CITY AND COUNTY OF CARDIFF   **AGENDA ITEM 6**

DINAS A SIR CAERDYDD

POLICY REVIEW AND PERFORMANCE
SCRUTINY COMMITTEE   **23 November 2011**

CORPORATE RISK REGISTER

Reasons for the Report

1. To advise Members of the strategic risks facing the Council by presenting
    an opportunity to consider the Council's Corporate Risk Register, prior to
    its six monthly review by the Executive Business Meeting on 8 December
    2011.

Background

2. As part of its arrangements for good corporate governance, the Council to
    has a clear statement of its overall policy in relation to managing risks in
    the delivery of services, and a formal strategy outlining how it will identify
    and control these risks. The Council's Risk Management Policy and
    Strategy sets out how the balance between innovation and change on the
    one hand, and avoidance of shocks and crises on the other isentral to the
    business of good governance.

Issues

3. There are several benefits of strategic risk management,
    *   Increases likelihood of achieving the Council's objectives by
        identifying the barriers to achievement.
    *   The organisation becomes less risk averse in and more innovative.
    *   Improved business planning through a risk based decision making
        process.

- More informed decision making for example, linking budget priorities with risk.
- Focus on outcomes not processes.
- Enhances performance by feeding into the performance management framework.
- Better governance - and demonstration of it to stakeholders.
- Helps protect the organisation.

4. A fundamental element of the risk management strategy is the maintenance of a Corporate Risk Register that clearly lists the challenges faced by the organisation and indicates the senior manager with responsibility for managing the risk associated with the challenge. Corporate risk owners include the Chief Executive, Corporate Directors and Corporate Chief Officers. Attached at **Appendix 2** is the current Corporate Risk Register.

5. There are currently 23 risks on the Council Corporate Risk Register that represent the key challenges facing the Council. They include diverse issues such as climate change, waste management, Cardiff Bus, partnerships, information governance, welfare reforms and resources to support transformational change. Risks are assessed using the standard methodology outlined in the Councils' Risk Management Policy, Strategy and Methodology.

6. The Executive Report attached at **Appendix 1** indicates that there are three new risks that have recently been identified that do not yet appear in the Corporate Risk Register. These are the Olympics 2012; Education – collaboration; and Education – post inspection action plan. It also makes the point that the partnership risk is less within the Councils' control as it relies heavily on external partner bodies.

7. Members will note that many of the risks logged fall directly within this Committee's own terms of reference and recognise a number of issues the

Committee has highlighted as of concern in previous scrutinies. Risks such as: performance management not fully embedded in the culture of the Authority; insufficient legal resources to support the Council through a period of transformational change; governance arrangements not consistently embedded through a period of transformational change; ineffective engagement with citizens; budgetary and employee relations issues arising out of the potential outcomes of job evaluation.

Way Forward

8. Councillor Mark Stephens, Executive Member Finance & Service Delivery, Christine Salter, Chief Corporate Services & Section 151 Officer and Derek King, Audit & Risk Manager will be in attendance to take Members' questions.

9. Members may wish to consider the Corporate Risk Register and whether it has any concerns, comments or observations to pass onto the Executive prior to its consideration of the six month risk report.

Legal Implications

10. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Executive/Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers of behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be fully and properly informed; (f) be

properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.

Financial Implications

11. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme. However, financial implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Executive/Council will set out any financial implications arising from those recommendations.

RECOMMENDATION

12. The Committee is recommended to:

Note the Corporate Risk Register and the strategic challenges facing the Council and consider whether it wishes to refer any concerns or observations for consideration by the Executive Business Committee on 8 December 2011.

MIKE DAVIES
Head of Service
Scrutiny, Performance & Improvement
11 November 2011

CARDIFF COUNCIL
CYNGOR CAERDYDD

EXECUTIVE BUSINESS MEETING: 8 December 2011

CORPORATE RISK REGISTER

REPORT OF CORPORATE CHIEF OFFICER (CORPORATE SERVICES & SECTION 151 OFFICER)   AGENDA ITEM:

PORTFOLIO: FINANCE AND SERVICE DELIVERY

Reason for this Report

1. To bring the Corporate Risk Register to the attention of the Executive, in order to consider the strategic risks facing the Council.

Background

2. In order to support arrangements for good corporate governance it is necessary for the Council to have a clear statement of its overall position in relation to corporate risks which are reviewed on a regular basis and brought before the Executive biannually.

3. The Corporate Risk Register should identify the main risks facing the Council so that elected members and senior management can make informed decisions and prioritise actions, with these high level risks in mind. The process followed is to identify the risk and then to address it through the control environment and mitigations in place or planned within the Council. This exercise results in a residual risk score which should demonstrate the effectiveness of the controls in place to manage the risk.

4. The Executive last sighted the Corporate Risk Register in place as at the end of March 2011 and since then the register has been updated twice by the Risk Owners, in June and September 2011. Following each review the report has been shared with the Senior Leadership Team to obtain their agreement.

Issues

5. The Corporate Risk Register is made up of twenty three risks all of which are assigned to members of the Corporate Management Board. Since the Executive last considered the Register the Corporate Director (Place), has left the Council and ownership of these risks has been moved to the Chief Executive with designated Chief Officers providing support. These risks include Climate Change, Waste Management and Cardiff Bus. Similarly,

with the departure of the Corporate Director (People) relevant risks will be owned by the new Interim Director supported by Chief Officers.

6. Further changes in ownership has resulted following the senior management restructure at the beginning of the financial year e.g. the 'Partnership' risk is now owned by the Corporate Chief Officer Communities which had previously been managed by the Corporate Chief Officer Corporate. The risk has been expanded to incorporate elements of regional collaboration.

7. Three new risks have been added to the register since the Executive last considered the document; that relate to the Local Development Plan, Information Governance and Welfare Reform (further detail can be found within the Register).

