safeguarding group being developed to lead effective multi-agency safeguarding arrangements in Cardiff reporting to the Regional Safeguarding Board and Steering Group. Improving Outcomes for all our Children Steering Group chaired by Chief Executive to be established to oversee performance to improve outcomes for Cardiff's most vulnerable children. Implementation of revised Corporate Safeguarding Policy and action plan arising from internal audit of corporate safeguarding. Additional investment in corporate safeguarding to address recommendations from internal audit report. Cardiff Council hosting the All Wales Adult and Child Protection Procedure re-write. Regular performance monitoring meetings with Children's Social Services have been arranged. Process and escalation procedures agreed for children's work, to be agreed with adults. <p>DDP 2018/19 update :</p> <ul style="list-style-type: none"> Ensure children and adults are protected from risk of harm and abuse by raising awareness among public and professionals of safeguarding issues for the duration of the plan (CP6 -SS) Ensure children and adults are protected from risk of harm and abuse by revising the Child Sexual Exploitation Strategy by March 2019 to encompass new and emerging themes of child and adult exploitation (CP7-SS) Renew the safeguarding vision and strategy across the Directorate by March 2019 in order to take account of new national policy and practice guidance currently under development (DP5-SS) Commission an independent review of the effectiveness of the Multi Agency Safeguarding Hub (MASH) in consultation with the Regional Safeguarding Boards and consider recommendations for change / improvement with a view to implementing changes by March 2020 (CP8-CS) Review and develop mechanisms to improve engagement with communities at large and faith communities in particular by March 2019 to improve the safeguarding of children across the various communities in Cardiff (CP6 -SS) Embed strengthened Adult Protection procedures in consultation with staff and partners by March 2019 to ensure that adults are protected from harm(CP7-AS) Ensure that the Council's Corporate Safeguarding Strategy is implemented (CP17-SS) 	<p>Sarah McGill & Claire Marchant & Davina Fiore</p> <p>Councillor Huw Thomas Corporate Governance</p> <p>Councillor Susan Elsmore Social Care, Health & Well-being</p> <p>Councillor Graham Hinchey Children & Families</p> <p>Councillor Chris Weaver Finance Modernisation and Performance</p>

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
12	<p>Financial Resilience</p> <p>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.</p> <p>The current outlook is that there is a Budget Gap of £91 million for the period 2019/20 to 2021/22.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> • Risk of failing to meet statutory obligations. • Risk that service delivery impacted due to uncertainty in the budget planning process resulting in decreasing resources or failure to effectively prioritise spend in line with Corporate Plan Objectives. • Risk that settlement figures will not be as anticipated giving an element of uncertainty to any proposals from Cabinet during public consultation and beyond. • Risk that savings identified as part of business as usual and efficiencies have not been robustly reviewed for achievability and will not deliver as planned. • Risk that financial constraints and budget proposals result in unintended consequences such as increased instances of non-compliance and financial impropriety. • Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa. • Risk that Medium Term Savings are not identified in a coherent, strategic way which impacts on service delivery. • 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. • The risk that the Council will not be able to react to adverse situations through a combination of poor imprudent planning and significant challenges such as increasing demands for services such as social services, education, roads etc. • The risk is that the Council will not be able to operate within the financial funds available to it and fail in its statutory duty to deliver services. • The risk of financial intervention and increasing adverse impacts on the community of Cardiff that rely on the services being delivered by the Council. 	High (A1)	<p>2019/20 and Medium Term</p> <ul style="list-style-type: none"> • The Council has a Financial Resilience Mechanism of £4m, which will be put into operation in the event of the Budget Settlement being 1% worse than expected. This mechanism avoids the need to identify additional directorate savings at short notice and allows time to be allocated for greater level of savings to be delivered. • The final 2018/19 Budget was underpinned by Directorate Savings of £14.296m, Use of earmarked Reserves £2.35m and Council Tax at 5%. Robust Monitoring mechanism will consider Month 3 position in order to inform the first Cabinet report in September 2018. • The MTFP set out in the 2018/19 Budget Report and now highlights an estimated Budget Reduction Requirement of £91.403m for the medium term (2019/20-2021/22) • 2019/20 Budget Strategy considered at Cabinet on 5 July 2018. Potential budget proposals being developed by Directors and being shared informally with Cabinet for further consideration over the summer period. • Close working with Policy team in respect of alignment with Corporate Plan and duties under Wellbeing of Future Generations Act. • Budget Proposals supplemented by work in partnership with Chief Digital Officer and a roll out of focussed Service Reviews in order to identify savings. Further diligence in respect to the rating of risk of each saving proposal but the responsibility for detail and achievability remains with the directorate. • The Council regularly reports in relation to its financial performance and monitoring. • The Wales Audit Office identified that the Council has a transparent and effective savings approach which supports financial resilience being achieved. • A financial snapshot is used to report the financial resilience of the Council and is reviewed 3 times a year and reported at Budget Report (Feb 18), Budget Strategy (Jul) and to Audit Committee. 	