Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
EVENT DRIVEN RISKS										
Social Services and Wellbeing (Wales) Act Failure to implement the Social Services & Wellbeing (Wales) Act 2014.	Reputational / Financial / Stakeholders / Service delivery / Legal / Partnership / Community • Legal challenge around interpretation of 'duties' under the 'wellbeing' concept. • Increases in demand, or service offer, stimulated by new duties under the Act. • Social care sector staff not sufficiently trained to implement Act from 6th April 2016.	B	1	**High Priority**	• New governance arrangements in place to ensure effective monitoring of progress across the region. • Senior lead officers identified with responsibility for each work stream. • Regional task and finish groups established for each work stream and action plans being delivered. • Updated Social Care Development and Workforce Plan submitted to Welsh Government in September 2015. • Successful partnership workshop held to ensure full engagement in process. • Officers contributing to national work groups as required. • Regular reports to Scrutiny Committee with references to Cabinet in place.	B	3	**Medium Priority** **(Red/ Amber)**	• Regional Implementation Plan updated for submission to WG on 16th October 2015. • Joint approaches to developing opportunities across Cardiff, the Vale of Glamorgan and UHB closely monitored through IHSC Strategic Implementation Group, Leadership Group & Governance Group. • National Learning & Development Plan being developed by Care Council for Wales to support implementation of the Act. • First tranche of staff and partner development in progress through general awareness sessions.	**Tony Young** **Councillor Sue Lent, Deputy Leader - Early Years, Children & Families** **Councillor Susan Elsmore – Health, Housing & Wellbeing** **Updated Potential Consequence, Current Controls and Proposed Improvement Actions** *(Residual risk updated from B1)*
Hostile Vehicle Mitigation in Cardiff Vehicle Borne Improvised Explosive Device (VBIED) detonating in an area identified as a high risk crowded place, as a result of the inappropriate boundary treatments and access control processes protecting and managing it.	Service Delivery / Reputation / Legal / Financial / Health & Safety / Financial / Partnership / Community & Environment / Stakeholders Potential for:- • Large no's 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	B	1	**High Priority**	• All existing identified high risk; crowded places have been formally assessed. • Most crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge. • Most crowded places have varying standards of boundary treatments protecting them; providing a limited/cursory visual deterrent but little/no protection from a hostile vehicle. • CONTEST Protect/Prepare Task & Finish Group has developed a City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'. • 20 (40%) of the identified 'gateways' into the crowded places already benefit from PAS 68/69 mitigation in place, implemented as a direct result of Home Office (Crowded Places) and Olympic Legacy funding. • 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.	B	1	**High Priority**	• WECTU CTSAs, the Emergency Services & Cardiff Council continue to promote and provide Project Argus and EVAC/Griffin training across the city. The revised products were launched nationally in November 2014 and are now being rolled out in South Wales. • The CONTEST Protect/Prepare Group will continue to maintain the City Gateways Public Realm Enhancement Scheme to ensure that the proposed PAS 68/69 mitigation for the remaining gateways remains appropriate. This work also includes the estimated costs for the procurement and installation of the PAS 68/69 mitigation and ancillary services. • Work is ongoing with Strategic, Planning, Highways, Traffic & Transportation (SPHTT) to advise developers across the city in relation to appropriate mitigation required. • The CONTEST Protect/Prepare Group will continue to monitor and review the scheme to ensure it is fit for purpose until it is fully installed. • Additional funding must be secured to procure and install the PAS 68/69 mitigation at the remaining 30 gateways (currently). • 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. • Further work has been undertaken to incorporate the car parking requirements of the Tabernacle, with an annex document being developed to better manage its 'users', covering their requirements whilst adhering to the existing Traffic Regulation Order. 'Sign-off' for this document is anticipated shortly. • Two CT briefings were held in 15th & 22nd January 2015 for Civil Parking Enforcement staff to raise awareness of in relation to the Access Control Protocol, the National Threat Level and the ways in which they can support the work of CONTEST. • The CONTEST Protect/Prepare Group will continue to support SPHTT in the delivery of all outstanding and future works associated with this risk.	**Andrew Gregory** **Councillor Ramesh Patel – Transport, Planning & Sustainability** **Reviewed – No change**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
Welfare Reform That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform Bill 2011, Universal Tax Credit, localisation of Council Tax Benefits, Social Fund reform, Introduction of the Benefit Cap and size restrictions for social tenants. Lack of information, short timescales for implementation and the large number of citizens affected makes this a significant risk. This risk is increased by the 2015 Budget which announced further welfare benefit cuts and introduction of Universal Credit from Nov 2015.	• Private landlords stop renting to benefit claimants • Increased homelessness and demand for temporary accommodation • Increased rent arrears • Redeployment / Severance for 140 staff • Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties. • Funding issues with Council Tax Reduction Scheme • Barriers to building additional affordable housing.	A	2	**High Priority**	• Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit. To date private landlords have not withdrawn from the benefits market in large numbers but changes in the economy could influence this in the future so this will continue to be monitored closely. • 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 private tenants to move accommodation where necessary. • Timely information is being given to claimants to help them respond to the changes. • Council Tax Reduction scheme worked well in 2014/15 and has been continued for 2015/16. Currently the reduction is based on 100% of liability so there has been no across the board cut to benefit. However funding issues could prevent this in the future. • 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. Unfortunately the DHP grant has decreased in 2015/16 • While arrears have increased this increase was much lower than anticipated due to effective management of the DHP fund and close monitoring of arrears. Many tenants remain affected and concern remains that arrears could rise further in the future • The number of properties becoming vacant has increased as a result of Welfare reform and this combined with other issues has resulted in a significant increase in void rent loss. Work is being done to encourage exchanges rather than transfers as this will prevent properties becoming vacant as a result of the changes. • The number of tenants in temporary accommodation has increased, however there are a number of factors contributing to this, this is being monitored carefully and has recently started to reduce. • The benefit cap - the impact on rent arrears of this change is being monitored. Schemes have been put in place to protect those in Temporary accommodation and to encourage other tenants affected to return to work. Work is underway to identify additional cases following budget announcement. • The communication plan is working well Factsheets have been developed and are constantly being updated as more is understood about the changes. Briefings are sent to external stakeholders updating them of any changes. • The Welfare Reform Task Group is working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected. • Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate. • The date of the commencement of the transition to Universal Credit is 30 November 2015 however this will initially affect only a small number of clients, planning for staff reductions is still not possible. The scheme has been changed to include more information sharing for landlords and this should offset some of the risk. Work on digital inclusion and banking project is going well and training is provided across the city. • The Advice Hub has moved to Central Library and is working well, providing comprehensive advice services for those affected by Welfare Reform.	B	2	**High Priority**	• Universal Credit will be introduced from 30/11/15 but only for a small number of claimants. A review of workforce is currently underway using approximate roll out timetable. Agreement has been reached with DWP to provide face to face services for UC claimants and funding will be provided for this in the current year. Services and appropriate publicity are being developed. • Digital inclusion training and banking support has been successfully implemented and will continue to be monitored. • Additional resource has been agreed for supporting council tenants with the Universal Credit changes, staff have been recruited to assist with this and procedures are being developed. • 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. • Size restriction for social tenants and the Benefit Cap remains a significant risk with potential increased arrears and homelessness; procedures are being kept under review to identify any further action that can be taken, including more support for those wishing to exchange. Regular meetings are held with social housing providers to monitor and improve processes. • DHP spend is being monitored carefully following the reduction in budget for 2015/16, to date spend is within budget. • Work has been carried out on the impact of possible council rent decreases on the HRA business plan and discussion is ongoing with social landlords about the impact of possible rent decreases on future housing development. Further work will be undertaken when more information becomes available. • Impacts of the Budget announcements such as the restrictions on benefit for younger people and reduction in benefit cap to £20k will be reviewed as more information becomes available.	**Sarah McGill** **(Jane Thomas)** **Councillor Susan Elsmore – Health, Housing & Wellbeing** **Updated Potential Consequence, Current Controls and Proposed Improvement Actions**