8. A risk relating to 'Change' has been expanded to incorporate a previous risk of 'Programmes and Projects', while the risk relating to resources available to support programmes and projects has now been incorporated as part of the wider change agenda.

9. The 'Outcome Agreement' has also been closed down and incorporated into the 'Performance Management' risk which will be monitored collectively.

10. At the Senior Leadership Team meeting on the 25th September, when the Corporate Risk Register was discussed, the group were content with the risks included and felt they reflected the key challenges facing the Council at this time. At this meeting it was reported that requests had been received to consider adding three new risks to the Register, relating to i) the Olympics 2012 ii) Education – Collaboration and iii) Education – Post Inspection Action Plan. These new areas will be developed and considered over the next three months.

11. At the end of each financial year all senior managers are asked to complete a senior management assurance statement which gives them the opportunity to raise any issues to form part of the significant governance issues within the Annual Governance Statement (AGS). With the extent of transformational change currently underway it was decided that Chief Officers and Heads of Service should be asked to complete these assurance statements at the half year point, (September) and as a result of this five significant issues have been identified. These will be considered in context with the Corporate Risk Register and will be monitored over the next six months when the next review is due.

12. The Register does show some reduction in risks but there are some areas, such as Adult and Children's services and Health & Safety, where there will always be an element of unpredictability which merits a high priority score irrespective of how well the service is managed. For these, the important aspect is to continue to be able to demonstrate sound management, a proactive approach to mitigating the risks within their control and a robust monitoring process.

13. In other areas, such as partnership working and waste management the Council needs to place reliance on others external to the Council and this will impact on how the risk can be managed. The priority within the authority should be to focus on what can be achieved in terms of sound management and mitigation of risks within the Council's areas of responsibility. These particular risks are likely to remain a priority due to the impact others have and will need to continue to be effectively monitored.

14. It is important to note that risks are liable to change as circumstances change and the Corporate Risk Register presents the position at a point in time. It will continue to be refreshed quarterly and the identified risk owners have a responsibility to ensure the register remains focused and relevant. In order to recognise the importance of monitoring and reviewing the Corporate Risk Register, EBM will continue to consider reports on a biannual basis.

Reasons for Recommendations

15. To ensure the Executive are aware of the strategic risks facing the Council.

Legal Implications

16. One of the benefits of identifying risk is that mitigation measures may be taken if appropriate and consequently successful claims against the Council may be avoided altogether or reduced.

Financial Implications

17. There are no direct financial implications arising from this report. The Corporate Risk register will be used to guide the Internal Audit Plan and forms an important part of the governance arrangements for the Council.

RECOMMENDATIONS

18. The Executive is recommended to note the content of the Corporate Risk Register and to have regard to its content when considering resource allocation.