High (B2)	<p>2019/20 and Medium Term</p> <ul style="list-style-type: none"> • Work continues to ensure a set of proposals come forward for 2019/20 and the medium term, which provides a level of assurance that the budget gap for the medium term can be risk managed and bridged. • Continue the work that has commenced in respect to developing proposals for 2019/20, 2020/21 and the Medium Term. This will include alignment with the Digital Board, Service Review board and Senior Management Team. • Budget work will also need to link in with the demands of the Wellbeing of Future Generations Act as well as building on further work to ensure greater visibility of engagement with Cardiff citizens through events and the Ask Cardiff Survey. • Continue to maintain close alignment with objectives of the Corporate Plan and the Capital Ambition Delivery Team in order to ensure resources are allocated appropriately and that longer term financial savings are developed in enough time to be realised in the medium term. • Continue to refresh assumptions at key stages as relevant information becomes available. • Key stakeholders are briefed on this position and financial triggers against this snapshot continue to be developed and reviewed. • Work in respect of improving savings plans continues in order to increase the % of savings proposals accepted that deliver. The key focus is due diligence, challenge and development of detailed plans but with an emphasis and accountability to the directorate which proposed the saving. Savings documentation has also been reviewed and developed with the aim of ensuring consideration and capture of key factors relating to savings proposals. • Links between the MTFP, CADP, Service Plans and Improvement Plans continue in order to further build on work already undertaken in the Budget Strategy Work Programme. 	Christine Salter (Ian Allwood) Councillor Chris Weaver Finance Modernisation and Performance
13	<p>Budget Monitoring (Control)</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"> • Inability to balance spend, against budget, for the financial year. • Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet corporate plan objectives. • Requirement to drawdown from General Reserves at the year end. 	High (A1)	<ul style="list-style-type: none"> • Clear financial procedure rules setting out roles and responsibilities for budget management are in place. • In recognition of the quantum of savings and the risks posed a £3 million General Contingency was allocated in the Budget. • In the event of an emergency there is the availability of General Reserve should this be required. • The final 2017/18 outturn showed a balanced position. However this included an overspend of £4.982m in relation to directorate budgets with shortfalls of £2.854m against 2017/18 savings targets and £2.195m against shortfalls carried forward from 2016/17. • The Corporate Director of Resources, Chief Executive and Cabinet Members regularly hold challenge meetings and these will continue for 2018/19 in all areas both to address shortfalls against budget proposals accepted but also the overall financial position of each directorate. • Full financial monitoring processes is in place for month 3 to 11 of the financial year including achievement of budget savings with months 3 to 10 completed. • The balance of any 2016/17 or 2017/18 savings targets were discussed as part of the budget process and a limited amount were written off. The majority of the previous year budget proposals continue to be deemed as achievable going forward by the respective Director. The 2017/18 savings proposals will be monitored as part of the 2018/19 budget monitoring process. • SMT discussed those overspend areas (not as a result of saving proposals not being delivered) of 2017/18 in order to provide assurance of mitigations in place for 2018/19 	High (B2)	<ul style="list-style-type: none"> • The balance of any 2017/18 savings targets designated as not being achievable have been provisionally allocated and will continue to be reviewed through the 2018/19 budget monitoring process. • Continue regular review and challenge sessions in order to provide assurance of financial monitoring position during the year. 	Christine Salter (Allan Evans) Councillor Chris Weaver Finance Modernisation and Performance

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
14	<p>Performance Management</p> <p>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.</p>	<p>Reputational / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices. Council unable to accelerate performance improvement as planned/desired. 	High (B2)	<ul style="list-style-type: none"> 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 Performance Management programme has been put in place to deliver the required change to address three key areas relating to Reporting, Planning and Challenge. The project teams have ensured their work incorporates the requirements of The Well-Being of Future Generations Act 2015, and the managed transitions between the Local Government (Wales) Measure 2009 and the requirements of the new legislation. Increasing the transparency with which we manage our performance The Self-Assessment process has been established and fed into the SMT Corporate Plan workshop which identified high level key themes that link the Wellbeing of Future Generations Act. Consistent RAG ratings have been agreed and developed for Corporate Plan commitments A consistent RAG methodology has been developed to enable a mathematical approach be applied to performance indicators Directorate scorecards were introduced for the Quarter 2 performance report and presented to PRAP, these were well received and will continue to be used and developed PSG (Performance Support Group) has been established. This group reviews the Quarterly Performance Report to identify where and how performance can be improved. The group also identify areas for further discussion at SMT Wellbeing objectives have been developed in line with the Corporate Plan development timeline and endorsed by SMT and presented to informal cabinet A target setting process and pro forma has been developed to support the use of appropriate measure and accurate targets in the Corporate Plan and Directorate Delivery Plan A new Directorate Delivery Plan template has been developed which also incorporates the Future Generations requirements and the 5 ways of working. This has been presented to PSG and the template has been endorsed by SMT Reporting scorecards have been trialled by representatives of PSG. These were presented at PSG and were well received. A reporting framework has been developed to allow the right audiences to focus on the right level of detail to better aid decision-making. Some elements of this were used in the Q4 2016-17 performance reporting cycle and were fully implemented for the reporting of performance for Q1 2017-18 to ensure robust reporting arrangements for the WCFG Act Discussions took place with key representatives to further develop the self-assessment process which will contribute to the development of the Corporate Plan. Service Level scorecards were developed across the Council and combine planning and reporting elements. These Scorecards are used, where appropriate, to provide additional detail to supplement the reporting against the Strategic Directorate Priorities and the Corporate Plan Wellbeing Objectives Directorate Delivery Plans were developed and in use from April 2017. They are used and monitored throughout the year to ensure they represent a clear and up to date statement of what the directorate is aiming to deliver and the progress it is making Building on the work carried out in 2016-17 a new quarterly reporting template was developed in collaboration with key stakeholders. A Members training session regarding the Performance Management Framework was developed and carried out at the end of