Waste Management Failure to achieve targets for Landfill allowance, specifically for Biodegradable Municipal Waste and WG statutory Recycling Targets. Ineffective delivery of recycling targets and residual waste treatment.	Reputational / Financial / Stakeholder / Service delivery / Legal / Environmental / Community • Significant financial penalties for failure at up to £200/tonne or incorrectly capture tonnage data • Procure landfill elsewhere with additional costs. • Reputation damage • Increased costs of landfill and alternative treatment markets • Risk to grant funding currently £7.25m 2015/16 • No MTFP for future grant funds or capital confirmed by WG • Reducing Grants; reducing market values for recyclates	B	1	**High Priority**	**Policies / Strategy** • Previous updates contain the policy position improvements between 2008-2015. • Waste Management Strategy 2011-2016 was approved on 13th Jan 2011 and was revised in April 2015. • Several progress reports have been made to Cabinet and Environmental Scrutiny in that period. • Monthly performance tracking of recycling has been established to help predict the end of year position. • Steps taken to improve MRF processing rates means less waste to landfill. • Commercial recycling centre opened march 2014. • Focus on pre-sort on the HWRCs is showing improvements in site recycling. **Contracts / Projects** • Several Contracts have been put in place for additional materials to be recycled from the HWRC's. • Interim contract in place for disposal of biodegradable green/food waste • A flexible Interim Disposal Contract in place with Biffa for 2-10 years; commenced April 2009. • Aggregate recycling is now in place. • Recycling litter bins are in place in the city centre. • New initiatives such a charging for bulky waste, commercial recycling	B	2	**High Priority**	**Risk of Fines** The minister still has wavered fines for the 13/14 failings. However, the targets increase from 52% to 58% in 15/16, therefore, the risk rating remains high. **Policy / Strategy** • The outline waste strategy has been approved by Cabinet and work continues on the detailed planning for the five phases of the strategy implementation. The first phase of reducing waste capacity began in Qtr. 2 and the city wide changes will be completed by the end of Qtr. 3.Flats Strategy to improve waste and recycling collections from flats is designed to enable greater recycling and food waste form hard to capture areas. • the sweepings contract is now in place • Exploring reuse partners. • Working with other Local Authorities to explore TEEP business cases and/or exploring joint working options • Delays have been experienced in the HWRCs changes, which will reduce the recycling potential and waste minimisation activities that were planned for Qtr. 2 onwards. **Contracts / Projects** • Progress the Organic procurement is to timescale to SCD of	**Andrew Gregory** **Councillor Bob Derbyshire - Environment** **Updated Potential Consequences, Current Controls & Proposed Improvement Actions**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					centre, sweepings, mattress and carpet recycling schemes are all underway. • New HWRC delivery model is under review. This year, placing the focus on pre sort high quality recycling and removing the reliance on post sorting of waste. **Prosiect Gwyrdd** Financial Close occurred December 2013 Viridor are the appointed contractor which commenced Sept 2015. **Organic procurement** The procure of a processing facility for food and green waste was completed for both Cardiff and the Vale of Glamorgan. The new facility will be operational in 2016, whilst the interim arrangements remain in place. **Household & Commercial Waste Collections** Household Waste collections were changed further towards the WG recycling blueprint is now underway by changing to: smaller fortnightly black (with accompanying hygiene services and weekly food and dry recycling and fortnightly green. National government discussions on comingled recycling remain an issue and further modelling on the best option for Cardiff will be completed in 2016 **Collaboration work** Working and engaging with Welsh Government on legal and policy changes.			(Red)	01/04/16. Interim contracts remain valid. • An interim Contract for residual treatment is in place for when the landfill closes and to ensure LAS targets are met and tax avoided wherever possible. • New markets for carpets and mattresses are being explored • **Project Gwyrdd** - Financial Close occurred December 2013 Viridor are the appointed contractor which commenced Sept 2015. Planning transitional management & contractual commencement arrangements • IBA recycling will begin in Qtr. 2 to secure additional recycling tonnages **Collections** • Commercial waste operations have refined the marketing package for recycling in the commercial sector to increase recycling from commercial waste collected by the Waste Collection Authority that is included in the total MSW (and therefore relevant to statutory targets). • Set and achieve new commercial recycling opportunities for new materials and new income opportunities – targeting food collections and schools. • Risk remains high that recycling performance and weather impacts on green waste could lead to a status quo in recycling performance or at worse a drop in performance	
Preparation of Local Development Plan Preparing a plan that is considered 'sound' by the Inspector, within the proposed timetable.	Service delivery / Reputation / Legal / Financial / Partnership / Community & Environment & Stakeholder • Preparing a plan which the independent Inspector considers 'unsound' and therefore cannot be adopted. • Reputational issues for the Council. • No adopted plan in place would mean the Council would not be in a position to effectively manage and control development- its ability would be significantly reduced. • Failure to achieve corporate priorities which the LDP would help deliver relating to economic, social and environmental objectives. • Possible breakdown of key strategic partnerships and with stakeholder groups. • Delays in preparation. • Possibility of planning applications being submitted in advance of plan adoption. • Possible negative publicity on delay. • Stakeholder concern at delay to timetable. • Potentially significant objections raised by objectors and / or legal challenge submitted against Council impacting on timetable and plan content. • Infraction proceedings against the Council resulting in significant financial penalties. • Insufficient resources. • Staff resource and monies required to undertake technical studies and other specialist advice considered necessary.	B	1	**High Priority**	• Use of project management techniques to effectively manage process and regular update meetings between Senior Officers and Members. • Monitor emerging legislation/guidance/evidence and respond early to changes. • Monitor budget spend and consider additional resources when required. A medium term financial bid has been agreed for 2013/14. • Undertake Scrutiny process together with wider Member Briefing to raise awareness. • Build in effective consultation and engagement into process to ensure stakeholders are informed at all stages. • Close liaison with the Welsh Government Planning Division and Planning Inspectorate to: • Ensure early warning of any problems (e.g. Consultation on LDP) • Ensure LDP is sound, founded on a robust evidence base with sustainability appraisal and well audited community and stakeholder engagement. Undertake tests of soundness 'self assessment' at all stages of LDP preparation as recommended in national guidance • Ensure procedures, Act, Regulations etc, are complied with and no undue risks taken • LDP Corporate Officers Working Group • A revised timetable for preparation of the LDP has been agreed by Executive and Council in November 2011. The revised timetable for the Delivery Agreement was agreed by WG in December 2011 • Initiated schedule of meetings with Authorities within South East Wales and other stakeholders to discuss cross border and consistency issues to meet the tests of soundness • Meetings held with Authorities within South East Wales and other stakeholders to discuss cross border and consistency issues to meet the tests of soundness. Report of Findings agreed and forms a background paper to the Preferred Strategy. • A Flood Study Report to investigate fluvial food risk from reens in the Wentloog Levels has been completed and evidence presented in the report has informed the assessed candidate sites and inclusion of an additional strategic site. • The LDP Preferred Strategy was approved by Cabinet on 18th October 2012 and Council on 25th October 2012. • A consultation on the Preferred Strategy was completed on 14th December and over 1000 responses have been received. • Final report has been completed on population and household projections as part of the evidence base to support the Deposit Plan. Report recommends reducing the overall level of housing growth in the Plan by approximately 4,000 dwellings. • Final draft Gypsy and Traveller study investigating potential new sites has been completed and circulated for Member agreement. • Report on Masterplanning general principles was approved by Cabinet on 16th May. These principles inform the preparation of the schematic Masterplans. • Workshops held with officers to help inform the development of the strategic sites specific frameworks. • A Masterplanning Framework Document has been prepared as a background paper to the Deposit Plan.	C	1	**Medium Priority** **(Red/ Amber)**	• To ensure effective partnership with service areas across the Council and seek to respond to the Action Points raised by the Inspectors at the further Hearing Sessions held on 28th and 29th September 2015 by mid October 2015 to support the ongoing LDP examination. • Additional funding over the financial year 2015/16 will be needed to meet statutory requirements and support the ongoing examination of the LDP and commitments made in the LDP Delivery Agreement, which sets out a timetable agreed with Welsh Government for preparation of the LDP. Main expenditure headings over this year include the cost of the ongoing examination including planning Inspectorate costs, legal costs and other independent advice costs and publicity and printing costs relating to the Matters Arising Changes Schedule and adoption of the final version of the LDP following the publication of the Inspectors Report. • Key dates remaining in the process are consultation on the second Matters Arising Schedule in October 2015 and following this publication of the Inspectors Report in late 2015 and adoption of the Plan in early 2016.	**Andrew Gregory** **Councillor Ramesh Patel - Transport, Planning & Sustainability** **Updated Current Controls & Proposed Improvement Actions**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					• The Deposit Plan was approved by Cabinet on 12th September 2013 and Council on 26th September 2013 for consultation purposes. • Consultation on the Deposit Plan was completed on 26th November 2013 and over 400 responses have been received. • Consultation on the Alternative Sites was undertaken between 11th February and 4th April 2014. • Following approval by Council on 26th June, 2014 the Deposit Plan and supporting information was submitted to the Welsh Government and Planning Inspectorate for examination on 14th August 2014. • Following commencement of the examination, the Council submitted Statements relating to the "Matters and Issues" raised by the Inspectors and the LDP Examination Hearing Sessions were held in January and February 2015. These Statements included Statements of Common Ground agreed with key stakeholders. • Following the request by the Inspectors the Council responded to the 187 Action Points within the agreed timescales to support the LDP at examination. These responses were prepared in partnership with relevant service areas.					