CHRISTINE SALTER
CORPORATE CHIEF OFFICER
November 2011

The following Appendices are attached:
Appendix A - Corporate Risk Register

Risk No.	Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
1	**Budget prioritisation** WAG settlement continues to be tight and does not keep apace with growing demand for service delivery which puts pressure to ensure budgets are firmly aligned with Council priorities as outlined in the Corporate Plan.	Reputational / Financial / Legal / Service delivery / Stakeholder • Ineffective prioritisation of spend inline with Corporate Plan Objectives • Increasing financial pressure • Inefficient use of resources • Ineffective prioritisation of spend based on risks / priorities • Projects delayed or wrong projects are approved • Increased non compliance and risk of financial impropriety • Annual budget settlement frustrate medium / longer-term planning • Cycle does not integrate with other business cycles and vice versa	A	1	High Priority	• Current budget process used to fix Council Tax rate • Risk assessment included in budget strategy • Budgetary control; additional monitoring in high risk areas. • Raising awareness of need for improved links between Corporate Objectives, Budgets & Risks • Efficiency targets • Internal Audit • Statement of Internal control / Annual Governance Statement requirements. • Budget Strategy 2012/13 to go to the 14th July EBM, this includes an initial indication of the savings required for 2012/13 • Budget Briefings • Letters to CO's re. saving proposals and MTFP • Adherence to treasury management policies • Stringent process for considering vacant posts • Scrutiny of all new appointments (mostly temporary nature) • Regular meetings with trade unions • Liaison with WAG • Process established to align transformation savings with the budget setting process for 2012/13	B	1	High Priority	• Monitor impact on budget strategy once final WAG settlement is known in December • Effectively account for savings from transformation along side those related to the budget setting process / benefit realisation framework in line with the process set out • Governance arrangements for Transformation Portfolio incorporates a new Benefit Delivery Board and regular reports on benefits to PMB • Accountant seconded to Transformation Management Office to contribute to effective monitoring and control, now supplemented by support for Programme Accountants and further resources to be put in place.	**Christine Salter**
2	**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 / Heath & Safety /Service delivery • Fatalities • Claims 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 2011). • The five key elements of the management system model for occupational health and safety are:- 1. 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 Service Area Health and Safety Action Plans, corporate health and safety objectives, Service Area and Council Annual Health and Safety Reports, monitoring by Service Areas, training, consultation with trade unions through corporate and Service Area forum, accident reporting and investigation and auditing.) • Service Areas carry out suitable and sufficient risk assessments as appropriate and ensure any necessary control measures are implemented and monitored. • Health and Safety Advisers carry out a programme of health and safety audits and undertake other inspections / investigations as necessary. • Annual Business Objectives for Health and Safety Advisers	B	1	High Priority	• Implementation of revised HS Policy (All Chief Officers – 2011) • H&S awareness sessions to Members (Christina Lloyd – 2012) • Corporate H&S objectives for 2011/12 (Christina Lloyd and All Chief Officers - to be completed by April 2012) • Business objectives for H&S Advisers for 2011/12 (Christina Lloyd - to be completed by April 2012) • Implementation of Service Area H&S Action Plans by Service Areas (All Chief Officers) • Production of Service Area HS Annual Reports 2011/12 (All Chief Officers)	**Christine Salter**
3	**Energy Security** Inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.	Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community • 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	• The Council procures competitive energy contracts through the Welsh Purchasing Consortium and can do little more to affect this issue. • Key sites are fitted with back up generators for short term issues. • Council Carbon Management Programme	C	1	Medium Priority (Red/Amber)	• Service areas with particularly high energy demands to engage fully with the Council's Carbon Management Programme. • Promote development of local power generation within city boundaries and with neighbouring LAs. • Energy security related issues to inform corporate financial systems and corporate & community planning. • Further guidance to be disseminated to service areas on energy security issues	**Christine Salter**
4	**Change** Projects fail to be delivered due to reprioritisation of resources or the Council cannot change the way it delivers services in line with the target operating model to achieve transformational change	Reputational / Financial / Legal / Service delivery / Stakeholders / Partnerships / Customer • Delay in achieving service improvements and/or savings required • Services are not improved • Corporate objectives not achieved. Not able to develop links between delivery of Council objectives and operational activity, insufficient support and information for members. • Lost opportunity for more effective service delivery, improved value for money and reinvestment of human and financial resources. • Significant instability.	B	1	High Priority	• Governance arrangements established including Portfolio Management Board, chaired by the Chief Executive, and Programme Boards, chaired by the Senior Responsible Officers to ensure the Portfolio is delivered • Disciplined approach through PQA, where risk assessment forms an integral part • Programme Managers manage project teams, including Project Managers, Business Analysts and Support Officers • Experienced gained by managing programmes and projects over a number of years, building on lessons learned • Building capacity and capability across the organisation through skills transfer and shadowing external advisors, using the Cardiff Academy and through PP&DRs for all internal staff • Benefit Delivery Board will meet monthly to ensure Programme benefits are delivered by service owners • Consultative Forum meets monthly with Members and Trade Unions • Communication mechanisms are in place for all interested parties including; Staff, Trade Unions and elected Members • Shaping the Future website implemented and staff road shows to improve communications • Seven Transformation Programmes initiated with dedicated resources • Strategic Technology Partner (TCS) insourcing of resources and Knowledge Transfer into the Council	B	3	Medium Priority (Red/Amber)	• Recruitment for SDT roles to occur on a 3-weekly cycle basis to increase resources available for project delivery • Continuing Programme and Project assurance by the TMO • Portfolio approach to Resource Management • Strengthening Portfolio planning to improve resource management, understand relationships between new approaches being built and corresponding benefit forecast for delivery (financial, service and organisational benefits) • Introducing tighter scope control mechanisms with the Programmes / Projects as they move from Design towards Delivery • Implement knowledge management strategy • Develop further working relationships and involvement with internal Audit to ensure operational risks associated with change are understood, identified and managed for business continuity • Embedding change roles with managers' and senior executives' objectives to ensure delivery and corporate alignment • Developing a Portfolio and Programme approach to communications and stakeholder management	**Christine Salter**
5	**Asset Management** Ineffective management and use of Council assets and lack of corporate recognition	Reputational / Legal / Financial / Health & Safety / Stakeholders • Poor use of assets / VFM. • Lost opportunity for capital receipts. • Increased maintenance. • Prosecutions / fines.	B	2	High Priority	• Updated Corporate Asset Management Plan was approved by Executive Business Meeting in June 2011. Asset management working methodology developed and Asset Management Board Working Group now working to raise property profile and introduce more structured, disciplined approach to management of property. • Property Condition Surveys – being replaced by rolling programme of Fitness for Purpose reviews of all council properties providing high level assessment of the current performance and value of buildings • Highways Asset Management Plan • Schools Asset Management Plan • Council Housing quality standards • Carbon Management / Energy Efficiency - Certificates / General Awareness / Introduction of Energy Renewables Strategy. • Within the Transformational Change Programme there is a Land and Buildings Project which is now being developed to rationalise office accommodation, further promote effective asset management planning, and to initiate a review of Non Operational Property. A further review of Property management arrangements and structures is about to be launched.	C	2	Medium Priority (Red/Amber)	• Further raise property profile through the ongoing work of the Asset Management Board Working Group (Charles Coats - Ongoing) • Presentation of further more in depth Asset Management Plan (Charles Coats - February 2011 EBM) • Develop full costed business plan, Office Accommodation Business Plan and Indicative Implementation Programme (Charles Coats - November 2011 EBM) • Undertake review of Non Operational Property (Charles Coats - October 2011 EBM)	**Christine Salter**