the September The Performance Management Framework and Strategy has been finalised. A soft launch took place via the Corporate Performance Team's Public SharePoint Page. The Framework will ensure greater effectiveness of planning and reporting, with clearer accountabilities and enhanced 'line of sight'. A cascading matrix system of reporting has been developed through DDPs, Service Plan Scorecard and the reporting framework to demonstrate the golden thread. The high level Performance Management Framework documents are available on the Performance Team's Public SharePoint page The Self-assessment process from 2016-17 was further built on and was rolled out in September 2017. The outputs from this were used to develop the Corporate Plan and the Directorate Delivery Plans. Work was undertaken with Comms to align the PMF with the Capital Ambition Branding New governance structures have been put in place to ensure Performance Management continues to be embedded across the organisation, including regular meetings of SMT to look at Assurance matters, and the formation of a Cabinet-level group that will look at performance holistically. 	Medium (D2)	<ul style="list-style-type: none"> Ongoing work continues to launch and embed the PMF Engagement work being undertaken with SMT regarding Performance Management 	<p>Christine Salter (Head of Performance & Partnerships)</p> <p>Councillor Chris Weaver Finance Modernisation and Performance</p>
15	<p>Health and Safety</p> <p>Improved corporate health and safety arrangements for key risks across the Council – require imbedding and ongoing monitoring.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> Fatalities Serious injuries Prosecution – fines for corporate body and/ or fines/imprisonment for individual Civil Claims Negative Publicity 	High (A1)	<ul style="list-style-type: none"> Corporate Health and Safety Structure in place. Key Health and Safety Policy and Guidance reviewed and updated. RAMIS fully implemented covering statutory risk on Council Premises. Health and Safety Support Service for schools in place, completed first term of support. Management of risks from Legionella, Fire & Asbestos managed by H&S. RAMIS Status reported to SMT bi-monthly providing compliance statistics on Phase 2 of implementation – Remedial tasks arising from statutory inspections for high risk disciplines. 	Medium (C2)	<ul style="list-style-type: none"> RAMIS Review of remedial tasks from Fire Risk Assessments and Legionella Risk Assessments – priority for Q4. Implementation of the following digital services in Q4:- ALERT – PACD Replacement to be rolled out across the Council. RAMIS – Asbestos module to be implemented. RAMIS – Risk Assessment Library to be implemented RAMIS – Accident reporting module to be implemented Asbestos Management – Revised Policy and procedures to be implemented across the Council. Establish a UKATA training centre for delivery of all asbestos related training to Council employees and contractors. Programme of Asbestos Surveying to be developed in readiness for 2019/20. Fire Risk Assessment – review of remedial tasks from Building Control FRA's with concentration on risk to life and prioritisation of outstanding works. Discussion with the Fire Service with regards setting up a Cardiff led consultation group to agree improvements/standards to fire safety provisions across Councils in Wales – discussed at All Wales H&S Management Group. Additional Support to Waste Services to improve health and safety standards. Health and Safety improvement programme agreed for schools. 	<p>Christine Salter (Donna Jones)</p> <p>Councillor Chris Weaver Finance Modernisation and Performance</p>

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
16	<p>Climate Change & Energy Security</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 & Safety</p> <p>Climate change will result in more intense and frequent rainfall events causing flooding, impacting:</p> <ul style="list-style-type: none"> • Loss of life and personal injury; • Direct damage to property, infrastructure and utilities; • Contamination and disease from flood and sewer water and flood on contaminated land; • Increased cost of insurance; • Break up of community and social cohesion; • Blight of land and development. <p>SHORT TERM RISKS</p> <p>Climate change is noted to already be affecting the frequency and intensity of rainfall events, making storm events flashier and increasing the rainfall volume. Our existing drainage network has not been designed to accommodate this increase in rainfall and in the short term, there will be an increase in flood events from urban drainage systems.</p> <p>LONG TERM RISKS</p> <p>The influence of climate change will increase in the future and continue to have a growing influence on rainfall intensity and frequency. The urban drainage network in Cardiff will increasingly underperform and not be able to accommodate the increase in surface water runoff response time and volume from storm events. Storms will become flashier and carry higher rainfall.</p> <p>Poor management of new development will exacerbate the potential flood risk by not reflecting natural drainage catchments and by not dealing with rainfall at source.</p> <p>Fluvial Flooding</p> <p>There are 3 main rivers impacting the City - whilst main rivers are the responsibility of Natural Resource Wales, and as a Local Flood Authority we are not responsible for them, the affects of climate change will result in more flooding i.e. the same short term and long term risks will apply in relation to fluvial flooding.</p> <p>Increased summer temperatures:</p> <ul style="list-style-type: none"> • An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services • An increase in demand for limited water supplies • Damage to temperature sensitive infrastructure (transport systems, electrical systems). • Migration of biodiversity. <p>Inconsistent energy supply and cost:</p> <ul style="list-style-type: none"> • Inability to deliver public services • Decrease in economic output • Disruption to the supply of utilities • Increased transport costs • Increased costs for heating / providing services to buildings • Increased fuel poverty 	High (B1)	<p>Emergency Management Unit</p> <ul style="list-style-type: none"> • Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) structure to ensure planning is carried out with consideration of flood risk. • 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. • We are engaging internally with The Welfare of Future Generations Act to integrate the community work with the Councils strategy and externally with voluntary organisations such as C3SC to provide training to community groups across Cardiff • Cardiff Council Emergency Management Unit have in place a long term communication strategy in Cardiff in conjunction with multi agency partners highlighting flood awareness alongside other emergency eventualities such as extreme temperatures 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 has 5 active community flood plans with others in the planning stage. We have produced a 'Preparing for Emergencies – A Guide for Communities' 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; https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Pages/default.aspx • We have further developed our capability to communicate with the public with the development of the EVAC Cardiff App which is now available for both android and apple systems. Alongside the App we are developing a stand-alone website to offer further advice and information to back up the information available via the App. • Parts of Cardiff now benefit from flood mitigation schemes, Rhiwbina village has a completed scheme providing flood protection to numerous properties that have been affected by flooding from Whitchurch Brook, Roath area of Cardiff around Waterloo Gardens has a scheme being built now which when complete will give flood protection to approx. 