
**CORPORATE RISK REGISTER MID YEAR POSITION 2013/14 –
INFORMATION REPORT**

Reason for the Report

1. To present the Council's Corporate Risk Register, which the Committee requested to receive for information, as part of its 2013/14 work programme.
2. Attached to this report at **Appendix A**, Members will find a copy of the Risk Register, which was presented to the Audit Committee at its meeting on 2 December 2013 and to the Cabinet at its meeting on 16 December 2013.

Background

3. The Corporate Risk Register sets out the strategic risks which the Council faces, to enable the Cabinet and senior managers to make informed decisions and prioritise actions with these risks in mind. Risks are assessed according to the Council's Risk Methodology to give a traffic light risk rating, for both their inherent level of risk, and their residual risk level once mitigating actions are taken into account. The Risk Register is currently refreshed quarterly and presented to the Senior Management Team for collective agreement, and presented to the Audit Committee and Cabinet biannually.

Way Forward

4. This report is for information, but Members may wish to consider if they would like to scrutinise any of the issues covered in the report in more detail at a future meeting.

Legal Implications

5. 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 Cabinet/Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf of 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

6. 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 Cabinet/Council will set out any financial implications arising from those recommendations.

RECOMMENDATIONS

The Committee is recommended to:

- i. Consider the attached report; and
- ii. Consider whether it wishes to build any of the issues raised in the Risk Register into its work programme.

MARIE ROSENTHAL

County Clerk and Monitoring Officer
30 December 2013

CABINET MEETING: 16 DECEMBER 2013

CORPORATE RISK REGISTER – MID YEAR POSITION 2013/14

REPORT OF CORPORATE DIRECTOR RESOURCES

AGENDA ITEM: 11

PORTFOLIO: RISK CHAMPION

Reason for this Report

1. To bring the Corporate Risk Register (CRR) to the attention of the Cabinet, in order to consider the strategic risks facing the Council.

Background

2. To support the 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 and to review them on a regular basis.
3. The CRR 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 Cabinet last sighted the CRR at their June 2013 meeting. The register continues to be updated quarterly and presented to the Senior Management Team (SMT) to ensure their collective ownership of the strategic risks facing the Council. On this occasion the register has been updated to reflect the mid year position 2013/14.

Issues

5. The CRR is currently made up of twenty six risks all of which are assigned to members of the Corporate Management Team to ensure the most senior level of ownership and accountability by officers.
6. When the Cabinet last sighted the register twenty three risks were represented. Since this period one risk has closed, which related to 'Job Evaluation'. Members will be aware of changes that have taken place to employees' pay, terms and conditions under Single Status to ensure that

the Council has a fair and non-discriminatory pay and grading system in place. The Collective Agreement secured via the Trade Union Ballots early in 2012 enabled the Council to implement Single Status automatically for its green book staff i.e. approximately 12,000 former manual and APT&C (Administrative, Professional, Technical and Clerical – white collar staff from 1 April 2012. Pay protection was in place for a period of 12 months. On 1 April 2013 staff will have received the unprotected /Job Evaluation rate for their jobs. These arrangements have enabled the identified risk areas to be addressed, which has resulted in a reduced residual risk score.

7. Four new risks have been added to the register, three of which are very much linked to the areas which feature in the Council's key priorities and commitment to support education, vulnerable adults and children. In order to meet this Council's priorities it is vital that the risks associated with these services are addressed and brought to the attention of Members. The four new risks relate to Education – Schools Delegated Budgets, Education – Attainment, Health and Social Care (Safeguarding) and Food Safety Management. Details of these risks and the measures in place to mitigate these risks are highlighted in the appendices of this report.
8. There are some areas, such as Adults, 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 and a robust monitoring process.
9. The mid year review of the register reflects the views of the new senior management team. The Audit and Risk Manager has met with the new Directors on an individual basis and has been encouraged by their understanding of the significance of risk management, especially at a corporate level. Following introductory meetings the Audit and Risk Manager presented the CRR to Senior Management Team on 12 November, which proved to be a positive session, challenging the content of the CRR. Risks have been reassigned accordingly to the new management team. Their input to the review has resulted in many revisions to the current controls and proposed improvement actions. The updates have strengthened the mitigating actions against the risks currently identified.
10. Further changes which have taken place to the register include an increase in risk rating to two of the risks since the Cabinet last sighted the register. The Budget Prioritisation risk and the Waste Management risk. The increase in the residual risk score to the Budget Prioritisation risk takes it to the highest possible score of High Priority (A1). This will come as no surprise to Members given the financial challenges facing the Council in the medium term.
11. The Waste Management risk increased to a high priority risk from a medium priority risk due to rising levels of waste. Recycling rates are

currently not expected to increase with projections which may result in future recycling targets not being met. The risk rating also reflects the impact that the weather could have on green waste. The Directorate is continuing to review on a monthly and quarterly basis the amount of waste received.

12. It is important to note that risks are liable to change as circumstances alter and the CRR presents the position at a point in time; the appendices to this report reflect the mid year position 2013/14. The register will continue to be refreshed quarterly and the identified risk owners have a responsibility to ensure the register remains focused and relevant.
13. In order to recognise the fundamental importance of the CRR, in the governance of the Council, the Cabinet will continue to consider reports on a biannual basis. Councillor Thomas has met with the Audit and Risk Manager and also attended the Risk Management Steering Group. Through discussions, the risk register has been developed to incorporate two categories of risk; event driven and ongoing risks. This has enabled attention to be given to the event driven risks at the beginning of the register, albeit the ongoing risks still remain as important and will be reviewed and managed following the same process.
14. It is appreciated that there is considerable detail in the full register and therefore two appendices are attached; Appendix B is a summarised version of the CRR, while the complete register is included at Appendix A. The risk scores in some instances indicate that the risk priority may have remained constant, but the efforts of the mitigating actions have had some affect i.e. A2 to B2 which remains a high priority risk e.g. Welfare Reform.

Reasons for Recommendations

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

Legal Implications

16. There are no direct legal implications arising from this report. However, 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 the Council's resource planning processes and forms an important part of the governance arrangements for the Council.

RECOMMENDATIONS

The Cabinet is recommended to note the content of the Corporate Risk Register.