Risk No.	Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
6	**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 & BCM Sponsor who is actively supporting the BCM Programme. • Additional work is being undertaken on updating a Business Continuity Policy (to be signed off). This has now been submitted to EBM for approval and implementation in January 2012. • 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 now available from the BC Officer on request. • The Council has employed a Business Continuity Officer (appointed October 2010). The officer now holds the Certificate of the Business Continuity Institute. • The Council has 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 was the end of the current work programme with Marsh. • The Business Continuity Officer now sits on the Our Space project team to help the council manage the risk associated with the reduction in work space which will be the result of the Our Space transformation project. • A partnership approach between the Emergency Management Unit and the Corporate Risk Steering Group is helping to raise awareness and drive forward the BCM programme.	C	1	**Medium Priority** **(Red/Amber)**	• It was agreed at CMB on the 24th May 2011 that all Service Areas would develop and implement BCM plans for the 34 most time critical activities (REDS) by December 2011. This responsibility sits with Chief Officers and Heads of Service. • Develop on line BC training package for managers to assist with BC plan creation. (Huw Owen April 2012) • Aim to have BCM as a standing agenda item on all Service Area BIM meetings (Huw Owen & Andy Pepper - December 2011) • Develop a BCM promotion programme (Huw Owen / Andy Pepper - April 2012) • Develop an awareness programme for Cardiff Council employees (Huw Owen / Andy Pepper – extended to April 2012 due to corporate restructuring.) •Promote the need for the Our Space 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 (Huw Owen May 2012) •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 support an effective mobile working solution (Huw Owen May 2012)	**Christine Salter** **&** **Martin Hamilton**
7	**Performance Management** Performance management is not fully embedded and understood in the culture of the Authority.	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 • Inability of the Council to demonstrate improvement in line with WAG Strategic themes could lead to loss of £3.14m government funding and potential loss of flexibility around hypothecated grants	B	2	**High Priority**	• The Corporate Plan 2011/14 is around the delivery of outcomes for citizens that were developed in partnership with the Vision Forum and Local Service Board partners. This approach is also linked to the requirements under the Local Government (Wales) Measure which came into force in 2010. • The performance reporting framework has been revised and is now focussed on an exception basis. Each Service is required to put forward their reports for challenge initially by the Improvement and Information Team and subsequently at CD/CO meeting. An overview of the strategic issues facing the Council is prepared as part of this process. Performance reports are considered by Executive on a quarterly basis and by Scrutiny as an agreed part of the individual Scrutiny Committee's Work Programme. • Regular meetings held between WAO and Improvement and Information Team to ensure that there is a more formal monitoring of regulatory activities across the Council as well as reviewing progress against improvement suggestions and recommendations made in their inspections and audit reports. This regular dialogue will also help in moving towards more proportionate regulatory activity under the Local Government (Wales) Measure. • The performance of individual staff is planned and monitored through PP&D's and the effectiveness of the current approach has been reviewed and a revised scheme was implemented during 2011. An Interim Performance Management Advisor (who finished in July 2011) has produced a diagnostic report and an outline of how to take Performance Management forward and is helping to deliver:- - a revised Performance Management process and product which is linked to revised PP&D Scheme - a revised staffing structure required across the Council to support the revised approach The implementation of the findings is being managed through the Transformation Change Programme project 'Performance and Information Management'. Outcome Agreement • The Corporate Plan is structured around the 7 outcomes agreed by all partners in the city and which can be mapped against WAG's strategic themes. • Action Plans to deliver the content of the Outcome Agreement have been agreed by both WAG and the Council. • Payment of the Outcome Agreement Grant will be based on an evaluation of our performance.	B	3	**Medium Priority** **(Red/Amber)**	• Discussing the needs and requirements for a performance management software application with TCS and other providers (Christine Salter/Mike Davies- 2011) • Implement the findings and a new staffing structure through the Performance and Information Management Project (Christine Salter/Mike Davies - 2011). Outcome Agreement • Revised performance management arrangements for the components of the Agreement implemented to ensure that evidence available to satisfy WAG evaluation for level of grant payment (Mike Davies – September 2011)	**Christine Salter** **(Mike Davies)**
8	**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 for staff to follow. • Proactive work of the Internal Audit teams • Professionally trained investigators to advise and investigate as appropriate • Audit Panel responsibility over governance arrangements • Wales Audit Office • Procurement team monitor spend and compliance with procedure rules • Management awareness as voluntary severance business cases are constructed and restructures considered. • Regular briefing note to the Chief Executive • Regular reports to the Audit Panel	B	3	**Medium Priority** **(Red/Amber)**	• Continued vigilance • Continue to provide the Chief Executive with regular briefing notes • Continue to produce regular reports for the Audit Panel • Increased role and awareness once the 'discipline' module goes live in DigiGov. • Undertake a review of the Anti Fraud and Anti Corruption Strategy • Liaise with Legal to implement a new Anti Bribery Policy • Issue a Money Laundering Policy • Internal Audit working with TMO to target potential control weaknesses	**Christine Salter**
9	**Legal Resource** Insufficient legal resources to provide robust legal advice across the Council through a period of transformational change and legislative changes from Welsh Government	Reputational / Legal / Financial / Environmental / Stakeholder / Service delivery • Council decisions challenged • Major incidence. • Adverse press/media reaction • Increased costs on external legal support • Lack of timely and quality legal advice	B	2	**High Priority**	• Legal team assess priorities • Legal library • Staff briefings and professional training • Access to external barristers, framework contract • Professional internal legal advice provided to a high standard • Dedicated officers in specialist areas e.g. equalities • Decision making process, including legal implications on all reports • South Wales Legal Consortium • Legal and Democratic Services repositioned in the senior management structure	C	2	**Medium Priority** **(Red/Amber)**	• Prioritisation of work • Financial pressures bid for additional legal resources to support transformation programmes • Exploring collaboration with other legal services • Reviewing working protocol with clients.	**Christine Salter** **(Melanie Clay)**
10	**Governance** Governance arrangements are not consistently embedded across the Council through a period of transformational change	Reputational / Service delivery / Financial / Legal / Stakeholders • Inappropriate / poor decision making. • Reduced accountability, compliance and assurance. • Reputation damaged. • Ombudsman cases • Direction, and/or, use of reserve powers by the Minister. • Successful legal challenge of Councils decisions	B	2	**High Priority**	• External scrutiny. • Member development sessions. • Standards and Ethics Committee. • Independent Audit Panel. • Governance Framework and Annual Governance Statement. • Constitution Officer Working Group & Constitution Committee • Informal discussions with political groups • Scheme of delegations • What Matters Strategy – Corporate Plan – Service Area Plan objectives and risks • Transformation boards established with terms of reference • Comment on the draft guidance from the Welsh Government on the Local Government Measure (Wales) up to January 2011	C	2	**Medium Priority** **(Red/Amber)**	• Provision of guidance, information and training to members as part of induction and member development programmes • Governance and decision making training and awareness for officers • Senior Management Assurance Statement to be completed twice a year. • Implement the provisions of the Local Government (Wales) 2011 in line with Welsh Government Guidance • Review of officer delegations • Incorporating governance and decision making powers within the transformation portfolio • Develop of intranet to make the Constitution more interactive	**Christine Salter** **(Melanie Clay)**