Education – Schools - SOP Very ambitious timescales for project delivery, by a lean team, with restricted capital allocations to support reorganisation, improvement and expansion of school provision to meet growing pupil population.	Reputational / Legal / Financial / Social / Stakeholder / Health & safety. • Insufficient primary places in some areas of the City. • Further degeneration of school buildings • Reducing educational standards. • Project cost and time overruns • Risk that Welsh Government do not support the revised strategy and associated capital bid incl agreement to the additional funds requested and/or withhold individual project funding if not satisfied with Business Cases. • Difficulties associated with data source and production could undermine proposals and stakeholder trust in the SOP change process	B	1	**High Priority**	Proposals to balance supply and demand at primary level to reduce risk of insufficiency incl: • Public consultation on the provision of additional Welsh-medium and English-medium primary schools places in and around the Butetown, Canton, Grangetown and Riverside areas running from 07 September – 19 October 2015. • Public consultation on the provision of additional primary school places in the Willows Catchment will be starting early October. • Provision of welsh-medium and English-medium primary school places in and around Llandaff North (Gabalfa/ Ysgol Glan Ceubal) consultation completed 25 March; report on the outcome of consultation to be considered at November Cabinet meeting. • Post statutory notice; a report recommending the transfer of Glyn Derw High School onto the Michaelston Community College site from January 2016 will be considered by the Cabinet on 17 September. • A report seeking permission to go out to public consultation on a proposal to establish a new high school in the West to replace Glyn Derw High School and Michaelston Community College will be considered at the Cabinet meeting on 17 September. • A repot seeking permission to go out to public consultation on the closure of Meadowbank Special School is due to be considered at the November Cabinet meeting. • Realigned 21st Century Schools Programme of a greater value was approved by Cabinet on 19 March. Approval in principle of the realigned strategy is required including the additional grant funding requested. Funds to target reduction of asset liabilities as part of the overall consideration in prioritisation of projects to go forward and options for resolving issues in place. • Capital bid submitted to meet suitability and sufficiency issues - suitability and sufficiency was approved as £500k per year, 2015/16 to 2019/20. • Assets being considered corporately to maximise the opportunity to focus funds realised within the Council and through other sources on fewer high quality buildings. • Alternative models of design, procurement and construction in the initial stages of implementation with a view to reducing likelihood of cost overruns and reduce time required to complete the whole process. For example the Eastern High two stage tender process and incorporation of standardised design approaches. • Extensive work on the 21st Century Schools realignment undertaken in conjunction with the Welsh Assembly to ensure the bid is consistent with their aims and expectations prior to submission. • All training specific to 5 case business training has been undertaken by several member so the team and close contact with the Welsh Government officers during preparation of bids is improving quality and resulting in good outcomes on detailed business case approvals. • Staff being recruited on a temporary basis until a new structure is in place by March 2016.	B	2	**High Priority**	All risks being monitored and reported to Schools Programme Board. • Pursue 'Turn Key solution' i.e. one contract, single point of management and responsibility • Two step procurement methods being trialled • Standardised design methods being pursued • Continued active dialogue with Welsh Government and other professional parties to support progress and development • Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward	**Nick Batchelar** **(Janine Nightingale)** **Councillor Julia Magill Education & Skills** **Updated Potential Consequences, Current Controls and Proposed Improvement Actions**
Education Consortium & Attainment 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	Reputational / Legal / Financial. • Budget implications. • Educational standards falling behind other LA's. Potential impact on Estyn judgement for LA. • Intervention from WG	B	1	**High Priority**	• The new Director of Education and Lifelong Learning continues to be part of the officer governance arrangements at CSC and the Cabinet Member for Education is part of the Joint Committee governance arrangement for the JES. The Director of Education and Lifelong Learning also continues to work alongside colleagues at ADEW and the WLGA to work through a consistent response from an All Wales perspective. • A strengthened challenge and support framework is becoming	B	2	**High Priority**	• Officers will continue to monitor risks and report to corporate management, EIG and the Cabinet. • Establish a clearer commissioning relationship between the Council and CSC, to more robustly hold the consortium to account. • Continue to respond to Improvement actions identified by the Estyn March 2015 monitoring visit. • Directorate delivery plan now refreshed with clear	**Nick Batchelar** **(Angela Kent)** **Councillor Julia Magill -**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
required rate.				**High Priority**	embedded and the performance management of Challenge Advisors has been prioritised to provide consistency in the quality of service received. • Officers from Education work with the Central South Consortium to provide challenge and support to Head teachers and Governing Bodies. • Schools identified as requiring additional support are required to meet with the Cabinet Member for Education and Lifelong Learning and the Director of Education and Lifelong Learning. • Council make full use, if necessary, of formal warnings and powers of intervention. • Actions to improve challenge and support arrangements for schools and to raise standards are being closely monitored via the Estyn Action Plan by EMT and EIG, which includes the Chief Executive and Corporate Services. • School performance is now being tracked In Year via the regular collection of currently secure results from schools.			**High Priority**	accountabilities and performance measures.	**Education & Skills** **Updated Risk Description, Potential Consequences, current Controls and Proposed Improvement Actions**
ICT Platforms Unsuitable/ Outdated 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.	• Reputational / Financial / Stakeholder / Service delivery. • 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.	A	2	**High Priority**	• Measurements put in place to track impact. • Existing ICT budget spend focused on dealing with critical issues, capital and revenue budget resource provided to address major issues, medium term financial plan investment programme in place for subsequent years. • 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 to medium. • Additional load balancers to be purchased for application resilience in key systems. • All SAP hardware was replaced in 2014/15 and virtualised where possible with older versions updated to current version by Nov 2015 • Continued replacement of unsupported window servers. • Publication of system and application support lifecycles.	C	2	**Medium Priority** **(Red/ Amber)**	• Define a 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. • Refresh of existing SAP, thin client and virtual server farms. • Development of lifecycle monitoring. • Successful pilot leasing scheme within schools to be considered for corporate desktop estate. • Firmer engagement with business on decommissioning or replacing unsupported platforms and applications.	**Christine Salter** **(Phil Bear)** **Councillor Graham Hinchey - Corporate Services & Performance** **Updated current Controls and Proposed Improvement Actions**
					ONGOING RISKS					