CHRISTINE SALTER

Corporate Director
10 December 2013

The following Appendices are attached:

Appendix A – Corporate Risk Register

Appendix B – Summarised Corporate Risk Register

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
EVENT DRIVEN RISKS										
<p>Social Services and Wellbeing (Wales) Bill</p> <p>The implementation of the Social Services and Wellbeing (Wales) Bill will place new duties and responsibilities upon already pressured services.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership/ Community</p> <ul style="list-style-type: none"> Consequences arising from Bill are well documented and the subject of updates and progress reports from the WLGA and elsewhere. The Director of H&SC, the statutory Director of Social Services (Director of Children's Services) and the H&SC and Children's Services Cabinet members continue to contribute to the national debate through various forums at each stage of the Bill's progress. WG has presented the Bill as a nil cost policy intervention that is designed to transform adult and children's social care to include:- Adults safeguarding to be put on a statutory footing comparable to children. All safeguarding governance to be based on a new National Safeguarding Board and regional Safeguarding Boards based on Health Board footprints Enhanced equity of eligibility and access to services across Wales to end postcode provision. Web based citizen portal to enhance direct self service access. Individuals to have the right to an assessment of need. New holistic concept of services for 'people' (not children and adults separately). Refocus of services on early intervention To extend the right of access to carers an assessment of their need Increase take up of direct payments across an extended range of services A duty to understand the needs of the local population To promote new models of service delivery with a particular emphasis on social enterprises - councils expected to initiate and facilitate. Collaborative working with Health and other partners Enhanced focus on Directors as leaders and innovators A strong professional workforce A single national specification for a social services client database capable of linking to community health New National Adoption Service supported by regionalised delivery functions Stronger collaboration Stronger emphasis on social work as a profession Simpler systems and reduced bureaucracy All of these drivers will <ul style="list-style-type: none"> stimulate demand and expectations or require capacity to project manage change rely crucially on partnership buy-in 	B	1	High Priority	<ul style="list-style-type: none"> The proposed Bill will provide the legislation required to take forward the change programme outlined in the Welsh Government's white paper, 'Sustainable Social Services for Wales: A Framework for Action'. Health & Services Care Services have contributed to the Consultation. The Health and Social Care and Children's Services Directorates have made progress on responding to key areas of the Bill as follows:- <ul style="list-style-type: none"> Successful implementation of new service models such as reablement, which maximises people's independence and reduces the level of need for on-going care. The establishment of a single council safeguarding function combining adult and child protection and education safeguarding. Safeguarding OM appointment imminent. New Directors in H&SC and Children's Services recruiting two ADs to lead or enable strategic commissioning of integrated services; develop new models of delivery; underpin and provide capacity for deepening partnerships and energise collaboration. Merger of Cardiff and Vale LSCBs completed. Regional working group established to deliver regional adoption service. Establishment of agreed Integrated Health and Social Care workstreams within strategic Regional Collaboration Fund governance structure with Vale of Glamorgan and C&VHB. Submitted bid for regional development fund £190k to resource implementation of bill. Proposals to introduce a Social Impact Bond to enable reinvestment in prevention well advanced and pioneer in Wales. The Cardiff Social Care Development Workforce Partnership provides the framework for steering key work across the sector but is in need of significant reenergising. (There is also a workforce development fund horizon of April 2015 when very significant grant is discontinued across Wales; this presents an enhanced risk). 	B	1	High Priority	<ul style="list-style-type: none"> The ACRF Report for 12/13 that reports on the effectiveness of social care has included the following action for 2013/14 - "To continue to review the risks/opportunities/consequences and proposed improvements resulting from the implementation of the Bill". The H&SC Business Plan for 2013/14 includes the proposed timescales for the change programme set by the Welsh Government. Welsh Government has indicated there will be a further process of consultation in early 2014/15, to which Children's Services and H&SC Services will contribute (before formalising an improvement action plan, to help to mitigate risks and to explore opportunities). Both directorates currently developing specific responses to improvement actions identified as a consequence of the Chief Inspector of CSSIW's Annual Letter - these actions will enable groundwork in readiness for key aspects of the bill particularly in relation to integration, safeguarding and carer assessment Annual Self Assessment to deliver the Annual Report of the Director of Social Services provides a key opportunity to create the conditions for success based on close scrutiny of strengths and weaknesses. Joint Cardiff and VoG bid for a grant allocation of £190k to support implementation of the Bill as it progresses. This will fund some senior posts to help both authorities pave the way for changes in service and deliver new models. Directors of H&SC and Children's Services to prepare Cardiff strategic priorities bid to ensure that we maximise the return from the regional framework and address areas where there is significant underdevelopment or which hold potential for significant strategic gain in relation to the bill. Strong engagement with Welsh Government task and finish group on integrated assessment due to be implemented in February 2014. Strategic review of Social Care Development Workforce Partnership initiated by Director of Social Services to refocus on Bill. Strong engagement of Directors through ADSS Cymru/SSIA workstreams to ensure effective responses to Bill as it progresses and significant work already underway in relation to safeguarding, social enterprises, single data system, citizen portal, assessment and adoption. For further information and update please see link : http://wales.gov.uk/consultations/healthsocialcare/bill/?lang=en&status=closed 	Andrew Kerr (Tony Young & Siân Walker)
<p>Hostile Vehicle Mitigation in Cardiff</p> <p>Vehicle Borne Improvised Explosive Device (VBIED) detonating in an area identified as a high risk crowded place, as a result of the inappropriate boundary treatments and access control processes protecting and managing it.</p>	<p>Service Delivery / Reputation / Legal / Financial / Health & Safety / Financial / Partnership / Community & Environment / Stakeholders</p> <p>Potential for:-</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> All existing identified high risk; crowded places have been formally assessed. Most crowded places have an extremely limited an 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	<ul style="list-style-type: none"> WECTU CTSA's, the Emergency Services & Cardiff Council to continue to promote and provide Project Argus and EVAC/Griffin training across the city. CONTEST Protect/Prepare Task & Finish Group to continue to monitor, review and update City Gateways Public Realm Enhancement Scheme to ensure that the proposed PAS 68/69 mitigation for the 30 remaining gateways is appropriate. Additional funding must be secured to procure and install the PAS 68/69 mitigation at the remaining 30 gateways. Review existing access control processes for crowded places as they are incorporated into the City Gateways Public Realm Enhancement Scheme; and develop more robust processes. 	Andrew Kerr (Chris Hespe)