Risk No.	Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
11	**Information Governance** A lack of clarity around Information governance leaves the Council exposed to Information Commissioner's intervention and financial penalties	Reputational / Financial / Legal / Service delivery / Stakeholder Leads to the Information Commissioner issuing notices of non compliance and implementing financial penalties	A	1	**High Priority**	• Policies around Data Protection and Information Security to be reviewed and re-issued in plain language. • Records Management Team based in Improvement and Information understand that Records management is the foundation for good information governance • Review Freedom of Information, Data Protection and Environmental Information Regulation processes as part of the Performance and Information Project (Transformation Programme) including the deployment of appropriate resources to support the activities.	B	3	**Medium Priority** **(Red/Amber)**	• Records Management policy will be reviewed and implemented during 2011/12; discussions with the 'Our Space' Project regarding records management; discussions with the Enterprise Architecture Team regarding Electronic Records and Document Management systems	**Christine Salter** **(Mike Davies)**
12	**Partnerships** Future and existing partnerships are ineffective, do not deliver required outcome and over commit resources.	Statutory Partnerships • The new 'What Matters' 10 year Integrated Partnership Strategy (encompassing Community Strategy; Health, Social Care & Wellbeing Strategy; Children & Young People's Plan and Community Safety Strategic Assessment) is not embedded in individual partner business plans resulting in little progress being delivered. • Partnership delivery arrangements are not robust to effectively deliver the 'What Matters' desired outcomes or hold partners to account for performance. • Unable to fulfil statutory requirements and strategic objectives • Unable to improve the strategic leadership of joint working between the Council and the Children & Young People's partnership or effectiveness of partnership planning in line with Estyn's January 2011 Recommendations Regional Collaboration • Delay in development of collaboration arrangements with the Vale of Glamorgan may result in missed opportunities to increase efficiency and effectiveness of service delivery • Grouping with Vale may not be conducive to delivering urban solutions due to different priorities/challenges facing both areas. • Delay in identifying an appropriate Education Consortium arrangement may affect the ability of the Council to respond effectively to the Post Inspection Action Plan drawn up following the Estyn Inspection in Jan 2011, respond positively to the WAG work on the 'banding' of schools and put at risk a number of significant WAG grant funding streams which are meant to be delivered via consortium arrangements. • Ongoing implementation of Simpson report will influence delivery models required by WAG in future which could influence future service redesign / target operating models of the Council	B	1	**High Priority**	Statutory Partnerships • Wide range of stakeholder consultation and engagement events held to develop the 'What Matters' Strategy to ensure ownership of key partners. • A new Integrated Partnership Board is being established to ensure effective delivery of the Strategy in a more integrated and effective way. This will be chaired by the Council's Chief Executive. The new Integrated Partnership Board will be prioritising 'Youth Engagement' (including improvement of functional literacy and numeracy rates; supporting basic skills for employment); Early year's intervention; Vulnerable Families and Disabled Children & Young People as the work streams requiring strategic ownership by partners to improve outcomes. • LSB Scrutiny arrangements being revised to reflect new scope of the LSB activity in relation to Integrated Partnership Strategy. • Regular discussions are being held with WAG to ensure that they are content with the approach being adopted by Cardiff and the new arrangements satisfy statutory requirements. Regional Collaboration • Integrating Health & Social Care programme board provides mechanism at senior level across Cardiff & Vale to agree and align priories • South East Wales Regional Board provides elected member and CEX engagement in the SE Wales debate regarding regional priorities/delivery ,models and implications of the implementation of the Simpson review. • The Education Service are working with the Council's in the South Central Consortium to examine the business case for collaboration	C	2	**Medium Priority** **(Red/Amber)**	Statutory Partnerships • Exploring options through the LSB for increasing the provision of joined up public services e.g. sharing property, greater neighbourhood & locality working, integrated business intelligence and service planning. • New Programme arrangements being implemented to performance manage the new work streams • Business Intelligence project being progressed through the Council's Citizen Focus Programme Board. This will pilot a new framework for demonstrating the benefits of BI in relation to young people who are NEETs • New joint commissioning framework for partnership activity being developed in line with the Council's Commissioning Strategy. The new framework will operate ion an 'issues' basis and enable intelligent commissioning to be undertaken on a city and neighbourhood basis according to need. Regional Collaboration • Ongoing engagement of members and officers though WLGA and SOLACE meetings to inform future delivery models • Alignment of the IHSC Programme and the Integrated Partnership Board work streams being explored to ensure consistency of approach • Consideration of the draft business case expected by end of October 2011	**Sarah McGill**
13	**Customer / stakeholder engagement** Ineffective engagement with Citizens and Stakeholders. Lack of clarity around Customer Engagement Policy.	Reputational / Stakeholder / Community • Delivery of services do not reflect the needs of citizens or customers • Ineffective targeting of resources resulting in unsuccessful delivery of outcomes and inefficiencies • Uncoordinated consultation and engagement resulting in 'consultation fatigue' • Cost and reputational damage of dealing with complaints.	B	3	**Medium Priority** **(Red/Amber)**	• Delivery of multi-agency services at neighbourhood level enables a more targeted approach • Wide range of citizen engagement mechanisms available for services to use including Ask Cardiff survey, Capital Times, C2C, Citizens Panel etc • Suite of policies to improve customer services has been adopted by the Council.	B	3	**Medium Priority** **(Red/Amber)**	• Development of a business intelligence function in conjunction with partners to share information and provide analysis to inform decision making – now part of the Council's CF Programme arrangements • Development of 'citizen hubs' through the transformation programme provides the opportunity for piloting new ways of accessing services. • Pilot to be undertaken in relation to 'co-production' as part of the Citizen Focus Programme which involves citizens directly in the design and delivery of services • New Customer Access Strategy is currently being developed to look at how citizens engage with the Council across a range of services.	**Sarah McGill**
14	**Welfare Reform** That the Council cannot met its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform Bill 2011, Universal Tax Credit and localisation of Council Tax Benefits.	• 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.	A	2	**High Priority**	• Communities staff are working closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit. • Discretionary Housing payments will be used to top up the benefit claims of those most affected. • Timely information is being provided to claimants to allow them time to seek alternative accommodation where possible. • Officers are liaising with WAG to ensure that the implications of Council Tax Localisation are understood.	B	2	**High Priority**	• Workforce plans, once the exact details of the changes become available. • Following a successfully bid; the development of an all Wales website to provide information and support for people affected by the changes to housing benefit.	**Sarah McGill**
15	**Children's** Potential for mismatch between children's needs and capacity to meet them if current trends continue, for example in children needing to be looked after and/or receive other services to support families and carers to care for them.	Reputational / Social / Legal / Financial / Stakeholders / Service delivery • Timeliness and quality of assessments and interventions to safeguard and promote children's welfare is compromised • Achievement of good outcomes for children is compromised • Shortage of appropriate services including placements. • Inability to meet key objective and targets. • Budget pressures	B	1	**High Priority**	• Inter-agency matching needs and resources panel, close monitoring of decision making. • Care proceedings panel with legal services • Interagency out of area placement panel • Improving core assessments of need. • Improving quality and range of family support interventions in collaboration with partners • Action to Increase use of special guardianship where appropriate. • Use of family group conferences. • Timely reviews of looked after children and children included on CPR • Development of inter-agency disabled children and autism strategies • Collaborative work with other services/agencies/authorities to increase cost effective service availability • 10 new posts created at principal/consultant social worker level from re-aligned budget	B	2	**High Priority**	• Maintain existing controls unless evidenced to be ineffective (Ongoing) • Continuation of service realignment to optimise deployment of staff and distribution of workload. (30 September 2011) • Continued collaboration with other services/agencies/authorities to improve safeguards for children and increase availability of appropriate range of cost effective services to meet needs. (Ongoing with periodic review of specific initiatives) • Review of children in need cases, in addition to reviews identified above. (Review at 30 April and September 2011) • Implementation of disabled children and autism strategies (2011/12) • Audit of supervision arrangements (September 2011)	**Neelam Bhardwaja** **(Maria Michael)**