Budget prioritisation The delivery of a balanced budget for 2016/17 alongside the deliverability of further significant savings over the life of the Medium Term Financial Plan Strong indication from Welsh Government that provisional settlement figure will not be received until December 2015 leaving very little time to react to any unanticipated settlement figures. Also, current indications are that the final settlement will not be announced until March 2016.	Reputational / Financial / Legal / Service delivery / Stakeholder • Risk of failing to meet statutory budget setting deadlines • Risk that service delivery impacted due to decreasing resources or failure to effectively prioritise spend inline 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 are not achieved as planned Risk that financial constraints lead to 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 of unbalanced budget as savings required over the medium term become harder to achieve and their impact on service delivery more difficult to manage. • Failure of financial organisations with whom the Council has invested money. • Risk that organisational development does not align to the financial strategy in relation to budget reduction requirements. • Additional obligations such as Wellbeing of Future	A	1	**High Priority**	2015/16 Budget Setting • The 2015/16 Budget Report was set in February 2015 and included savings of £32.476M and savings from a capitalisation direction of £3.487M. The challenge now is in respect of delivery of these savings. 2016/17 and Medium Term • The 16 July Budget Strategy Report updates the MTFP set out in the February 2015 Budget Report and resets the Budget Reduction Requirement to £47.37 M. Three year requirement remains a high figure of £116.9M. • As per the above Directorates have been asked to propose £29.66 M savings in addition to £7.05 M addressable Spend Savings proposals that will be assessed for due diligence during September and then taken forwards for Cabinet consideration prior to Public Budget consultation. • The uncertainty as a result of the delay of the settlement from WG means there will be a need to identify additional savings over and beyond the original targets in order to react to any additional reductions in funding. • Additional obligations such as Wellbeing of Future Generations Act being met with no extra resource from Welsh Government.	A	1	**High Priority**	2016/17 and Medium Term • Saving proposals received from directorates with due diligence being carried out during September. • Further consultation with Cabinet Members in early October in order for proposals to be developed, understood and agreed prior to public consultation. • Proposals and pressures assessed in respect of Wellbeing of Future Generations Act.	**Christine Salter** **(Ian Allwood)** **Councillor Graham Hinchey - Corporate Services & Performance** **Updated Potential Consequence, Current Controls and Proposed Improvement Actions**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
	Generations Act leading to Council failing in statutory duty.			High Priority				High Priority		
Financial Resilience The financial resilience of the Council is likely to reduce over the medium term, given the scale of the financial challenge ahead.	Reputational / Financial / Legal / Service delivery / Stakeholder • Risk that the financial position of the Council is not understood by key stakeholders • Risk that relevant, timely action commensurate with the Council's financial challenges are not taken • Risk that this leads to intervention and increasing issues in respect of financial resilience	A	1	High Priority	• The Council regularly reports in relation to its financial performance. • The Budget Report and the Budget Strategy Report on 16 July brought together a number of key statements in respect of financial resilience and identified the further work that was to take place.	A	1	High Priority	• A financial snapshot has been developed in respect of the financial resilience of the Council and will be reviewed 3 times a year. • Key stakeholders will be briefed on this position. • Financial triggers against this snapshot continue to be developed and reviewed.	**Christine Salter** **(Ian Allwood)** **Councillor Graham Hinchey - Corporate Services & Performance** **Updated Potential Consequence, Current Controls and Proposed Improvement Actions**
Budget Monitoring 2015/16 The Council's 2015/16 Budget included budget savings of £35.96 million of which £3.487m was identified as a capitalisation direction. £32.473 million were identified by directorates. Whilst lower than the £48.6 million identified for 2014/15 this level of in-year savings continues to poses a significant risk to the budget monitoring and the achievement of a balanced spending position for the financial year. At the time the budget was set the achievability risk ratings for the directorate savings identified that of the £32.473 million £10.23 million was rated red or red / amber with £5.854 million proposals still at a general planning stage. In the outturn report for 2014/15 £7.543 million of savings accepted had not yet been achieved which needed to be addressed in 2015/16.	• Inability to balance spend, against budget, for the financial year. • Requirement to implement emergency measures to reduce spending during the financial year. • Requirement to drawdown from General Reserves at the year end. • Impact on the 2016/17 Budget where issues remain with achieving 2015/16 budget savings and any unachieved savings brought forward from 2014/15.	A	1	High Priority	• 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 £4 million General Contingency was allocated in the Budget. • Full financial monitoring processes are in place for month 3 to 11 of the financial year including achievement of budget savings. • Monthly meetings are held between service accountants, directors and Cabinet Members. An initial review of the budget savings took place in month 2 with full directorate / portfolio monitoring meetings being undertaken for Months 3, 4 and 5. Work is currently being undertaken in respect of Month 6. • Availability of General Reserve should this be required. • Full Council monitoring report for Month 4 was presented to Cabinet on 17 September 2015. Although overall a balanced position was reported, a projected overspend of £6.1 m was identified in relation to directorate budgets with projected shortfalls of £5.854m against 2015/16 savings targets and £2.769m against shortfalls carried forward from 2014/15. This represents a significant concern. • The final outturn position will be presented to Cabinet in June 2016. • The Corporate Director of Resources and Chief Executive have held challenge meetings with directors in those areas where significant overspends are reported.	B	1	High Priority	• The final outturn position was reported to Cabinet in June. • The month 4 monitoring report reflected a projected balanced position for the council as a whole, although within that a projected net overspend of £2 million was stated for directorates. • Significant work will be undertaken to reduce the amount of unachieved savings but where they exist they will be tracked and resolved during 2016/17 as part of the monitoring arrangements for that year.	**Christine Salter** **(Allan Evans)** **Councillor Graham Hinchey - Corporate Services & Performance** **Updated Potential Consequence, Current Controls and Proposed Improvement Actions**
Health and Safety Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.	Reputational / Legal / Financial / Service delivery • Fatalities • Serious injuries • Prosecution – fines for body corporate and/ or fines/imprisonment for individual • Claims	A	1	High Priority	• Dedicated team of competent Health and Safety Advisers providing specialist advice and guidance (Christina Lloyd). • Implementation of the 'Framework for Managing Health and Safety' based on the HSE model for successful health and safety management as detailed in the Council's Health and Safety Policy (revised 2014). • The five key elements of the management system model for occupational health and safety are:- • Policy 2. Organising - Control, Co-operation, Communication, Competence 3. Planning 4. Measuring Performance and 5. Audit and Review. (These elements encompass a wide range of actions including development and implementation of relevant policies and procedures, risk assessing, Annual Directorate Health and Safety Action Plans, corporate health and safety objectives, Directorate and Council Annual Health and Safety Reports, monitoring by Directorates , training, consultation with trade unions through corporate and Directorate meetings, accident reporting and investigation and auditing). • Directorates carry out suitable and sufficient risk assessments as appropriate and ensure any necessary control measures are implemented and monitored.	B	1	High Priority	• Update Directorate Health and Safety Policies using 2014 Policy template ensuring more detail and cross referencing of operational documentation (All Directors / Chief Officers / Heads of Service). • Address corporate H&S objectives for 2015/16 (Christina Lloyd and All Directors -- to be completed by April 2016)). • Business objectives in Team Plan for H&S Advisers for 2015/16 • Implementation of Directorate H&S Action Plans by Directorates (All Directors).	**Christine Salter** **(Christina Lloyd)** **Councillor Graham Hinchey - Corporate Services & Performance** **Updated Current Controls**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					• Health and Safety Advisers carry out a programme of health and safety audits, focussing on high risk activities, and undertake other inspections / investigations as necessary. • Annual Business Objectives for Health and Safety Advisers. • Code of Guidance on Leading Health and Safety for Senior Managers and Headteachers included on CIS.					