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p>Education – Consortium</p> <p>The Central South Consortium does not deliver effective services that enable Cardiff schools to improve.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> Budget implications. Reducing educational standards. Intervention from WG 	B	1	High Priority	<p>The new Director of Education and Lifelong Learning continues to be part of the officer governance arrangements, the Cabinet Member for Education is part of the Joint Committee governance arrangement for the JES and with the assistance of external Education consultants there is a revised model being considered as part of ongoing strategy discussions following the publication of the Hill Review and WG proposals. 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.</p>	B	2	High Priority	<ul style="list-style-type: none"> Officers and the Cabinet Member are now part of the Governance arrangements for the Consortium. Officers will continue to monitor risks and report to corporate management and the Cabinet. Officers will provide an input into the external review of the Central South Consortium arrangements during the Autumn 2013 Term. Establish clear commissioning relationship and appropriate governance arrangements 	<p>Andrew Kerr</p> <p>(Nick Batchelar)</p>
<p>Education – Schools - SOP</p> <p>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.</p>	<p>Reputational / Legal / Financial / Social / Stakeholder / Health & safety.</p> <ul style="list-style-type: none"> 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 withhold funding if not satisfied with Business Cases. 	B	1	High Priority	<p>Proposals approved -</p> <ul style="list-style-type: none"> Llanrumney High School closed at the end of August and pupils have transferred to Eastern High (formerly known as Rumney High School). Report to go to October Cabinet with regards to options for sites for the new Eastern High school proposed to be built for September 2016. Rumney High will officially close in August 14, and the new school Eastern High will remain on the site until the new school building is ready. Key risks are the selection of a preferred site, consultation with the community and challenging target completion date of September 2016. Llanrumney buildings proposed to be demolished and discussion ongoing with regards to current facilities there. Discussions ongoing with WG around ability to bring forward 21st century funding. Key priorities and re profiling of programme underway. Objections received to statutory notice to expand provision at Baden Powell and Adamsdown primary schools. Objections and Council's response have been forwarded to the Welsh Ministers for consideration. Consultation in the autumn term includes site for Eastern High, new primary school for Pontprennau. Proposal to consult on the expansion of Ysgol Pwll Coch to 3 FE referred back to Cabinet who have authorised officers to bring a report to a future Cabinet meeting on new proposals to provide additional Welsh-medium and English-medium primary school places in and around the Butetown, Canton, Grangetown and Riverside areas. Approval in principle of Band A bid subject to submission of business cases. Issues and plans raised with PD&D and soon as they are known. SOP team progressing additional capacity in programme team and aligning programme with corporate processes.. Capital bid submitted to meet suitability and sufficiency issues. Review of SEN provision being undertaken 	B	2	High Priority	<ul style="list-style-type: none"> All risks being monitored and reported to Schools Programme Panel Capital funding advance approved in principle by WG to address school premises issues for September 2013 Turn Key solution i.e. one contract, single point of management and responsibility 	<p>Andrew Kerr</p> <p>(Nick Batchelar)</p>
<p>Welfare Reform</p> <p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform 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.</p>	<ul style="list-style-type: none"> 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. Failure to issue bills or issue bills without any reductions in April 2014 due to delay in developing second year of the Council Tax Reduction Scheme Emergency help not available to those in need if Discretionary Assistance Fund (replacement for Social fund does not operate effectively. 	A	2	High Priority	<ul style="list-style-type: none"> Communities staff are working closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit. To date this private landlords have not withdrawn from the benefits market 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 was adopted for 2013/14 and the new scheme is working well. The Welsh Government have issued regulations for 2014/15 and the reduction will be based on 100% of liability so there will be no across the board cut to benefit. Consultation will take place shortly on the new scheme as this will need to be adopted by 31st January. Officers continue to work closely with the Welsh Government over this issue. 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. Arrears have increased and are currently £201k above the same period last year. The projected increase for the year is £402k which is significantly less than previously expected. The benefit cap is now fully in place. This affected 210 claimants in Cardiff of which 42 are council tenants. The impact on rent arrears of this change is being monitored. 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 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 transition plan to Universal Credit has still not been provided and there is no date for the rollout in Cardiff, making planning for staff reductions impossible. However more is known about the scheme and its impact on citizens. Detailed action plans to mitigate the impact are being 	B	2	High Priority	<ul style="list-style-type: none"> Workforce plans will be developed once the exact details of the Universal Credit changes become available, at present there is still no migration plan. Officers are working with the DWP on the Local Services Support Framework which may result in an ongoing role for local authorities under Universal Credit, unfortunately final version of the LSSF and any associated funding has been delayed until Autumn 2014. Roll out of the digital inclusion and banking projects will take place shortly in preparation for Universal Credit. A tenant profiling project will start shortly to identify tenants needs ahead of Universal Credit. Work is ongoing to cost the potential risks of Universal Credit. Size restriction for social tenants 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, regular meetings are held with social housing providers to monitor and improve processes. The DHP fund is being monitored carefully and currently spend does not appear to be a problem however there is no information about funding for 2014/15 and this is a potential future risk. 	<p>Andrew Kerr</p> <p>(Sarah McGill)</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					developed, this includes a digital inclusion, banking and tenant profiling projects. • The Advice Hub in Marland House is working well, providing comprehensive advice services for those affected by Welfare Reform.					
ICT Platforms Unsuitable/Outdated That the ICT platforms – desktop, software, network, servers, and telephones – will not be able to support the technologies required by the Business Change Programmes and deliver effective service to the Council, or will not provide a reliable service due to age and condition.	Reputational / Financial / Stakeholder / Service Delivery • Service delivery impacts from unreliable/unavailable ICT systems • Cardiff seen as unable to deliver on aspirations • Poor morale from frustrations with inability to deliver • Potential for income losses from revenue collection impacts • Unable to meet delivery deadlines on both business as usual and projects aimed at producing savings by technology use	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 in 2012-13 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. MTFP bid submitted for 2014/15 to upgrade SAP environments. • Whilst mitigation actions so far reduce the risk, the risk of critical service downtime is still high.	B	2	High Priority	• Full renewal programme for all desktop, software, network, servers, and telephones, appropriate to Cardiff's ambitions and resources. • Further revenue and capital investment in 2013-15.	Christine Salter (Phil Bear)
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 £400/tonne. • Procure landfill elsewhere with additional costs. • Reputation damage • Increased costs of landfill and alternative treatment markets • Risk to grant funding currently £7.25m 2012/13. No MTFP for future grant funds confirmed by WG	B	1	High Priority	Policies / Strategy • Previous updates contain the policy position improvements between 2008-2012. Waste Management Strategy 2011-2016 was approved on 13 th Jan 2011 and remains current however is due for review. Several progress reports have been made to Cabinet and Environmental Scrutiny in that period. 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; commencing April 2009. • Aggregate recycling is now in place. • Recycling litter are in place in the city centre. • New initiatives such a charging for bulky waste, commercial recycling centre, sweepings, mattress and carpet recycling schemes are all underway. Prosiect Gwyrdd All five local authorities, which makes up the project partnership, have agreed to the Joint Committee's recommendation that Viridor should be appointed preferred bidder for a 25 year residual waste contract. Organic procurement IAA drafted and reports have been completed to both Cardiff and the Vale of Glamorgan Cabinets who took a decision in October to continue with the current procurement process and governance arrangements, delegate to officers all aspects of the procurement up to preferred bidder stage, the decision to appoint will be a full Council decision and approved that the Council enters in to a Inter Authority Agreement with the Vale of Glamorgan Council. Household & Commercial Waste Collections Household Waste collections were changed further towards the WG recycling blueprint in 2011 by changing to: fortnightly black (with accompanying hygiene services and weekly food and dry recycling and fortnightly green. National government discussions on comingled recycling remains an issue.	B	2	High Priority	Policy / Strategy Green paper of future waste strategy options is out for consultation until October. This will form part of the next waste strategy review. Improved monthly performance tracking of recycling has been established to help predict the end of year position. Working with Welsh Government to undertake 25 year service modelling. Flats Strategy to improve waste and recycling collections from flats is designed to enable greater recycling and food waste form hard to capture areas. Trails are commencing to set new principles for retrofit and new builds. Contracts / Projects Progress the Organic procurement is to timescale to SCD of 01/04/16. Two bidders are selected to complete final dialogue stage, final tenders are expected to be issued spring 2014. Interim contracts remain Valid until July 2014. Project Gwyrdd - Continuation of finalisation of documentation for Financial Close and fine tuning of issues from appointment of Preferred Bidder. Financial close target of Autumn 2013. • New HWRC delivery model has been developed for implementation later this year, placing the focus on pre sort high quality recycling and removing the reliance on post sorting of waste • 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 form the current 52%.	Andrew Kerr (Jane Forshaw)
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	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	C	1	Medium Priority (Red/Amber)	• Foster effective partnership working with service areas across the Council, and statutory bodies and other stakeholders to ensure a broad range of participation and consultation in the preparation of responses to comments made on the Deposit Plan during the consultation in October/November and the preparation of Supplementary Planning Guidance to support the LDP at examination. • Additional funding over the two financial years 2014/15 and 2015/16 will be needed to meet statutory requirements and support the preparation and examination of the LDP and	Andrew Kerr (Andrew Gregory)