Risk No.	Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
16	**Education - Schools** Imbalance between supply and demand of school places leads to ineffective schools organisation planning.	Reputational / Legal / Financial / Social / Stakeholder / Health & safety. • Budget implications. • Further degeneration of school buildings. • Reducing educational standards. • Intervention from WG	B	1	High Priority	**Proposals approved-** • Cefn Onn Primary closure • Llanedeyrn High closure and relocation of St Teilos to site • Federation of Glyn Derw and Michaelston with subsequent reduction in pupil capacity • Closure of Whitchurch English medium primary schools and creation of one primary school with reduced numbers (subject to planning and judicial review) • Relocation of Ysgol Treganna and Tan Yr Eos to new site (subject to planning) **Awaiting approval-** • Amalgamation of remaining nursery schools with local primary schools being consulted on Autumn 2011 • Establishment of nursery units at 2 WM and Millbank primary schools being consulted on Autumn 2011 • Officers reconsidering proposals for secondary provision in the East of Cardiff with amalgamation of Llanrumney and Rumney high pupils on to Rumney high school site. • Re-submission of 21st Century Schools programme to WG due in December 2011, following announcement regarding reduced levels of funding available from WG and increased amount of match funding required from the Council • Ongoing consultation with the public and relevant stakeholders. • Cross Party Schools Sub Committee set up – work ongoing. • Messages from Estyn inspection helping to focus on key areas. • PQA Programme for schools. Separate Risk Register being monitored and updated.	B	2	High Priority	All risks being monitored and reported to Schools Programme Panel	**Neelam Bhardwaja** **(Chris Jones)**
17	**Adults** Changing demographics and increasing expectations of vulnerable people put more pressure on services, increasing risk of service failure. This will impact on the health and wellbeing of the most vulnerable.	Reputational / Legal /Financial / Social / Stakeholder / Service delivery -Increased fatalities -Increased demand on future services -Risk of external intervention -Increase in delayed transfers -Increase in number of adults waiting for an assessment -Increase in POVA referrals	B	1	High Priority	• Management reviewing all aspects of the service in liaison with finance, in relation to effective budgetary control. • Proactive monitoring of performance and key indicators • Service Reviews • POVA Statistics • Current case management systems • Partnership/Governance arrangements with Local Health Boards • Development of the Integrated Health & Social care Partnership Programme including regular reporting of issues and risks to those Boards and joint meetings. •There are Physical Disability and Older People Commissioning Strategies developed and presented to Scrutiny Committee on 26th September 2011 • Introduction of Operational Manager "Maintaining & Regaining Independence" from August 2011 (in response to "*Better Support at Lower Cost*" SSIA report April 2011) The OM role has emphasis on maximising service user independence to mitigate risks of increased service demand, and improving throughput to reduce issues with transfers	B	2	High Priority	• A number of relevant policies and Commissioning strategies are in place or are being developed. In addition there are a number of projects that are addressing the pressures within Service delivery to citizens. Under Transformational Change Portfolio, Adult Services has an "Assessment & Care Management" (ACM) Project that is proposing to change the way Adult Services delivers its services. The Project is focussing on delivering sustainable services for citizens at the right quality and the right cost. The vision for Adult Services is: '*The purpose of our intervention in people's lives is to enable their independent living wherever possible.*' ACM will focus on the following, to achieve its vision and in the process manage and mitigate against this risk: • Delivery of safe, high quality local services to people • Revised social work delivery arrangements with citizens at the centre of all we do • Effective and simple processes that enable staff to deliver • Provision of appropriate short-term care and long-term intervention where appropriate. It will take a whole system approach to change – we are currently in Phase 1 of the Project (April – March 2012) • It is recognised there are still major challenges which need to be addressed including: • increasing demand of complex care situations for ACM Service • increasing expectations of citizens • Pressure of the economic climate and reduction in public sector resources.	**Neelam Bhardwaja** **(Mike Murphy)**
18	**Climate Change** Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development.	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.	B	1	High Priority	• Carbon Lite Cardiff Vision Forum project - Carbon Lite Cardiff Action Plan • Changing Climate, Changing Places pilot project • Cardiff Council Emergency Management Unit is working with Utility and Telecom companies to ensure planning is carried out with consideration of flood risk. : new • Land and Building Transformation Programme: • Flood Consequence Assessment to inform LDP process • Cardiff Area Community Risk Register is developed by the Cardiff Area Risk Group • Cardiff Area flood group meet regularly to exchange information, this group consists of EAW, Met Office, Emergency Services and Council Departments with a response to flooding. • Compliance with WAG TAN 15 (Development & Flood Risk - 2004) is already part of the planning process. • Cardiff Council Emergency Management Unit are carrying out a large and long term communication strategy in Cardiff in conjunction with partner agencies, mainly the Environment Agency, 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.• • Emergency Management Unit maintain up to date flood warning information from the Environment Agency Wales on the Council C Maps and Map Info system. climate change related issues are addressed in corporate and service area business plans • Record instances and impact of climate change and severe weather events on Council property/ • Climate change related issues to inform corporate financial systems and corporate & community planning • Continue to monitor the implications of climate change issues in the commercial insurance market. • 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 Community Strategy partners as and when information becomes available	B	1	High Priority	• A Local Flood Risk Management Strategy will be devised based on WAG's strategy which is now due to be published Nov 2011 integrating; the PFRA, a coastal protection strategy included in the Flood Risk Management Strategy, stakeholder communications and set a clear Corporate approach to flood management and risk will be defined through the strategy. • To further progress Surface Water modelling further in line with national guidance and deadlines to inform the Cardiff Area Flood Plan. • To work with utility and Telecom companies to ensure planning is carried in a comprehensive manner. • To consider the long term planning implications for coastal protection owned/managed by the Council. • To prepare briefing papers and reports as necessary for the Strategy's adoption • Identify where flood risk information is in place for key social and civil infrastructure and identify where there are gaps (i.e. contaminated land) • To consider flood risks recognised in the Community Risk Register in the Community Planning/Integrated Partnership process. • To prepare a report for CMB on adaptation issues for planning under preparation with recommendations. • To undertake a large scale climate change communication exercise including a specific Member briefing. • To prepare a report for Senior Leadership Team on climate change adaptation which will include recommendations and improvement actions on heat planning.	**Jon House** **(Tara King)** **(Neil Hanratty)**