400 properties. This scheme has been developed and funded by Natural Resources Wales and Welsh Government. A coastal flood protection scheme is also being developed for future protection of the coast along Rover way. Emergency Management have been involved in all of these schemes alongside our Highways, Drainage and Water Management teams and the local communities. • We also have procedures in place to alert relevant departments within the council to extreme temperatures and work with partner agencies in line with Welsh Governments Heatwave Plan, this can be found via the following link; http://www.wales.nhs.uk/docopen/218909/ <p>Energy Management</p> <ul style="list-style-type: none"> • The Council procures competitive energy contracts through the Crown Commercial Services on a 6 monthly purchasing window for the following 12 month financial year. • Key sites are fitted with back-up generators for emergency backup, specifically for IT systems. • The Carbon reduction Strategy 2022 identifies projects and activities 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. • Control of energy use and demand reduction in the Council Estate <ul style="list-style-type: none"> - Energy efficiency measures being installed through Re:Fit and Salix projects - NPS Consortium approach to purchasing energy to secure best prices - "Behaviour change" and smart control actions to minimise use <p>Next phase of Re:Fit and Salix has been finalised</p> <ul style="list-style-type: none"> • Increasing local renewable generation <ul style="list-style-type: none"> - Solar roof and other on-site renewables delivered and others planned - Lamby Way Solar Farm - District Heat Network proposals <p>Both the Heat Network and Lamby Way Solar Farm schemes have been given authority to proceed by Cabinet, subject to Final Business Case approval</p> <p>Flood management</p> <p>Local Flood Risk Management Strategy - The LFRMS integrates; the PFRA, a coastal protection strategy, stakeholder communications and sets a clear corporate approach to flood management.</p> <p>Flood Risk Management Plan - sets out how Cardiff Council will manage flooding so that the communities most at risk and the environment benefit the most:</p> <ul style="list-style-type: none"> • Highlighting areas most at risk of flooding from surface water, ordinary watercourses and groundwater in Cardiff Council's area; • Draws conclusions from these risks; and • Sets out the measures that will be implemented over the 6-year cycle to mitigate these risks and make our communities more resilient. <p>Planning - Project Mgt techniques and partnership working are being used to effectively manage the process of preparing the LDP Annual Monitoring Report (AMR) and a programme of Supplementary Planning Guidance (SPG). A process has been identified and tested to collect data relating to the flood risk indicators. TAN15 of Planning Policy Wales means new development must take future impacts of climate change into account in the design process. Retrofit of SuDS (sustainable drainage) - to remove surface water from piped systems and control surface water at source through schemes such as Greener Grangetown.</p> <p>Atkins have completed the Surface Water SPG and it is with CCC officers for review. Consideration of the document for release in conjunction with Schedule 3 of the Flood and Water Management Act 2010 is to be considered.</p> <p>Data collation for monitoring flood risk indicators completed.</p> <p>Data collation for monitoring flood risk indicators for 2017/18 completed and 2nd LDP AMR submitted to Welsh Government by end of October 2018.</p> <p>Sustainable Development Unit</p> <p>The Council has signed up to both the Compact of Mayors and the Covenant of Mayors. Reporting year 2 data submitted for the Compact of Mayors Carbon Disclosure Project and a Monitoring Emissions Inventory for the Covenant of Mayors Sustainable Energy Action Plan.</p>	Medium (D1)	<p>Emergency Management Unit</p> <ul style="list-style-type: none"> • 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. <p>Energy Management</p> <ul style="list-style-type: none"> • Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, Deliver the Affordable Warmth Strategy through measures such as ECO3 and energy efficiency opportunities, provide supplementary planning guidance on passive and renewable heating systems to new build and retrofit schemes. • 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 & community planning for Energy City Wide to Business and public sector. • 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. • Submit planning application in Dec 2018 and begin Design and Build procurement for Lamby Way solar Farm, which will feed into Final Business Case. • Submit grant application for heat network in Jan 2019 and implement energy efficiency works identified in Re:Fit and Salix projects • Present Lamby Way Solar Farm Final Business Case for Cabinet approval in March 2019 • Present Heat Network Final Business Case for Cabinet approval in Autumn 2019 <p>Flood Management Planning</p> <ul style="list-style-type: none"> • Data collation for monitoring flood risk indicators for 2017/18 has been completed and has fed into the 2nd LDP AMR which was endorsed by Cabinet in September 2018. This is due to be submitted to Welsh Government by the end of October 2018. • SuDS approval body (SAB) will be implemented on 7th Jan 2019 requiring sustainable drainage of all new developments, in accordance with statutory/legislative requirements. • Implementation of new flood risk management tool in AMX database to ensure better quality control and promote digital working. Upload and assessment of historical information for review with Flood Risk Regulations 2009 requirements. • Cardiff specific guidance for surface water management on new developments currently in production to assist developers in producing high quality development with resilience to climate change. <p>Sustainable Development Unit</p> <ul style="list-style-type: none"> • Climate Change is referenced in the Well-Being Assessment and an action included in the Well-Being Plan. • Work to be undertaken with both the Covenant of Mayors and the Compact of Mayors (merging to become the Global Covenant of Mayors for Climate Change) to agree a consistent method of emissions reporting and action planning so as to not duplicate efforts and get maximum benefit from the commitments. 	<p>Andrew Gregory</p> <p>Councillor Michael Michael, Clean Streets, Recycling and Environment</p>