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
	<p>would help deliver relating to economic, social and environmental objectives.</p> <ul style="list-style-type: none"> Possible breakdown of key strategic partnerships and with stakeholder groups. <p>Delays in preparation.</p> <ul style="list-style-type: none"> 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. <p>Insufficient resources.</p> <ul style="list-style-type: none"> Staff resource and monies required to undertake technical studies and other specialist advice considered necessary. 				<p>Inspectorate to:</p> <ul style="list-style-type: none"> 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. The Deposit Plan was approved by Cabinet on 12th September 2013 and Council on 26th September 2013 for consultation purposes. 				<p>commitments made in the LDP Delivery Agreement, which sets out a timetable agreed with the Assembly for preparation of the LDP. Main expenditure headings over these three years include developing evidence base studies, consultation / engagement, examination / planning Inspectorate costs, legal / other independent advice costs and publicity / printing costs. Please note these projections take into account revised timescales for preparation of the Plan, which effectively mean an additional years funding will be required.</p> <ul style="list-style-type: none"> Key dates are: consultation on a Deposit Plan in October 2013, consultation on Alternative Sites March 2013, submission for examination in August 2014 and adoption in October 2015. 	
ONGOING RISKS										
<p>Budget prioritisation</p> <p>The indicative settlement provided by WG last year will no longer be delivered. The Council is now expecting significantly worse settlements than originally envisaged with English style cuts mooted, however the extent of the cuts are not known. This position will continue across the medium term and the Council will face significant financial challenges balancing its budget whilst ensuring that budgets are firmly aligned with Council priorities as set out in the Leading Cardiff – Building Communities document and the Corporate Plan which was approved in February 2013.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> 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 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. 	A	1	High Priority	<p><u>2013/14 Budget Setting</u></p> <ul style="list-style-type: none"> The Budget for 2013/14 was set in February 2013. Savings of over £22 million were identified. Ongoing monitoring against these savings during 2013/14 will be key to ensure that the Council manages the risks associated with delivering these significant budget reduction. A detailed medium term financial plan has been developed and is to be used for ongoing monitoring. Regular review of Treasury Management practices. <p><u>2014/15 Budget Setting</u></p> <ul style="list-style-type: none"> The Budget Strategy Report went to Cabinet and Council in July. This report identified the significant financial challenge both for 2014/15 and the medium term. The Budget Strategy Report identified the savings for both protected and non protected areas. Budget Information Packs have been prepared and Facilitated Portfolio Meetings on Budget Strategy for each Directorate are to take place. Directorates have been advised of their targets and the Budget Savings Proformas are to be sent out at the end of July. The Capital Programme memo is also to be sent out at the end of July and a full review of the programme is to take place. Key Briefings for key stakeholders including Members and Trade Unions have taken place. Risks attached to the introduction of Council Tax Reduction Scheme are ongoing and clarity is required from WG in respect of funding for 2014/15. 	A	1	High Priority	<p><u>Budget Setting 2013/14</u></p> <ul style="list-style-type: none"> Ongoing monitoring of the 2013/14 Budget required with corrective action being taken at an early stage if required. <p><u>Budget Setting 2014/15</u></p> <ul style="list-style-type: none"> Key messages from 2014/15 Budget Strategy Report to be embedded within the Council. Communication strategy to be developed. Consultation and scrutiny process to be further developed to maximise engagement and understanding of difficult choices ahead. Budget setting mechanisms to be put in place to ensure that decisions are made to achieve savings over the medium term by if necessary taking decisions and providing resources to deliver. Continue engagement with Cabinet and Senior Management Team over the Autumn as savings proposals develop. Engage where possible with WG to help shape agenda to improve flexibility within the settlement. Consider further how the financial implications of a reducing headcount will be managed. Prepare a detailed balance sheet review setting out the financial health of the Council and its ability to meet the financial challenges ahead. Review the affordability of the Capital Programme against a backdrop of decreasing financial resources. 	<p>Christine Salter</p> <p>(Marcia Sinfield)</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p>Health and Safety</p> <p>Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> Fatalities Serious injuries Prosecution – fines for body corporate and/ or fines/imprisonment for individual Claims 	A	1	High Priority	<ul style="list-style-type: none"> 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:- <ol style="list-style-type: none"> Policy Organising - Control, Co-operation, Communication, Competence Planning Measuring Performance Audit and Review. (These elements encompass a wide range of actions including development and implementation of relevant policies and procedures, risk assessing, Annual Directorate / Service Area Health and Safety Action Plans, corporate health and safety objectives, Directorate / Service Area and Council Annual Health and Safety Reports, monitoring by Directorates / Service Areas, training, consultation with trade unions through corporate and Service Area forum, accident reporting and investigation and auditing.) Directorates / 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. Code of Guidance on Leading Health and Safety for Senior Managers and Headteachers included on CIS – Spring 2012. Health and Safety Leadership Action Plan 2012/13 for all senior managers OM and above 	B	1	High Priority	<ul style="list-style-type: none"> Update Directorate / Service Area Health and Safety Policies ensuring more detail and cross referencing of operational documentation (All Directors / Chief Officers / Heads of Service) H&S awareness sessions to Members (Christina Lloyd – ongoing) Address corporate H&S objectives for 2013/14 (Christina Lloyd and All Directors / Chief Officers / Heads of Service - to be completed by April 2014) Business objectives for H&S Advisers for 2013/14 Implementation of Directorate / Service Area H&S Action Plans by Directorates / Service Areas (All Directors / Chief Officers / Heads of Service) Operational Manager – Health and Safety to meet new senior officers and to complete Health and Safety Leadership Action Plan for all Senior Managers (OM and above) 	Christine Salter (Christina Lloyd)
<p>Climate Change</p> <p>Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health & Safety</p> <p>Flooding & increased frequency and severity of storm events:</p> <ul style="list-style-type: none"> Loss of life and personal injury Direct damage to property, infrastructure and utilities Contamination and disease from flood and sewer water and flood on contaminated land Increased costs of insurance Break up of community and social cohesion Blight of land and development <p>Increased summer temperatures:</p> <ul style="list-style-type: none"> An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services An increase in demand for limited water supplies Damage to temperature sensitive infrastructure (transport systems, electrical systems). Migration of biodiversity. 	B	1	High Priority	<p>Emergency Management Unit</p> <ul style="list-style-type: none"> Cardiff Council Emergency Management Unit is working with Utility (including Dwr Cymru) and Telecom companies to ensure planning is carried out with consideration of flood risk. Cardiff Area Community Risk Register is developed by the Cardiff Area Risk Group (ongoing with added impetus of Olympics preparation). 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. 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. <p>Energy Management Unit</p> <ul style="list-style-type: none"> 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. <p>Local Flood Risk Management Strategy</p> <p>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.</p> <p>Planning</p> <ul style="list-style-type: none"> Flood Consequence Assessment to inform LDP process (ongoing). A Flood Study Report to investigate fluvial flood 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. <p>Sustainable Development Unit</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> A public and key stakeholder consultation exercise has been undertaken in 2013, prior to cabinet approval in Qtr 3 of the Local Flood Risk Management Strategy. An officers flood working group has been established 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 Sustainable Development Bill). To focus on different aspects of climate change resilience annually. Meetings held with Performance, support obtained from WLGA and Sustainability Advocates briefed. Work progressing on supporting guidance and processes to enable implementation of the indicator across all Directorates from April 2014. 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. 	Andrew Kerr (Jane Forshaw & Andrew Gregory)