Climate Change & Energy Security 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.	Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health & Safety Flooding & increased frequency and severity of storm events: • 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 costs of insurance • Break up of community and social cohesion • Blight of land and development Increased summer temperatures: • 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. Inconsistent energy supply and cost: • 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	B	1	**High Priority**	**Emergency Management Unit** • Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) with Utilities (including Dwr Cymru) and Telecom companies to ensure planning is carried out with consideration of flood risk. • 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. • Cardiff Area flood group meet regularly to exchange information, this group consists of NRW, Met Office, Emergency Services and Council Departments with a response to flooding. We also link into other responding agencies and voluntary organisations through the LRF via the Severe Weather Group, the Warning and Informing group and the Humanitarian Assistance and Community Resilience Group to promote preparedness through exchange of knowledge, assistance in plan writing and training. • Cardiff Council Emergency Management Unit are carrying out a large and long term communication strategy in Cardiff in conjunction with multi agency partners highlighting flood awareness alongside other emergency eventualities and how residents, businesses and communities can be aware of the risks in their area and hence better prepare for them should that risk materialise. Cardiff now has 4 active community flood plans with two others in the planning stage, we have also, through multi agency consultation, produced a 'Preparing for Emergencies' 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. • Emergency Management Unit maintain up to date flood warning information from Natural Resources Wales on the Council GIS system. **Energy Management Unit** • The Energy Management Team, in conjunction with Service Areas continues to promote initiatives to reduce energy consumption and carbon emissions, with the establishment of various loan funds, coupled with capital bids and allocations. • The Council procures competitive energy contracts through the Welsh Purchasing Consortium. • Key sites are fitted with back up generators for short term issues. • Council Carbon Management Programme • Renewables – October 2011 EBM considered Wind and Solar PV Opportunities in the Council Estate and approved the recommendations. **Local Flood Risk Management Strategy** A Local Flood Risk Management Strategy was produced by the end of 2012 based on WG's Flood & Coastal Risk Strategy guidance. Which integrates; the PFRA, a coastal protection strategy, stakeholder communications and set a clear corporate approach to flood management and risk was presented to the Environmental Scrutiny on 2 Oct 2012. Public consultation was undertaken on the full strategy between January and March. **Planning** • Flood Consequence Assessment to inform LDP process (ongoing). • A Flood Study Report to investigate fluvial food risk from reens in the Wentloog Levels completed to inform the assessed candidate sites. • Compliance with WAG TAN 15 (Development & Flood Risk - 2004) is already part of the planning process. **Sustainable Development Unit** • Carbon Lite Cardiff Vision Forum project - Carbon Lite Cardiff Action Plan • Changing Climate, Changing Places pilot project. • Further guidance to be disseminated to service areas on climate change issues as and when new information becomes available. • Share learning experiences of climate change related risks with Integrated Strategy partners as and when information becomes available.	B	1	**High Priority**	• A public and key stakeholder consultation exercise has been completed, and the Local Flood Risk Management Strategy drafted for cabinet approval. • An officers flood working group has been establish to improve internal and key stakeholder communications on flooding issues. • The proposal to further progress Surface Water modelling further in line with national guidance and deadlines to inform the Cardiff Area Flood Plan awaits the next guidance from the Welsh Government • Identify where flood risk information is in place for key social and civil infrastructure and identify where there are gaps (i.e. contaminated land).The Flood Regulations 2009 require Flood Hazard & Risk Maps to be produced showing impact and extent of future significant flood events (City Services by June 2015) • 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 • Strategic climate change resilience action plan approved by Cabinet on 11th July as part of a wider One Planet Cardiff Cabinet Report. Actions and recommendations in the plan cover heat planning and flooding issues. • Corporate PI on climate change resilience developed to ensure that the authority and its services are prepared for a changing climate, and to enable robust reporting to WG on this work (in line with the potential reporting requirements of the Climate Change Act and Well-being of Future Generations Act). To focus on different aspects of climate change resilience annually - to enable Directorates to consider impacts from climate change to their assets, infrastructure, service delivery, strategy and partnerships, and to identify actions for improvement from this process. Meetings held with Performance to embed within corporate processes. Training and 1-2-1 support has been offered by the SD Unit to all Directorates to support them addressing the Corporate PI on this issue but uptake from Directorates has been low. The SD Unit will offer further support to Directorates to provide a combined year 1 & 2 response and will investigate other ways to ensure that parties are more proactively engaged, including an analysis of how new legislation (Well-being of Future Generations Act and upcoming Environment Bill) will help to influence this agenda. • To consider the long term planning implications for coastal protection owned/managed by the Council (will be considered under the Local Flood Risk Management Strategy). An initial coastline survey has been completed and added to the strategy report, which indicates high levels of coastal erosion in south east Cardiff, further study is required into the high priority sites identified consideration of strategic defences is required alongside Welsh Government. • A new energy policy and carbon reduction map has been developed which focuses on electricity and gas. This will be implemented from 2015/16 and run through until 2022 and will set an overall carbon target as well as site specific including a project programme. • Progress has been made to establish up to date energy budgets. • Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, deliver the fuel Poverty strategy through measures such as Cyd Cymru, ECO and Green Deal opportunities, provide supplementary planning guidance on passive and renewal heating systems to new build and retrofit schemes. • 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	**Andrew Gregory** **Councillor Bob Derbyshire - Environment** **Updated Current Controls and Proposed Improvement Actions**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
									energy security and energy savings opportunities such as implementation of Carbon Culture, delivering extensive energy invest to save programmes on the Council Estate. • Delivering renewables within larger properties to lower dependency to grid supply. • Energy Performance certificates undertaken to Council owned stock to improve understanding along with a variety of energy efficiency measures (cavity / loft / external wall insulation and boiler upgrades) funded via ARBED, ECO and Green Deal.	