Risk No.	Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					High Priority	**Updated controls** • Draft Preliminary Flood Risk Assessment submitted to Scrutiny Committee on 17th May, assessment sent to the Environment Agency on 22 June with a report presented to the Council Executive on 14th July. • Flood plan is currently being updated and amended where necessary with the aim to exercise it before the end of the year, • Considered a dedicated fund to deal with the increased expected need for repairs/modifications to Council buildings and other infrastructure agreed to: maintain position as the current effects of climate change are not so severe, and so sustained, as to warrant at the present time of austerity a dedicated fund. • 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 • Renewables – October 2011 EBM considered Wind and Solar PV Opportunities in the Council Estate and approved the recommendations.			High Priority		
19	**Waste Management** Failure to achieve targets for Landfill allowance, specifically for Biodegradable Municipal Waste and WAG new statutory Recycling Targets. Ineffective delivery of recycling targets and residual waste treatment.	Reputational / Financial / Stakeholder / Service delivery / Legal / Environmental / Community • Significant financial penalties at up to £400/tonne. • Procure landfill elsewhere with additional costs. Reputation damage Risk to grant funding currently £7.75m 2011/12	B	1	High Priority	• Wheeled bin roll out programme; 96,000 households complete. • All tri-bag areas now have a kerbside caddy for food waste. • Interim contract in place for disposal of biodegradable green/food waste •Initial recycling performance indications are very positive • Commercial recycling continues to increase whilst achieve the income targets. • Capital programme for waste infrastructure, projects completed: MRF Extension, Waste Transfer Station, New Western HWRC, New depots and offices, Waungron redevelopment, Landfill contingency. New clearer signage has been installed in the HWRC's • Initial Organic Business Case was approved. Initial procurement funding has been secured from WAG. • Recycling litter bins are now present in the city centre. •Funding for the post treatment of residual waste has been secured through the current Biffa Contract. •A regional tender for recycling textiles from HWRC has been completed and now in operation at all HWRC's providing a small income to the Authority • Landfill void space management • Interim Disposal Contract signed with Biffa for 2-10 years; commencing April 2009 Project Gwyrdd –. Governance in place; Joint Committee established with Cardiff as lead procurement authority. Joint Scrutiny developing role. **Updated Controls** • Waste Management Strategy 2011-2016 was approved on 13th January • The implementation plan was approved by the EBM in July 2011 • The city wide communications plan has been implemented, along with the city wide delivery of the kerbside caddies. • The new household recycling & waste collection service commenced on 12th September 2011. • Pre and post sorting recycling at the HWRCs has been established for 2011/12 producing higher recycling. • Prosiect Gwyrdd competitive dialogue proceeding to timetable and 3 potential solutions are being evaluated	B	2	High Priority	• The recommendations from the Scrutiny Committee were presented within The Municipal Organic Waste Treatment – Procurement report to The Executive Business Meeting on 6 October 2011 with a number of recommendations that will be taken forward to commence a procurement in December 2011. • Commercial waste operations as part of the transformational service redesign change programme will refine the marketing package for recycling in the commercial sector to increase recycling form commercial waste collected by Waste Collection Authority that is included in the total MSW. • HWRC's – A new van policy controlling the use of illegal use of the HWRC is drafted and to begin in November 2011, this will contribute to waste minimisation and deter traders • Aggregate recycling is now in place and work has been undertaken with the Environment Agency to include this tonnage in the recycling performance. • Continual review of collection rounds, customer participation to continue to improve efficiency and recycling capture rates • Project Gwyrdd has announced detailed solution bidder, call for final tenders will be announced in December 2011.	Jon House (Tara King)
20	**Cardiff Bus** Implications for the Council in respect of the damages claims that have been filed in the Competition Appeal Tribunal against Cardiff City Transport Services Ltd (Cardiff Bus).	Reputational / Financial • Reputational impact of damages claim as Cardiff Bus is a 100% subsidiary of the Council • Potential Financial impact in respect of the consolidated accounts of the authority which would include Cardiff Bus	B	3	Medium Priority (Red/Amber)	• Council has engaged with Cardiff Bus and the WAO on this matter • Counsel has been instructed to give advice on this matter	B	3	Medium Priority (Red/Amber)	• Actions identified by Counsel to be implemented. • Council's interests to be represented by officers and independent Counsel	Jon House
21	**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. Insufficient resources. • Staff resource and monies required to undertake technical studies and other specialist advice considered necessary.	B	1	High Priority	• Monitor plan preparation against timescales set out in the Delivery Agreement and, where necessary, seek approval to amend the timetable • 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 • 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	C	1	Medium Priority (Red/Amber)	• Continue existing measures, remain vigilant and report issues to Executive Member at weekly briefing meetings. • Prepare additional evidence to support plan where need identified to ensure a robust evidence base and justification for proposals contained in the plan. • Secure independent expert advice to ensure a sound plan where considered necessary. • Foster effective partnership working with service areas across the Council and statutory bodies and the Welsh Government. • Initiate wider dialogue across the city-region to address issues raised in the consultation process and meet tests of soundness relating to cross-border and consistency issues. • Continue budget and resource monitoring and where additional resources considered necessary, address as part of the Council's financial planning processes.	Jon House (Neil Hanratty)