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p>Information Governance</p> <p>A lack of clarity around Information governance leaves the Council exposed to Information Commissioner's intervention and financial penalties.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <p>Leads to the Information Commissioner issuing notices of non compliance and implementing financial penalties</p>	A	1	High Priority	<ul style="list-style-type: none"> • Policies around Data Protection and Information Security have been reviewed to ensure that they are understandable and written in plain language. These are now operational and scheduled for adoption by cabinet in October 2013, and compliance will be monitored. • Information Governance Training Strategy approved and operational which will help to mitigate the risk of staff not understanding their responsibilities • Records Management Team based in Improvement and Information understand that records management is the foundation for good information governance • Ongoing review's of Freedom of Information, Data Protection and Environmental Information Regulation processes following on from the work conducted as part of the Performance and Information Project. 	A	2	High Priority	<p><u>Proposed Improvement Action</u></p> <ul style="list-style-type: none"> • Implementation Manager as part of the Electronic Records and Document Management system to be employed and the deployment of SharePoint to be piloted in key areas. • Information Security Forum membership to be confirmed by each Director in accordance with the Terms of Reference and ensure that all Council service areas are represented. • Continue to work with the Office Rationalisation Project to audit and assist services that are moving accommodation to improve their records management. • Deployment during October/November of an interim case management system to manage the Council's Information Requests in line with mitigation agreed and the recent Undertaken issued by the Information Commissioner. • Agree a new Information Governance Strategy <p><u>Current Issues</u></p> <ul style="list-style-type: none"> • Recruitment into all posts within the Central Team and Resource Directorate as part of the Performance & Information Project completed. The last member of the team will start in October 2013. The areas within the new Operational Directorate will retain resources as they are until the new Senior Management Structure is in place and the Operations Improvement and Information Management Structure agreed • Issues with Data Protection in terms of breaches continuing. The Improvement and Information Team are working closely with service areas to raise awareness and provide support where breaches have occurred • Compliance with timescales of answering FOI/EIR/SAR is being monitored closely. • Increase in volume of Council CCTV SAR requests and Section 29/35 disclosure requests. There is a lack of consistency and understanding of how to handle such requests within service areas operating these devices. 	Christine Salter
<p>Children's</p> <p>Potential for mismatch between children's needs and capacity to meet them if current trends continue, for example in children needing to be safeguarded, looked after and/or receive other services to support families and carers to care for them.</p>	<p>Reputational / Social / Legal / Financial / Stakeholders / Service delivery</p> <ul style="list-style-type: none"> • 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. • Increase in legal proceedings to safeguard children resulting in increased pressure on legal services. • Statutory requirements not met (in relation to young people remanded to custody). • Representations from carers in receipt of Special Guardianship Order and Residence Order allowances. 	B	1	High Priority	<ul style="list-style-type: none"> • Introduction of weekly reporting of activity levels for intake and assessment and case management teams. • Planned review of Panel arrangements; close monitoring of decision making. • Weekly meetings with legal services. • Interagency out of area placement panel. • Development Plan to improve timeliness of Adoption. • 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 care plans for looked after children and children included on CPR. • Development / implementation of inter-agency strategies for delivery of services for disabled children and children with autism. • Engagement in new approaches to commissioning through collaborative work with other services / agencies / authorities, to ensure availability of services to meet needs and achieve value for money. • Increased social worker capacity. • Service assessment and Inspection regime of regulated services, including use of self assessments. • Regular tracking of looked after children. • Budgetary provision diverted from Youth Justice Board to local authority (based on existing low number). • Monitoring numbers of young people becoming looked after due to remands to custody. 	B	2	High Priority	<ul style="list-style-type: none"> • Maintain existing controls unless evidenced to be ineffective (ongoing). • Implementation of the new Recruitment and Retention Strategy (developed using Results Based Accountability methodology) which focuses on securing a stable workforce, choking off the growth in agency spend and minimising use of agency staff over the longer term. • 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 including joint commissioning and procurement of appropriate services. • Increased compliance with review arrangements for children in need cases using ICS. • Review the effectiveness of the current multi agency Strategy for Disabled Children and Young People with a view to strengthening its impact on outcomes, improving engagement with stakeholders and clarifying eligibility. • Audit of supervision arrangements. • Continued implementation of Looked After Children placement strategy including review of use of residential care and development to in-house fostering service. • Implementation of Integrated Family Support Services. • Targeted provision of key training for example re Child Protection Investigation (including Achieving Best Evidence), Implementation of Public Law changes (following Family Justice Review and building on the PLO) and use of legal proceedings, training for staff working in children's homes. • Strengthen use of self assessment as part of inspection regime for regulated services. • Monitor impact of new approaches to commissioning. • Monitoring financial implications of numbers of young people becoming looked after due to remands to custody. • Realignment of Special Guardianship Order and Residence Order allowances. • Project Initiation Document to be developed proposing implementation of Multi-Agency Safeguarding Hub (MASH). 	<p>Andrew Kerr</p> <p>(Tony Young)</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p>Health & Social Care</p> <p>Changing demographics and increasing expectations of vulnerable people put more pressure on services, increasing risk of budget overspend.</p>	<p>Reputational / Legal /Financial / Social / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> - Increased pressures from partners, especially Health – to reduce DTOC - increased demand on future services including POVA referrals - Increase in number of adults waiting for an assessment & risk of individuals deteriorating whilst they are waiting. 	B	1	High Priority	<ul style="list-style-type: none"> • H&SC SMT regular review of budgetary information for all aspects of the service to ensure effective budgetary control. • H&SC SMT regular review of and proactive monitoring of service performance key indicators. • 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, The VOG and the UHB. • Commissioning Strategies in place for Physical Disabilities and Sensory Impairment and there is a draft Commissioning Strategy for Older People. Also the need to progress integrated delivery of MH Commissioning Plan and market position statements across the service areas. • Jointly led reablement services between social services and health including the development of an OT-led service and plans to develop longer term support for older people with an expectation to maximise recovery, through development of reablement and rehabilitation. • Clear expectation about the offer of Direct Payments to service users so that they have control and choice over the care they receive, monitored monthly with expected performance improvements – also being scrutinised by Council Scrutiny Committee. • Regularly reviewing all internal processes in short-term services to identify blocks to efficiency. • A Taskforce of stakeholders and independent expert groups have been established to review the current service delivery models (with a focus on domiciliary care), to evaluate if this current model meets the aspirations of choice and control over their lives. The Taskforce is also evaluating alternative service delivery models such as a community interest company to meet its objectives. • Regular review meetings instituted with CSSIW to ensure open and robust framework for demonstrating service improvements within H&SC. 	B	2	High Priority	<ul style="list-style-type: none"> • Continued proactive engagement with Health for stronger collaborative working in relation to performance on DTOC with weekly monitoring and reporting to the Director H&SC on DTOC. • Merger of Internal Reablement service to form combined Health & Social care Locality Community Resource Teams to increase efficiency and effectiveness. Plans advanced and new collocated services will commence in February 2014 • Current case management system is being reviewed and case quality audit advanced. • Internal Review team within Assessment & Care management is focussing on robust management of reviews to ensure there is no backlog (Domiciliary Care Review backlog cleared by mid-October 2013) and this team is also “right-sizing” packages of domiciliary care for individuals tracking and achieving savings on a weekly basis • Plans in place to develop a whole systems review of disabled children and adults to ensure more effective transitions from Childrens into adults services and which can deliver efficiency gains in future years • Plans in place to scope out a review of our social care records database to produce more effective performance information which will easily enable us to understand the local health and social care economy and analyse demand and capacity 	Andrew Kerr (Siân Walker)
<p>Performance Management</p> <p>Performance management is not fully embedded and understood in the culture of the Authority.</p>	<p>Reputational / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> • The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices. • Council unable to accelerate performance improvement as planned/desired. <p><u>Outcome Agreement 2013/16</u> Financial</p> <ul style="list-style-type: none"> • The WG guidance for the Outcome Agreement for 2013/16 has not been provided to local authorities which means that there is a risk of not securing all or part of the £3.2m funding for 2013/14 • Awaiting WG assessment of performance 2012/13 and the level of Outcome Agreement grant achieved 	B	2	High Priority	<p>The Council Corporate Plan was approved by Council in February alongside the Budget. A more focused set of Key Improvement Objectives will be agreed by Cabinet in October 2013 This approach is also linked to the requirements under the Local Government (Wales) Measure 2009 which came into force in 2010.</p> <ul style="list-style-type: none"> • The performance reporting framework was revised in 2010 to be focussed on an exception basis. • 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 2009. • The performance of individual staff is planned and monitored through PP&DR's and the effectiveness of the current approach has been reviewed and a revised scheme was implemented during 2011. • The Performance and Information Management Project is in place and decisions made in terms of deployment of resources, processes, role profiles and responsibilities in the Central and Resources Team. • The Peer Review Report will be presented to Cabinet in October 2013 	B	2	High Priority	<ul style="list-style-type: none"> • As part of the original scope of the Performance and Information Management Project requirements for a performance management software application were discussed with TCS and other providers. A revision to the scope of the project has meant that this is on hold until the deployment of resources has been completed. • Implement the findings of the Diagnostic Report and a new staffing structure through the Performance and Information Management Project. The implementation phase not yet commenced and the revised target of July 2012 (which was challenging) as agreed by Programme Management Board was not met. Revised structure agreed and recruitment to commence April 2013 • The Corporate Plan for the new Administration is now in place • The outcome of the Peer Review will form an action plan part of which will be focused around improving performance management in the Council. Progress against this action plan will be monitored internally and reviewed as part of the Local Government (Wales) Measure 2009 by the WAO. <p><u>Outcome Agreement 2013/16</u> Develop and agree content of the Outcome Agreement for 2013/16 once WG Guidance is available</p>	Christine Salter
<p>Business Change</p> <p>Business Change projects fail to deliver the radical change required to deliver efficiency savings and service improvements, due to service and resource pressures.</p>	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Governance arrangements established including Business Change Meeting chaired by the Interim Head of Paid Service and Programme Boards, chaired by the Senior Responsible Officers to ensure change is delivered • Disciplined approach, where risk assessment forms an integral part • Programmes initiated with dedicated resources • 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 development opportunities and skills transfer, using the Cardiff Academy and through PP&DRs and Individual Development Plans for all SDT staff • Business change responsibilities to be written into the Job Description and PP&DRs of senior managers • Appropriate engagement and stakeholder management, including Business Change Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit • Monthly performance reporting in line with cabinet requirements. • Marsh commissioned to undertake independent review on risk management within programme / project management and subsequent Action Plan developed • It has been agreed that there will be one governance framework covering all change activity (including Programmes, Service Improvement etc.). • Improving compliance to project and programme management 	B	2	High Priority	<ul style="list-style-type: none"> • A medium to long-term plan for delivering change to be developed, aligned to the Corporate Plan, budget proposals and technology road map – aligned to Enterprise Architecture Roadmap, Business Change and Service Improvement initiatives • Investment appraisals of all projects to be undertaken by Finance (Business Case) • Business Case approval to act as a stage gate for all projects, where the project's continuing viability is assessed • Improved management information to the Business Change Meeting (BCM) enabling this group to focus on issue resolution and decision making. • Prioritisation of change initiatives against agreed criteria and investment appraisal 	Christine Salter