Information Governance 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.	Reputational / Financial / Legal / Service delivery / Stakeholder • Leads to the Information Commissioner issuing notices of non compliance and implementing financial penalties	A	1	**High Priority**	• Information Security Board chaired by the SIRO held quarterly. • Suite of Information Governance Policies in place. • Processes for Information Requests, Data Loss in place. • The Information Governance Training Strategy in place. • Information Requests and Training compliance monitoring reports provided and reported to Information Security Board, SIRO. • The processing of CCTV requests (section 35 requests) has been centralised to ensure that these are dealt with appropriately • ICO Consensual Audit determined that the Council is considered to have a 'reasonable level of assurance' in place • Procurement contracts to include a clause regarding 3rd Parties processing personal data • Privacy Impact Assessment process realigned and a PIA Board established to ensure that the Council, when changing systems and processes where personal data is involved, considers relevant legislation. (in preparation for the new EU requirements) • PQA process includes the requirement for PIA's where personal information is being processed	A	2	**High Priority**	• The Improvement and Information Team who are responsible for the Governance of CCTV have compiled a register of all CCCTV devices owned by the Council. A review of the use of these devices is being undertaken through the council's Information Security Board and the nominated Directorate Information Asset Owners • Work is underway to provide advice and guidance to Directors and Lead Officers working on the Alternative Delivery Models on Information Governance matters • Work is underway to ensure that Information Governance matters are key considerations as the Council moves towards being 'digital by default' • Work to support the collaborative services i.e. Regional Regulatory Service, Vale Valleys and Cardiff Adoption Service continues to ensure that the on-going Information Governance requirements are met and delivered • Advice and assistance provided to the National Adoption Service and Rent Smart Wales continues as Cardiff Council is the Data Controller for these services	**Christine Salter** **(Vivienne Pearson)** **Councillor Graham Hinchey - Corporate Services & Performance** **Updated Current Controls and Proposed Improvement Actions**
Social Services – Costs Failure to reduce the cost of delivering social services.	. Reputational / Community / Legal / Financial / Stakeholders / Service delivery Quality and range of services and interventions compromised, e.g.: • Safety and welfare of individuals in the community compromised. • Achievement of good outcomes for service users compromised. • Shortage of appropriate services including placements. • Inability to meet key objectives and performance targets. • Increase in challenges from carers, including financial challenges. • Increase in Delayed Transfers of Care (DToC).	B	1	**High Priority**	Strategic service improvement governance arrangements including: • Organisational Development Programme. • Children's Services Improvement Board. • Vulnerable Families Partnership Board. • Social Services Reshaping Programme. • Adult Social Care Strategic Commissioning Programme. • DToC action plan. • Internal Review team within Assessment & Care Management continues to focus on delivery of targeted reviews and reviewing packages of domiciliary care for individuals. • Assessment & Case Management Business Process Review - commenced with corporate resources.	B	2	**High Priority**	• Remodelling Children's Services. • MASH (Multi-Agency Safeguarding Hub). • Remodelling services to disabled children. • Redesign services for children with emotional, behavioural or mental health difficulties (UHB led). • Enhance Community Resource Teams e.g. moving to 7 day working (ICF and RCF funding). • Plan to increase domiciliary care capacity. • Adult Services Improvement Board - in process of being established. • Creation of combined Health & Social Care Locality Community Resource Teams to increase efficiency and effectiveness. • Review and implement effective contract monitoring and management arrangements. • Identify commercialisation opportunities.	**Tony Young** **Councillor Sue Lent, Deputy Leader - Early Years, Children & Families** **Councillor Susan Elsmore – Health, Housing & Wellbeing** **Updated Potential Consequence, Current Controls and Proposed Improvement Actions**
Delayed Transfers of Care Failure (with Health partners) to reduce the number of Cardiff residents experiencing delayed transfers of care.	Reputational / Legal / Financial / Community / Stakeholders / Service delivery • Potential ministerial intervention incurring significant reputational and political risk.	B	1	**High Priority**	• Leadership group established to tackle DToC - consisting of Cabinet Members from the Cardiff, Vale of Glamorgan, Chair of UHB and relevant officers. • Joint action plan received and agreed by the Health Minister on 29th June 2015 under frequent review to monitor progress. • Health & Social Care Integration - continued progression on integration with Health - partnership / governance arrangements for Mental Health, Learning Disabilities and frail older people; development of integrated complex hospital discharge team across Cardiff , Vale of Glamorgan and the UHB.	B	2	**High Priority**	• Performance challenges set to improve DToC - monitored regularly. • Strategic review of reablement as part of ODP. • Strategic review of DToC re-engineering as part of ODP. • ICF and RCF monies to enhance the Community Resource Teams - e.g. moving to 7 day working. • Plan to create more domiciliary care capacity to ensure availability of services to achieve timely discharges.	**Tony Young** **Councillor Susan Elsmore - Health, Housing & Wellbeing** **Updated Potential Consequence, Current Controls and Proposed Improvement Actions**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
Performance Management A performance management culture is not embedded within the Council leaving the Council exposed to intervention by Welsh Government in line with the Local Government (Wales) Measure 2009 and associated requirements	Reputational / Service delivery / Stakeholder • 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. Outcome Agreement 2013/16 Financial • The WG guidance for the Outcome Agreement for 2013/16 means that there is a risk of not securing all or part of the £3.2m funding for 2013/14 and subsequent years	B	2	**High Priority**	• The Council's Corporate Plan sets the priorities of the Council and was approved alongside the budget in February 2015 • The content of the Outcome Agreement with the Welsh Government agreed which provides a number of priorities that the Council is required to deliver and monitor • The Performance Management framework for the Council has been revitalised, involving much greater corporate challenge and member engagement than was previously the case, with service and financial performance being discussed together on a monthly basis. In addition, specific arrangements have been developed for areas targeted for specific improvement, involving peer challenge and support. • Benchmarking Strategy which clearly sets out the Council's vision in place • Balanced Scorecards are in draft for Quarter 1 and will be used as communication tools within Directorates from Quarter 2 2015/16	B	2	**High Priority**	• Evaluate the impact of the revised arrangements for Performance Boards to evaluate the engagement • Evaluate the impact of the Challenge Forum, Star Chamber, and Service Improvement Boards to ensure that these arrangements are fit for purpose. • Regular programme of meetings of the Performance Leads is in place to ensure that these key staff across the Council work to deliver what is required at the right time and in line with the Council's requirements. • Programme of training on Continuous Improvement secured from WG for the Performance Leads which aims to ensure that all have the skills required to take forward the performance improvement agenda across the Council • Work continues to improve the alignment of objectives from the Corporate Plan / Service Plan into PPDRs of staff and work is being undertaken to improve the quality of the PPDR's.	**Christine Salter** **Councillor Graham Hinchey - Corporate Services & Performance** **Updated Proposed Improvement Actions**
Organisation Development OD projects fail to deliver the radical change required to deliver efficiency savings and service changes, due to service and resource pressures.	• The Council's budget constraints are so severe that the consequence of not delivering large-scale change could have a major impact on customer services. • Radical changes to service delivery models may impact on the Council's reputation if not planned, co-ordinated and governed effectively. • If change is not delivered, there could be unplanned reduction in staffing to achieve savings, which would result in loss of business knowledge and resources to implement change. • Reputational impact if services do not meet increasing customer expectations. • If change is not effectively planned, managed and implemented it may be delayed and subsequently impact on the Council's ability to achieve necessary savings and service improvements. • With the increased budget pressures, the Council may not have sufficient capital and revenue to invest in technology which would achieve medium and long-term improvements and savings.	B	1	**High Priority**	• Governance arrangements established, led by the Chief Executive and Programme Boards, chaired by Directors to ensure change is delivered • Disciplined approach, where risk assessment forms an integral part of the approach to change • Programmes initiated with dedicated resources • Experienced gained by managing programmes and projects over a number of years, building on lessons learned • 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. • Improving compliance to project and programme management governance standards by streamlining core processes and enhancing reporting, increasing transparency across change initiatives. • Implementation of Programme & Project Management Database to enhance management information and reporting. The database has replaced spreadsheets and double-handling of information and will support the enforcement of a standardised approach to corporate policies; improving governance and ensuring that PQA Programme & Project management processes are being used across the Council. • Investment Review Board initiated in April 2014 to review/approve Business Cases and prioritise resources. • Organisational Development Board joined up with Senior Management Team who meets monthly to discuss the OD Programme. This ensures all Directors are fully engaged with the OD Programme. • OD/SMT Board approved Programme Briefs for Reshaping Services, Social Services Improvement, Customer Focus & Enabling Technology and Vulnerable Children & Families Programmes in September 2015. It also approved refreshed Mandate for Neighbourhoods/Infrastructure Services programme. • Improved reporting for the OD Programme has been developed (Dashboard Reports) and approved for use at OD/SMT Board. • Appointment of programme managers to oversee the OD Programme (OM2 in April 2015 and OM1 in August 2015) has provided additional capacity and direction.	