Risk No.	Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
22	**Job evaluation** Budgetary and employee relations issues arising out of the potential outcomes of job evaluation	Reputational / Legal / Financial / Stakeholder. • Not able to meet deadlines. • Not able to be in a position to afford the outcome. • Demotivated staff and potential reduced resources due to staff leaving. • Not seen as a good employer. • Implications of full mop up exercise not proceeding at this stage	B	1	**High Priority**	• Job Evaluation concluded • Access to legal advice, as required to support ongoing ET Equal Pay claim management • Regular staff updates on progress e.g. Joint Statement No 6 circulated to employees and briefing note to members in June and July . • Maintenance of Single Negotiating Group (regional and local TU reps and Senior Mgt) for Pay/Grading, Terms & Conditions Agenda • Continue to negotiate on other terms and conditions to offset costs of job evaluation and log areas of joint agreement with the Trade Unions, where secured. • £5m provision in 2010/11 budget for costs of JE. • Use of pay modeller software to evaluate (and cost) different pay & grading options • Agreement of an Employee Support Scheme to support those who experience a loss in pay	B	1	**High Priority**	• Establishment in July of Single Status Implementation Group (comprising HR, Finance, ICT) , responsible for the operational implementation of the proposed new arrangements • The Council's 2012/13 Budget Strategy approved by the Executive in July 2011 included a further indicative £2m which will increase the base budget funding for new pay arrangements to £7m from 2012/13. • Single Status Pay, Grading and Terms & Conditions proposals went to the Executive on 15 September EBM including external legal advice. Recommendations agreed with implementation timetable • Draft Collective Agreement prepared • Documentation and EIA data provided to Trade Unions for their own legal sign off • On going moderation with external support from Northgate Arinso • Single Status Help Desk established and operational • Communication ongoing e.g. Employee Guide developed • Additional support arrangements put in place for Head Teachers, Chairs and SGBs regarding adopting and implementing Single Status principles • HRPS Resources redirected to undertake data cleansing and calculations	**Philip Lenz**
23	**Workforce Planning** Importance of succession planning is not recognised and this 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	B	3	**Medium Priority** **(Red/Amber)**	• Flexible retirement policy agreed and implemented • A Workforce Planning Project (PL04) forms one of the projects within the Transformation People and Leadership Programme: • Arrival of external expertise in mid-Feb 2011 to work with key stakeholders in the Authority 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 in Cardiff • A number of required enablers have been outlined • Workforce planning Stage 2 Development and Implementation project brief and project plans have been developed to deliver the identified enablers • Specific work packages have been identified outlining the key enablers for effective workforce planning and developments of some are underway.	B	3	**Medium Priority** **(Red/Amber)**	• A number of enablers (Role Profiles, Post Templates, individual profiles, Behavioural and Technical Competency Frameworks) have been outlined as part of the Workforce Planning Project. These will ensure consistency in describing our people and posts. When fully implemented they will be used to map people to posts and identify the development needs of staff in line with the forecasted requirements of the Council, through its workforce planning. • Workforce planning Stage 2 Development and Implementation project brief and project plans have been developed • Specific work packages have been identified outlining the key enablers (Role Profiles, Post Templates, individual profiles, Behavioural and Technical Competency Frameworks) for effective workforce planning and developments of some are underway. • The agreed workforce planning approach is to be used across the Transformation projects and as part of business as usual	**Philip Lenz**