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					governance standards by streamlining core processes and enhancing reporting, increasing transparency across change initiatives. <ul style="list-style-type: none"> 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. Audit of BCM Decision Making has determined a list of actions to improve information and support rapid decision making and issue resolution. 					
<p>Business Continuity</p> <p>Large scale incident/loss affecting the delivery of services.</p>	<p>Reputational / Legal / Financial / Stakeholder / Service delivery / Health & safety</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> The Council has a BCM Champion & BCM Sponsor who is actively supporting the BCM Programme. We have an approved Business Continuity Policy, available on CIS. 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 holds the Certificate of the Business Continuity Institute and is a BS25999 and ISO22301 lead auditor. 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 work to prioritise activities continues to be reviewed annually by the senior leadership team to keep the work live. The Business Continuity Officer sits on the Office Rationalisation project team to help the council manage the risk associated with the reduction in work space which will be the result of the 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. 90 % of our most time critical activities (REDS) now have Business Continuity plans which have met, or are going through, audit. These will all be reviewed again within the next quarter to ensure they incorporate changes in council structure reflecting new Directorates. The Council now has a 24 hour Incident Management structure for Gold and Silver Officers. This structure was exercised in a corporate exercise run by the Emergency Management Unit In November 2012 and was successfully used to manage our services during snow disruption in January 2013. 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> It was agreed at CMB on the 24th May 2011 that all Service Areas would develop and implement BCM plans for the most time critical activities (REDS) by December 2011. This responsibility sits with Chief Officers and Heads of Service. This work is ongoing with the final 3 Red activities now being looked at. The BC officer has started working with service areas to start building Business Continuity plans for the Councils 58 Amber activities (activities that need to be recovered between 1 hour and 24 hours following business disruption). The Emergency Management Unit is developing an Incident Management Plan to ensure compliance with BS25999-2 this latest draft is being reviewed by the Emergency Management Unit ready for sign off. 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 services have been working to improve the resilience and capability of infrastructure to support the use of this solution. Work with internal services 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. 	Andrew Kerr (Chris Hespe)
<p>Energy Security</p> <p>Inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community</p> <ul style="list-style-type: none"> Inability to deliver public services Decrease in economic output Disruption to the supply of utilities Increased transport costs Increased costs for heating / providing services to buildings Increased fuel poverty 	B	1	High Priority	<ul style="list-style-type: none"> 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 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> All Service Areas to engage fully with the Council's Carbon Management Programme. 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 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. 	Andrew Kerr (Jane Forshaw)
<p>Legal Compliance</p> <p>Changes in services and staff roles across the Council resulting in gaps in Council wide legal knowledge especially in regard to powers, responsibilities, and delegated authority increasing the demands placed on the legal department.</p>	<p>Reputational / Legal / Financial / Environmental / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Professional internal legal advice provided to a high standard. Effective use of legal on line library resources. Briefings and professional training provided to legal staff and client officers (Law Society accredited in-house training). Dedicated officers in specialist areas e.g. equalities, FOI / DPA. Access to external barristers, framework contract. Appropriate use of South Wales Legal Consortium external legal services to increase resilience. Legal and Democratic Services repositioned in the senior management structure. Maintaining robust decision making process with legal implications on all reports. 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Prioritisation of work to make best use of internal expertise. Use of legal service income to contribute to funding dedicated post/s for business change procurement work. Exploring collaboration with other legal services to see if there is the potential to increase resilience and / or efficiencies. Reviewing working protocol with clients to prioritise work to make best use of internal expertise. Legal and Democratic providing further training and raising awareness for client service areas. 	Christine Salter (Shaun Jamieson)