B	2	**High Priority**	• New Programmes & projects being initiated as part of Organisational Development – driving change from within Directorates, but corporately governed. • Updated Programme Briefs and Project Briefs for the Enabling & Commissioning Programme to be considered by the Enabling & Commissioning Board and SMT/OD Board in quarter 3 of 2015/16. • Programme Brief for Neighbourhoods /Infrastructure Services to be developed and considered by OD/SMT Board in quarter 3 of 2015/16. • Digital Strategy and Roadmap to be finalised and used to inform delivery. • Further work required to improve programme reporting and information flow. • Further work required to understand the interdependencies for all the projects ongoing in the OD Programme to ensure best use of resources and no duplication of effort. • Internal Audit Controlled Risk Self – Assessment tool to be piloted within OD Projects to inform strengths and weaknesses in controls and help prioritise areas for improvement. • The budget setting process for 2016/17 is likely to produce new projects that will become part of the Organisational Development Programme. This will require early dialogue with Finance and relevant service areas to ensure resources can be planned. • Enabling technologies to be realigned as appropriate to the priority areas.	**Christine Salter** **(Dean Thomas)** **Councillor Graham Hinchey - Corporate Services & Performance** **Updated Current Controls and Proposed Improvement Actions**
Business Continuity Large scale incident/loss affecting the delivery of services.	Reputational / Legal / Financial / Stakeholder / Service delivery / Health & safety • Inability to operate in a timely and efficient manner. • Potential impact on health and safety. • Impact on key services to the public. • Inability to meet business obligations e.g. partnership arrangements.	B	1	**High Priority**	• 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 Council worked with Marsh to complete a corporate exercise to identify and prioritise all activities. Marsh conducted a follow up BCM session at CMB on the 24th May 2011 which concluded the work on prioritising and classifying all of the Councils activities. This work to prioritise activities continues to be reviewed annually by the senior leadership team to keep the work live. • The Red and Amber activities were last reviewed in July 2014. The BCM Champion presented a report to the SLT on the position on all the Red and Amber activities. Directors, Assistant Directors and Chief Officers were tasked with ensuring that their Red and Amber activities had business continuity plans produced and audited by the end of 2014/2015. • A partnership approach between the Emergency Management Unit and	C	1	**Medium Priority** **(Red/ Amber)**	• It was agreed by SLT in July 2014 that a target date for completion of effective up to date Red and Amber business continuity plans would be put in place and this would have a target date of the end of 2014/2015, individual Directorates are responsible for progressing this work. • The BC Officer has started working with Directorates to start building business continuity plans for the Councils 62 Amber activities (activities that need to be recovered between 1 hour and 24 hours following business disruption • 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 BC Officer is working closely with Facilities Management to ensure they have effective plans in place to help manage possible business disruptions to our four core buildings. • Continue to promote the need for the Office Rationalisation Project to incorporate a solution to manage the risk and impact of loss of work space effectively, to limit impact on the provision of council services should there be a business continuity incident. This would probably be best achieved through roll out of an effective mobile working solution. A solution has been identified and is available to staff. Internal	Christine Salter Councillor Phil Bale, Leader – Economic Development & Partnerships Updated Current Controls and Proposed Improvement Actions

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					the Corporate Risk Steering Group is helping to raise awareness and drive forward the BCM programme. • 68 % of our most time critical activities (Reds) now have Business Continuity plans which have met, or are going through, audit. Work on the remaining plans is ongoing to close gaps and bring them up to date and in line with the corporate audit requirement • 19 % of our Amber activities now have business continuity plans which meet the business continuity audit requirement. • The Council now has a 24 hour Incident Management structure for Gold and Silver Officers. This structure was exercised in a corporate exercise OTAN run by the Emergency Management Unit in 6th and 9th of June 2014. This exercise also gave BC plan owners the opportunity to exercise their own BC arrangements. Further training for our Gold officers is due in November 2015. • The existing and well tested corporate emergency management structure was successfully and extensively used in the preparation for and over the NATO summit period. This structure was ready to manage a corporate response to any incident. • Cardiff Council is a member of the Core Cities Business Continuity Group and has been for the last 4 years. This membership allows the sharing of best practice and joint initiatives between group members. • 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. • Risk and Audit conducted an audit of the Business Continuity Risk in the first 2 quarters of 2015 / 2016 a briefing note has been issued to SLT on the current position and actions moving forward to further enhance our organisational resilience.				services have been working to improve the resilience and capability of infrastructure to support the use of this solution. • 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. • 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. • Facilities Management have identified a vulnerability within one of our electrical emergency generator supplies which the BC Officer is working to support the closure of this vulnerability. • The BC Officer is actively supporting the development of an appropriate Threat and Response Policy to support council security arrangements.	
Education – Schools Delegated Budgets Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.	Reputational / Legal / Financial. • Budget implications. • Reducing educational standards. • Intervention from WG	A	2	**High Priority**	• 2015/2016 Budget allocations issued to schools in early March 2015 and monitoring arrangements put in place for those schools showing financial concern • Officers from Education and Financial Services worked with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible. . • The fall in pupil numbers for certain schools made it clear that a longer period than four years was needed in order to achieve a balanced medium term position • Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure. • The 2015/16 resulted in a school budget which exceeded WG protection levels albeit there was an acknowledgment that the financial pressures facing schools exceeded the additional funding. • January 2015 letter written to all Chairs and Head Teachers providing a clear explanation of the financial challenges facing schools and the Council. • 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. • All Primary schools holding surplus over £50,000 were instructed to stay within WG levels but no surplus were reclaimed as there was a recognition by Council of difficult budget facing schools for 2014/15 and 2015/16. However, any sustained level of high surpluses will be recovered during 2015/16. • 2015/16 Budgets issued in early March 2015 with a focus on protecting or increasing the AWPU. This was an acknowledgment that schools with pupils needed some element of funding. The Grants are increasingly focussing on need thus the need to use any school funding formula for those with pupils. • Medium term budgets have been produced for 2016/17 and 2017/18 at very cautious levels in the absence of any indicative budgets at WG level and the need to manage expectations of the Council budget in the absence of any decisions yet made for 2016/17 in respect of school budget. MTFP shows a potential £10 million financial pressure on school budgets but it is unclear whether this pressure can be relieved by additional funds. The pressures are both in terms of inflationary and demographic of nature. • Officers from Education, HR, finance and legal looking at potential intervention strategies and developing a protocol for intervention. • Reviewing closely with Education Management Team and SOP in particular as to the opportunities available to address short medium term fall in pupil numbers for certain secondary schools. Some schools are unviable in short term but the spaces will be required in the next five years so financial plans required to get over the next few years with low pupil numbers.	B	2	**High Priority**	• 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. • 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 2015/16 school budget letters and the 2015/16 Budget Report. • Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance. • 2015/16 budgets have been drawn up and several schools have been identified as requiring meeting with S151 officer and senior education officers. These meetings took place in April and early May. • 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 2016/17 and beyond. • Developing the budget strategy for 2016/17 and providing early notification to budget forum and individual schools of likely impact of said strategy.	**Nick Batchelar** **(Neil Hardee)** **Councillor Sarah Merry - Education & Skills** **Updated Current Controls and Proposed Improvement Actions**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					• 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					