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
17	<p>Coastal Erosion</p> <p>Breach of current defences resulting in widespread flooding</p>	<p>Consequence:</p> <p>Health & Safety /Reputational/ Financial/ Service Delivery/ Strategic</p> <ul style="list-style-type: none"> - Continued coastal erosion along the coast threatening the Rover Way Traveller site and critical infrastructure including Rover Way and the Rover Way/Lamby Way roundabout - Erosion to two decommissioned land fill sites, with risk of releasing landfill material into the Severn Estuary and having significant environmental impacts - Flood risk to 1,116 residential and 72 non-residential properties over 100 years, including risk to life, property, infrastructure and services - N.B. the predicted rates of erosion threaten the Rover Way Travellers Site and the adjacent electrical substation within 5 years, and further release of large volumes of unknown tip material from the Frag Tip into the Severn Estuary. 	High (B1)	<ul style="list-style-type: none"> - There are no controls to avoid the flood and coastal erosion risk event occurring, however incident management arrangements are in place, which whilst not preventative, represent a level of control. - The current ad hoc defences along the area are in a very poor condition. - The necessary works are holistic and cannot be phased, therefore the residual risk rate cannot be lowered until the completed construction of the coastal defence scheme in its entirety. - An Outline Business Case (OBC) has been submitted to Welsh Government for review as part of the WG Coastal Risk Management Programme that provides a funding mechanism for 75% of onward capital costs. - A 25% capital matchfunding bid for 18/19 has been submitted & approved subject to WG grant award - Formal application for funding and approval from WG submitted - A Cabinet Office Forward Plan was submitted for March 2018 Cabinet Meeting for funding approval. - The total costs associated with the Design, Early Contractor Engagement and Construction phases have been estimated at £10.9M (WG 75% funding = £8.2M and CCC 25% funding = £2.7M) - Following the approval by Cabinet in March 2018 to progress the delivery of the Rover Way to Lamby Way coastal defence scheme, £638,549 grant has been received from Welsh Government (WG) to develop the Design and Full Business Case for the coastal defence scheme, with WG funding agreed in principal for construction phase, subject to approval of the business case. - Full Business Case and detailed design tendered. 	High (B1)	<p>Next steps:</p> <p>Contract to be awarded for Full Business Case (FBC) and detailed design</p> <p>Completion date for FBC anticipated February 2020.</p>	<p>Andrew Gregory</p> <p>Councillor Michael Clean Streets, Recycling and Environment</p>
18	<p>Information Governance</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"> • Leads to the Information Commissioner issuing notices of non-compliance • These could consist of: <ul style="list-style-type: none"> • a Stop Now Order which would mean that no personal data could be processed by the Council in its entirety • An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery • Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit • Enforcement Notice requires immediate improvement action to be put in place • Financial Penalty up to £500,000 (currently) • The General Data Protection Regulation will come into force in May 2018 and puts in place a new Enforcement Regime and financial penalty structure. The maximum fine will be 4% of turnover or 20,000,000 euros 	High (A1)	<ul style="list-style-type: none"> • Information Security Board chaired by the SIRO held quarterly. • Suite of Information Governance Policies in place and annually updated. • Processes for Information Requests, Data Loss in place. • The Information Governance Training Strategy in place and training provided to staff with access to electronic personal data • Information Requests and Training compliance monitoring reports provided and reported to Information Security Board, SIRO. • ICO Consensual Audit determined that the Council is considered to have a 'reasonable level of assurance' in place • Standard Contracts include a clause regarding 3rd Parties processing personal data and obligations in respect of Freedom of Information • Processes established through procurement and ICT acquisition processes for ensuring Privacy Impact Assessments are completed if personal data is being processed, including Data Processing Agreement with third party contractors • Privacy Impact Assessment Board established to ensure that the Council, when changing systems and processes where personal data is involved, considers relevant legislation. • Advice provided to the National Adoption Service, and Service Level Agreements in place for service provisions to Rent Smart Wales and Cardiff Capital Region City Deal as Cardiff Council is the Data Controller for these services • Advice and assistance provided to collaborative services of the Educational Consortium, Vale, Valleys and Cardiff Regional Adoption Service and Shared Regulatory Service where Cardiff is not the Data Controller • Advice and Guidance Service in operation to Cardiff Schools (with the exception of Eastern High and St Illytds) to support compliance within schools and governing bodies • Advice and guidance available to Directors and Lead Officers on the Information Governance aspects of Alternative delivery Models • Digitisation of Records forms part of the considerations of the OD Programme for services becoming 'digital by default' and programmes of digitisation support provided to services where contracted. • Corporate Retention schedule in place and updated annually in line with any legislative changes • Information Governance Maturity Model established to monitor risks against areas of information governance to feed into corporate risk status • The Digitalisation of Paper Records Strategy and associated business process changes is in place • A Corporate external storage contract is in place to improve processes and financial spend on storage of paper records externally • The Council's Data Processing Agreement template has been updated to ensure that this remains compliant with the requirements of the Data Protection Act • GDPR Implementation Plan is in place and a GDPR Implementation Group has oversight of progress and will escalate issues to the Operational Manager Information Governance and Risk Management and the Council's SIRO. 	Medium (D1)	<ol style="list-style-type: none"> 1) Completion of the GDPR Implementation Plan (6 months) 2) Improve the IG Training compliance to meet the target of 100% (3 months) 	<p>Christine Salter (Vivienne Pearson)</p> <p>Councillor Chris Weaver Finance Modernisation and Performance</p>