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p>Fraud</p> <p>Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> • Increase in frauds and losses to the Council. • Reputational risk as more frauds are reported. • Increased time investigating suspected fraud cases. • Loss of experienced, professionally trained investigators should they be transferred to the Department for Work & Pensions as part of the 'Single Fraud Investigation Service' (SFIS). • Loss of experienced, professionally trained investigators should their positions not be retained in Internal Audit post SFIS. 	B	2	High Priority	<ul style="list-style-type: none"> • Financial Procedure Rules, Contract Procedure Rules for staff to follow. • Proactive work of the Internal Audit team • Professionally trained investigators to advise and investigate as appropriate • Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority. • 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 Committee • Anti-Fraud, Anti Corruption and Bribery Policy reviewed and updated to incorporate the Bribery Act. Approved by Constitution Committee in January 2012 along with 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. • Senior Management Assurance Statements completed 6 monthly. • Briefing report to Senior Leadership Team (Dec 2012) on Internal Audit reports requiring a timely response from management and an assurance that recommendations will be implemented. • Increased role and awareness now that the Discipline module is live in DigiGov. • Compliance with Treasury Management practices and segregation of duties. 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> • 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. • Anti-Fraud, Anti-Corruption and Bribery Policy being updated to reflect 'zero tolerance' culture. • Development of training programme for Senior Management regarding Fraud Awareness targeting disciplinary chairs and HR to help with (employee) fraud prevention. • Review of induction material relating to Fraud. • Ensure involvement in discussions with the Department for Work & Pensions and HR – People Services to ensure transfer is seamless. • Retain a relevant number of experienced, professionally trained investigators in order to provide adequate investigative resource / coverage in order to prevent, deter and detect fraud against the Council. 	Christine Salter (Marcia Sinfield)
<p>Asset Management</p> <p>Ineffective management and use of Council assets and lack of corporate recognition.</p>	<p>Reputational / Legal / Financial / Health & Safety / Stakeholders</p> <ul style="list-style-type: none"> • Poor use of assets / VFM. • Lost opportunity for capital receipts. • Increased maintenance. • Prosecutions / fines. 	B	2	High Priority	<ul style="list-style-type: none"> • Office accommodation Business Plan approved at February 2012 Executive. • Updated Corporate Asset Management Plan was approved by Executive in June 2011. A refreshed Plan was presented to Cabinet in October 2012. • Asset management working methodology developed and Asset Management Board and Working Group now working to raise property profile and introduce more structured, disciplined approach to management of property. • Property Condition Surveys – 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 • Carbon Management / Energy Efficiency - Certificates / General Awareness / Introduction of Energy Renewables Strategy. • The newly established Resources Programme Board will continue to exercise an overview of the Office Accommodation Rationalisation Programme (formerly known as Our Space). 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> • Office accommodation Business Plan approved at Feb 2012 Executive. Review of future County Hall HQ requirements in hand. Project currently on hold until this is completed in mid 2013. Now into implementation which will be spread over the next three financial years, the plan is currently being refreshed and developed. • Work on the review of Strategic Property Management has been completed. Strategic Estates has, as from 1 June 2013 been transferred to the Economic Development Directorate. • Review of Non Operational Property – this report, completed in April 2012, has yet to be considered by Cabinet, and currently awaits a subsequent more detailed review of the Workshop Estate before finalisation. • Further raise property profile through the ongoing work of the Asset Management Board and Working Group. Continue to publicise and promote Asset Management Planning best practice. • Asset Management Board Terms of Reference revised with the objective of raising the profile of effective property management across the Council. 	Christine Salter (Neil Hanratty)
<p>Workforce Planning</p> <p>Importance of forecasting and planning to building capability and capacity is not recognised and is not fully embedded.</p>	<p>Reputational / Financial / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> • Poor service delivery due to ineffective use of resources. • Loss of resources and recruitment problems. • Poor morale • Loss of experienced staff members including managers • Reduce the likelihood of attracting high calibre managers to Cardiff Council • Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care. 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> • Flexible retirement policy agreed and implemented • A Workforce Planning Project (PL04) forms one of the projects within the 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. After consultation the Workforce Planning Project has implemented a Behavioural Competence Framework. The framework has 12 behavioural competencies set out in 4 levels. All roles within the Council will be described using the framework. This will be the first step in gaining consistency in the way in which the Council describes its people and jobs. • The Workforce Planning project continues to introduce consistent ways of describing people and jobs in the Council. All new and redesigned jobs are being described and advertised through role profiles. A Competency Assessment Toolkit is being used to develop individual profiles which can then be mapped against 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. These processes will be used to determine the current knowledge and skills held within the Council and identify any areas where there are gaps. This will enable development opportunities to be prioritised in line with Corporate Objectives and the vision for the Council. • Development Opportunities within Cardiff Council Academy have been aligned with the Behavioural Competency Framework. 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> • Development of a Technical Competency Framework in consultation with Professional experts across the Council is taking place. The Technical Competency Framework will be used to: <ul style="list-style-type: none"> - Define the profession/trade and the competence requirements, including CPD activities and the roles into which the competencies can be devolved. - Providing professional assurance in relation to recruitment, redeployment, performance and talent management. - Articulating professional body requirements as appropriate. • Cardiff Council Academy is enabling the Council to prioritise the development of staff to build internal capability and capacity for the future. This along with an improved way of recording Personal Performance and Development Reviews will help the Council to determine a process where by staff with potential can be used to build experience and expertise in areas identified through the workforce planning approach. • Discussions with EA to be progressed regarding a solution in combination with DigiGov which holds significant employee data. Revisit requirements to ensure updated needs. • Whilst an IT solution is required to support the process, development of a draft framework including Managers guidance and approach is being progressed in order to respond to recommendations of the WLGA Peer Review. • Following feedback from managers, participants, interview panel members and Trade Unions, the current Behavioural Competency Framework needs to be reviewed in order to streamline the process. 	Christine Salter (Philip Lenz)