Legal Compliance Changes in services and staff roles across the Council resulting in: - gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate; - inability to deliver the services in accordance with all duties and responsibilities due to lack of resource: in each case leading to increased risk of challenges. Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.	Reputational / Legal / Financial / Service delivery • Increase in number of challenges 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 on external legal support	B	2	**High Priority**	• Professional internal legal and financial advice provided to a high standard. • Legal Services repositioned in the senior management structure. • Maintaining robust decision making process with legal implications on all reports. • Appropriate use of South Wales Legal Consortium external legal services and external barristers through separate framework to increase resilience. • Dedicated teams in specialist areas e.g. equalities, FOI / DPA. • Sharing training/publications received	C	2	**Medium Priority** **(Red/ Amber)**	• Prioritisation of work to make best use of internal expertise (including programme of projects in accordance with SMT decision) • Continue efforts with exploration of collaboration with other legal services to see if there is the potential to increase resilience and / or efficiencies. • Development of toolkits (led by Corporate resources) for major projects to reduce repetitive work and standard precedents with guidance for use in case of low value/low risk matters • Increase training programme Council wide to cover legal, financial and regulatory matters but with sharing to develop knowledge within Directorates of specific statutory functions. • Ensuring reports are discussed at preliminary stage in development to ensure all legal, financial and regulatory issues are addressed early	**Marie Rosenthal** **Cllr DeAth -** Skills, Safety & Engagement **Reviewed – No Change**
Fraud Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.	Reputational / Financial / Legal / Service delivery / Stakeholder • Increase in frauds and losses to the Council. • Reputational risk as more frauds are reported. • Increased time investigating suspected fraud cases.	B	2	**High Priority**	• Financial Procedure Rules, Contract Procedure Rules framework for staff to follow. • Proactive work of the Internal Audit team, including a small team dedicated to combating fraud and financial impropriety. • Professionally trained and experienced investigators to prevent deter and detect fraud against the Council. • Regular reports to the Section 151 Officer and Audit Committee. • Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority. • Wales Audit Office overview and work programme. • Procurement team compliance role relating to contract procedure rules • Management awareness as voluntary severance business cases are constructed and restructures considered. • Regular review of Fraud policies and procedures e.g. the Anti-Money Laundering Policy. • Ongoing training sessions provided for Officers, Head Teachers and Governing Bodies on Financial Procedure Rules and Contract Standing Orders and Procurement Rules. • Cardiff Manager programme includes session on risk management and compliance / control. • Senior Management Assurance Statements – challenge to Directors. • Increased role and awareness now that the Discipline module is live in DigiGov. • Working with Human Resources to review and update the disciplinary policy.	B	3	**Medium Priority** **(Red/ Amber)**	• Continued vigilance • Continue to provide the Chief Executive with regular briefing notes • Continue to produce regular reports for Audit Committee • Continual assessment of training needs for 'Rules'. • Considering forum for sharing investigation outcomes, raising profile of fraud work. • Formalise a policy for Monitoring Employees at work to provide Managers with the tools to undertake effective investigations. • Development of training programme for Senior Management regarding Fraud Awareness targeting disciplinary chairs and HR to help with (employee) fraud prevention and investigation. • Review of induction material relating to Fraud. • Refine training through the Cardiff Manager Programme. • Challenge inconsistent disciplinary sanctions and report findings to the Audit Committee. • Assessing investigation outcomes to target high risk areas based on previous finding / knowledge.	**Christine Salter** **(Derek King)** **Councillor Graham Hinchey -Corporate Services & Performance** **Updated Current Control & Proposed Improvement Actions**
Asset Management Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.	Reputational / Legal / Financial / Health & Safety / Stakeholders • Poor use of assets / VFM. • Lost opportunity for capital receipts. • Increased maintenance. • Prosecutions / fines.	B	2	**High Priority**	• Cabinet formally approved a new Property Strategy in November 2014. • Corporate Asset Management Board and supporting Working Group now set up to raise property profile and introduce more structured, disciplined approach to management of property and the Office Accommodation Rationalisation Programme. • Established rolling programme of 'Fitness for Purpose' reviews of all council properties providing high level assessment of the current performance and value of buildings. • Carbon Management / Energy Efficiency - Certificates / General Awareness / Introduction of Energy Renewables Strategy. • Established Implementation Plan for the new Property Strategy. • Determined governance and work programme updates for new Corporate Asset Management Board at meeting in January 2015.	C	2	**Medium Priority** **(Red/ Amber)**	Review of Investment portfolio completed. Report on future strategy and direction of non-operational estate presented to PRAP in January 2015 for onward consideration by Cabinet in June 2015.	**Neil Hanratty** **Councillor Phil Bale, Leader – Economic Development & Partnerships** **Updated Current Controls and Proposed Improvement Actions**
Workforce Planning Importance of forecasting and planning to building capability and capacity is not recognised and is not fully embedded.	Reputational / Financial / Stakeholder / Service delivery • Poor service delivery due to ineffective use of resources. • Loss of resources and recruitment problems. • Poor morale • Loss of experienced staff members including	B	3	**Medium Priority** **(Red/ Amber)**	• A Workforce Planning Project (PL04) forms one of the projects within the People and Leadership Programme to review, develop and implement the workforce planning project • Workforce planning Stage 1 Design is completed producing a number of key reports outlining required next steps for workforce planning • HRPS provided the Workforce Planning data (within the Resources/Staff section of Directorate Delivery Plan) and commenced work with	B	3	**Medium Priority** **(Red/ Amber)**	• Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development. The alignment of DDP's and the Workforce Strategy has been piloted within Children's Services. To be reviewed before role out a version of which will be incorporated into the Delivery Plans, integrating Workforce planning and business planning.	**Christine Salter** **(Philip Lenz)** **Councillor**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
	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.				Directorates/Service Areas on the Workforce Planning agenda. • Behavioural Competence Framework implemented, including 12 behavioural competencies set out in 4 levels as a way in which the Council describes its people and jobs. • All new and redesigned jobs are being described and advertised through role profiles. • Work is being carried out on linking processes that can be used for the identification and development of potential e.g. Recruitment & Selection, PPDR and Cardiff Academy and underpinning these with the Competency Frameworks. • The Workforce Planning approach for 2014/15 commenced with the roll out of the new tool and managers guide in March 2014. Whilst awaiting an IT solution, a new tool has been developed to enable the organisation to take a snapshot of where they are currently and to start to consider the 'skills' requirements piece • Managers' guide to WFP developed and disseminated to Directorates March 2014. • The Behavioural Competency Framework has been piloted. Stakeholder feedback is being collated to inform the revised approach. • Additional research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event. LGA/ Skills for Local Government hosted COP event. • HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda. • Options around the roll out of role profiles and other process efficiencies are also being considered and will be taken forward as part of the HR Delivery Plan for 2014/15 • Draft workforce strategy developed and consultation commenced which will have workforce planning as a key component. • Research and benchmarking planned with core cities during Q3 to review the effectiveness. • Need to revisit options appraisal to deliver a workforce planning IT solution. • Workforce Strategy consultation completed with key stakeholders – strategy and accompanying employee charter to be considered by Cabinet on 2nd of April. Workforce planning identified as a key priority				• VSA (value stream analysis) route identified as potential alternative engagement approach to understand directorate's needs relating to workforce planning, prioritising Vulnerable Adults and Vulnerable Children. Service Area Review Toolkit also provides opportunity for workforce planning questions to be incorporated – discussions with relevant stakeholders to be held in Qtr 1 – 15/16. • Workforce Strategy signed off In April 2015 and a refreshed Workforce Planning approach is being taken forward in a number of ways. Social Services have developed a Workforce Strategy for their Directorate. Communities and Neighbourhood Services are piloting the Workforce Planning Canvas tool. Resources have held a workshop which focussed on Professional and Technical areas to inform the key skills required for the Directorate going forward. Work is underway with colleagues across the organisation to build workforce planning into the Directory Delivery Plan process for 2016/17. There is also a review underway with Procurement colleagues of the Service Review Toolkit to fully integrate Workforce Planning into the tool kit. In addition work is still ongoing to identify a suitable Workforce Planning IT solution.	**Graham Hinchey - Corporate Services & Performance** **Updated Current Controls& Proposed Improvement Actions**