19	<p>Increase in Demand (Children's Services)</p> <p>Failure to effectively manage demand resulting in increase in number of looked after children and the service and financial pressures this presents.</p>	<p>Reputational / Community / Legal / Financial / Stakeholders / Service delivery</p> <ul style="list-style-type: none"> • Family breakdown leading to children becoming looked after • Growth in the number of children entering the looked after system and associated costs for the Authority • Insufficient placements to meet need • Children are less likely to achieve their potential and to be fully participating citizens • Life chances for children are reduced • Delays in issuing care proceedings because of existing capacity in both Children's and Legal Services • Challenges in 'improving outcomes for children 'Challenges in effectively managing Service and financial pressures • Significant increase in demand for residential and foster care placements for LACr resulting in increase in numbers placed outside Cardiff 	High (B1)	<ul style="list-style-type: none"> • Early Help Strategy • Information, Advice and Assistance functions (including implementation of Dewis Cymru and Support 4 Families) • Locality working • Interface Protocol for Children's Services with Children's Team Around Family (TAF) AND Disability Team Around the Family (DTAF) agreed and implemented • Families First / Team Around the Family • Flying Start • FISS Rapid Response Service • Adolescent Resource Centre • Legal tracker and Legal surgery • Direct Payments • Young Carers Action Plan 	High (C1)	<ul style="list-style-type: none"> • Partnership arrangements for delivery of Child and Adolescent Mental Health Service (CAMHS) to be reviewed. • Refresh of Early Help Strategy by 12 months+ • Mobilisation of New Families First Services by September 2018. • Support for Families Project Board. • Embedding Improving Outcomes for Children Programme Board and project groups beneath it. • Recommissioning of Families First Services for disabled children and young people by 31st March 2019. <p>DDP 2018/19 update :</p> <ul style="list-style-type: none"> • Improve recruitment and retention of children's social workers, ensuring the Council achieves and maintains a vacancy rate below 18% by March 2019 to raise standards and drive the quality and competency levels of staff through effective workforce dev in order to enable those with care and support needs to achieve what matters to them (DP13-CS) • Continue to implement a sustainable finance and service delivery strategy across Children's and Adult Services throughout 2018/19, where the commissioning and delivery of services is evidence based, outcome focussed and commercially sound (CP15 -SS) 	<p>Sarah McGill Claire Marchant Councillor Susan Elsmore, Social Care, Health & Well-being</p> <p>Councillor Graham Hinchey, Children & Families.</p> <p>Councillor Chris Weaver, Finance Modernisation and Performance</p>

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
20	<p>Delivering Capital Ambition Programme</p> <p>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.</p>	<ul style="list-style-type: none"> • Failure to deliver the Administration's Capital Ambition statement. • Failure to respond to the key financial and organisational challenges that dominate the medium term planning horizon of the Council. • Vital services will not be protected if we fail to find more efficient ways of working. • Reputational impact if services do not meet increasing customer expectations. • Public services are not delivered efficiently or effectively and fail to deliver joined up services to the public. • Lack of a programme management approach to the delivery of these significant projects will result in lack of governance and failure to report project progress to relevant stakeholders in a timely manner. - Reputational risk with our external regulators if the CADP is not delivering on time and does not have robust governance arrangements in place. 	High (B1)	<ul style="list-style-type: none"> • Governance arrangements established and led by the Chief Executive. The Modernisation component of the Capital Ambition Delivery Programme is led by the Corporate Director Resources; and the Resilient Services component is led by the Corporate Director People and Communities. • Disciplined approach, where risk assessment forms an integral part of the approach to change. • Programmes and projects initiated with dedicated resources. • Experienced gained by managing programmes and projects over a number of years, building on lessons learned. • An extensive training programme for the Capital Ambition Delivery Team has been rolled during 2017/18 to ensure both project management and business analyst's skills and knowledge are enhanced. • Building capacity and capability across the organisation through development opportunities and skills transfer. • Appropriate engagement and stakeholder management, including Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit. • Continued implementation of Programme & Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources. • SMT acts as the Sponsoring Group and receives regular updates on programme and project progress. All Programme Briefs are submitted to SMT for discussion prior to them being signed off at the relevant programme board. • Cabinet report dated 14th December 2017, approved the Delivering Capital Ambition Programme. • The Cabinet Performance and Delivery Group has been established and will receive Programme updates on a quarterly basis. • The Capital Ambition Delivery Programme (CADP) supersedes and replaces the Organisational Development Programme that had been in place since May 2014. • All Programme Briefs have been signed off by SMT and the relevant programme boards. • Project briefs have been developed for a number of projects within the CADP. 	Medium (D2)	<ul style="list-style-type: none"> • Project briefs will continue to be developed during quarter 2 & 3. • The current Organisational Development Programme has been closed down with programme closure reports completed. • Governance arrangements will be reviewed in quarter 3 of 18/19 to ensure the projects within the CADP are being managed effectively. • Programme dashboards have been developed with performance leads to ensure we capture both performance and project data and these have been reported into the relevant Programme Board. These will continue to be developed during quarter 3. - Portfolio dashboards (for Modernisation and Resilient Services) are being developed and will be taken to SMT early in quarter 3. Monthly meetings are also taking place between the relevant SRO and the Portfolio Manager from the CADT. Project executives are invited to these meetings, as and when required, to provide project updates. 	Christine Salter (Dean Thomas) Councillor Chris Weaver Finance Modernisation and Performance
21	<p>Legal Compliance</p> <p>Changes in services and staff roles across the Council resulting in:</p> <ul style="list-style-type: none"> • 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: <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"> • Increase in number of challenges and complaints with consequences in terms of already stretched resources and impact of adverse decisions • Implementation of decisions delayed due to challenges and potentially fatally disrupted. • Impact on projects if reputation for sound management and implementation of projects is damaged • Major incident. • Adverse press/media reaction • Involvement from Welsh Government in terms of performance standards or measures. • Increased costs • Impact on capacity to deal with proactive legal work 	High (B2)	<ul style="list-style-type: none"> • Professional internal legal and financial advice provided to a high standard. • Maintaining robust decision making process with legal implications on all Council, Cabinet and Committee reports and Officer Decision Reports at Director level. • Appropriate use of NPS Legal Services by Solicitors Framework to increase resilience. • Dedicated teams in specialist areas e.g. equalities, FOI / DPA. • Sharing training/publications received. 	Medium (C2)	<ul style="list-style-type: none"> • Further development of standard precedents with guidance for use in cases of low value/low risk/repetitive matters • Provide legal training to Directorates to develop knowledge within Directorates of specific statutory functions. • Encourage Directorates to ensure reports are discussed at preliminary stage in development to ensure all legal issues are addressed early 	Davina Fiore Councillor Huw Thomas Leader

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
22	<p>Education – Schools Delegated Budgets</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"> Budget implications. Educational standards falling behind other LA's. Potential impact on Estyn judgement for LA. Intervention from WG <p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> Budget implications. Reducing educational standards. Intervention from WG 	High (B1)	<p>There have been continuous improvements in nearly all 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 now based on clear priorities and a good understanding of Cardiff schools. Cardiff schools are being challenged more rigorously and supported more effectively to improve.</p> <p>A Secondary Senior Challenge Adviser with well-developed knowledge and skills to build on the progress made to date has been appointed on an interim basis. There is a new Primary Senior Challenge Adviser in post.</p> <p>The Schools Causing Concern processes have been revised in partnership with the Consortium and the Local Authority. The systems and processes to secure improved joint service delivery is now in place, with regular meetings calendared with the Assistant Director and the Senior Challenge Advisers, Primary and Secondary.</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. 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. 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>A number of Cardiff schools have been appointed as Pioneer Schools to develop the new curriculum over the next three years in line with "Successful Futures".</p> <ul style="list-style-type: none"> The 2018/2019 delegated budget allocations were issued to schools in early March 2018 and monitoring arrangements put in place for those schools showing financial concern. Officers from Education and Financial Services have started to work 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. The previous 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 Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure. 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. 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 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 Individual school budget monitoring positions reported to Education Management Team on a quarterly basis 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. 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 2018/19 school budget letters and the 2018/19 Budget Report. Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance. 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 17/18 have been identified as requiring meeting with S151 officer and senior education officers. These meetings took place in April and early May. The Council will also introduce an increased level of scrutiny of school curriculum plans through support identified with the Central South Consortium. 	High (B2)	<ul style="list-style-type: none"> Council make full use, if necessary, of formal warnings and powers of intervention. 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. 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. 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. Maintaining the need for financial probity whilst ensuring that each school has the opportunity to improve school standards. 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 2018/19 and beyond. Following consultation with the School Budget Forum an audit of budget impact on individual schools was undertaken during the Summer Term 2018. A higher response rate than in the previous year is expected and will feed into the discussion regarding the medium term financial plan. To arrange workshop sessions in Autumn 2018 with all schools regarding the impact of the Council's MTFP. 	<p>Nick Batchelar (Neil Hardee)</p> <p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>
23	<p>Fraud, Bribery and Corruption</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"> Increase in frauds and losses to the Council. Reputational risk as more frauds are reported. Increased time investigating suspected fraud cases. 	High (B2)	<ul style="list-style-type: none"> The Council communicates a zero tolerance approach to fraud, bribery and corruption. Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, Money Laundering Policy and Disciplinary Policy. Financial Procedure Rules and Contract Standing Order and Procurement Rules frameworks have been reviewed, approved and training rolled out.. Work on the National Fraud Initiative exercises led by the Internal Audit, Investigation Team, in collaboration with the Cabinet Office and Wales Audit Office. Receipt and dissemination of fraud intelligence alerts from law enforcement agencies. Regular reports to the Section 151 Officer and Audit Committee and the Chief Executive. Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority. Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control. Ongoing delivery of briefings to Schools on fraud and control risks. Cardiff Manager Programme includes session on risk management and compliance / control. Provision of disciplinary management information on DigiGov. Multi-team collaboration in the development of the current Disciplinary Policy and supplementary guidance materials. Mandatory disciplinary e-learning module for all managers to complete and a programme of mandatory e-learning modules and training for Disciplinary Hearing Chairs, Investigating Officers and Presenting Officers. Training programme for disciplinary investigation note takers, developed and delivered by the Internal Audit, Investigation Team. A Fraud Publicity Strategy has been approved, to publicise the Council's approach to counter fraud work / sanction activity and explain the roles and responsibilities of key parties. 	Medium (D2)	<ul style="list-style-type: none"> Communication plan set up in order to raise profile of Fraud awareness and ensuring that consequences of weak controls in place are fully understood across the organisation. This will include the Fraud Bribery Corruption Policy with awareness and education sessions. Investigation Team to liaise with the Monitoring Officer and agree a policy for monitoring employees at work and a management framework for its enactment as well as undertaking online investigations. Internal Audit to sample Disciplinary Hearing outcomes, challenge consistency of disciplinary sanctions and report findings to the Section 151 Officer and Audit Committee. Review and use the management information produced by HR in respect to the Disciplinary Policy and the production of management information Measure the effectiveness of fighting fraud and corruption against the CIPFA strategy by the end of Q4 2018/19. 	<p>Christine Salter (Ian Allwood)</p> <p>Councillor Chris Weaver Finance Modernisation and Performance</p>

Ref	Risk Description	Potential Impact	Inherent Risk	Current Controls	Residual Risk	Proposed Management Actions	Owner
24	<p>Workforce Planning</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"> • Poor service delivery due to ineffective use of resources. • Lack of resources with the knowledge and skills the Council requires for future delivery • Loss of resources and recruitment problems. • Poor morale • Loss of experienced staff members including managers • Reduce the likelihood of attracting high calibre managers to Cardiff Council • Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care. • Risk of workforce not representing the communities to which services are delivered. 	High (B2)	<ul style="list-style-type: none"> • Workforce Strategy developed and agreed by Cabinet in April 2015 and programme developed to encompass a number of projects relating to the requirements around this risk, including Workforce planning, Learning & Development, PPDR review and Employee Voice. • The Workforce planning project has a completed project brief identifying a number of key outputs • Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development. • 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. • HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda. • Children’s Services have developed a Workforce Strategy for their area which is being reviewed on a regular basis. • 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 taken place with Cardiff and Vale College to roll out an Essential Skills diagnostic tool to frontline employees through Commercial Services • A programme of NVQ study is being discussed with Cardiff & Vale College and Commercial Services are coming forward with cohorts of employees to attend. • Employee surveys carried out to identify areas where further employee engagement / development can be focused. • Work has been carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local Authorities. • Project brief for Workforce Planning provides full details of milestones and implementation dates. • A review of the courses provided by the Cardiff Academy has taken place to ensure that these meet the skills requirements for the future. • The Council is committed to providing apprenticeships and traineeships for young people and this programme will be enhanced further with a specific target of 100 opportunities for 2017/18. • Workforce planning tool kit has been rolled out to pilot areas and workshops taking place between May and September 2017. • Feedback from pilots has been received and allowed for the toolkit to be reviewed. • Full rollout of Workforce planning toolkit to take place in 2018/19. • Workforce planning toolkit presented to SMT in April 2018, and roll out across organisation commenced in first quarter. 	Medium (B3)	<ul style="list-style-type: none"> • Renewed Workforce strategy for 2018-2021 due to be presented to Cabinet July 2018 • Continued roll out of revised toolkit across the organisation during quarter 2 2018 • The Council is reviewing its resourcing strategies to ensure that it is a considered employer for young people leaving school, college and universities. • As part of the Workforce Strategy Cabinet report, recruitment advertising to be reviewed and processes put in place to ensure that adverts are reaching hard to reach groups • Work is taking place to identify areas where the employee group is not representative of the communities and actions identified of what could be done to improve this • Actions being taken to improve the accessibility to Welsh language either through the recruitment process or through the training and development of current employees • Development to take place of a corporately agreed skills set for the future delivery of services so that all employees and posts can be measured against this skill set to identify learning and development gaps • An IT solution to be sourced during 2018/19 in order to develop workforce planning further and to ensure that the Council has available the data it requires to ensure efficient workforce planning in the future. 	Christine Salter (Philip Lenz) Councillor Chris Weaver Finance Modernisation and Performance
25	<p>Brexit</p> <p>The risk that Brexit (and any subsequent decisions) will create severe disruption to the City and hinder its ability to continue to deliver effective services and maintain community cohesion</p>	<ul style="list-style-type: none"> • Community Cohesion – Increase of tensions / hate crime • Civil unrest – Protest / Disruptions to transport / City links • Shortage of fuel, foods and medicines will impact on community • Service Delivery is impacted by shortage / loss of key supplies • EU Settlement Scheme is not managed effectively thus disrupting those affected • Business Continuity Plans fail to be effective against the challenges posed by Brexit. • Key facilities not kept open such as schools and advice centres 	High (A1)	<ul style="list-style-type: none"> • Officers in regular contact with WLGA / Welsh Government and respective public partners • Directorates reviewing / monitoring respective business continuity plans and making relevant adjustments where needed. • Key suppliers identified / Resilience testing • Lead officer in place for EU Settlement Scheme providing coordination and communication to internal and external stakeholders • Business continuity Plans reviewed by Emergency Management Unit. 	High (B2)	<ul style="list-style-type: none"> • As Brexit outcome becomes clearer priority areas will become the main focus of attention • Longer term implications on areas such as workforce planning need to become clearer over the forthcoming period. 	Senior Management Team