New Corporate Risks Identified at the Mid Year Review 2013/14

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p>Education – Schools Delegated Budgets</p> <p>Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> Budget implications. Reducing educational standards. Intervention from WG 			High Priority	<ul style="list-style-type: none"> Officers from Education and Financial Services continue to work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans to seek to balance individual school deficits within four financial years Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure Officers from Education and Financial Services continue to work with colleagues from Legal Services to prepare potential intervention strategies should any individual schools not work with the Council through a MTFP. Officers continue to report the position on individual schools through to the School Budget Forum. 			High Priority	<ul style="list-style-type: none"> Council make full use, if necessary, of formal warnings and powers of intervention. Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan, this may involve removing delegation from a Governing Body. Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. 	<p>Andrew Kerr</p> <p>(Nick Batchelar)</p>
<p>Education – Attainment</p> <p>Education Attainment does not improve at the required rate.</p>	<p>Reputational .</p> <ul style="list-style-type: none"> Potential impact on Estyn judgement for LA. Educational standards falling behind other LA's. Intervention from WG 			High Priority	<ul style="list-style-type: none"> Officers from Education work with the Central South Consortium to provide challenge and support to Headteachers 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 			High Priority	<ul style="list-style-type: none"> Revised partnership and engagement with schools. Re-focused Education Improvement Plan. Strengthened leadership of Central south Consortium. Revised Education development Board with strong apertures form HE, FE, business and third sector. 	<p>Andrew Kerr</p> <p>(Nick Batchelar)</p>
<p>Health & Social Care</p> <p>Failure to safeguard vulnerable people.</p>	<p>Reputational / Legal /Financial / Social / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> Increased pressures from partners, especially Health – to reduce DTOC increased demand on future services Risk of external intervention 			High Priority	<ul style="list-style-type: none"> POVA reviews are carried out to ensure compliance with national standards Senior management involvement at OM level in governance and quality audit as well as management involvement throughout the operational structure Good working relationships across other partners e.g. Health, Police Good system of sharing learning across the department from safeguarding case management outcomes in partnership with Learning & Development service (Training) 			High Priority	<ul style="list-style-type: none"> Plans are in place to consolidate safeguarding arrangements across Childrens & Health & Social Care Current case management system is being reviewed and case quality audit advanced. Current revision of operational processes and procedures to ensure robust attention to detail throughout the safeguarding process Implementation of different levels of POVA training for different staff grades (appropriate to their responsibility within the process) 	<p>Andrew Kerr</p> <p>(Siân Walker)</p>
<p>Food Safety Management</p> <p>Ineffective food safety management systems including procurement leading to unsafe food at Cardiff Council food business outlets, events & venues.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health & Safety.</p> <p>Risks highlighted in South Wales E.coli outbreak in 2005.</p> <ul style="list-style-type: none"> Large scale cross boundary food poisoning outbreak involving significant number of vulnerable groups – children / elderly Impact of illness includes death, serious kidney failure etc Public inquiry focussing on the role played by the Councils and resulting reputational risk Adverse press and media reaction loss of earnings and reputation 			High Priority	<ul style="list-style-type: none"> Appointment of E.coli corporate officer Adoption of Council's "Broadly Compliant" policy which has secured revised food procurement processes which now require: <ul style="list-style-type: none"> All food to be purchased through established contract arrangements or where this is not possible food businesses which have been assessed as meeting a minimum of 3 rating against the Food Hygiene Rating System. Businesses operating at Council events to have a minimum 3 rating. Any food business operating from a Council premises to have a minimum 3 rating. Implementation of all recommendations for improving the food safety enforcement service Launch of the Council's hand hygiene tool kit for delivery in schools Significant improvements in the Food Hygiene Ratings of Council food businesses. Corporate working in raising the profile and delivery of the E.coli 0157 guidance for food businesses, issued by the Food Standards Agency in 2011. This required businesses to make significant changes to their structure and practice in order to reduce the risk of E.coli 0157 by providing separate areas / utensils & introducing safe practices. Adoption of the Corporate Food Safety Management System in May 2013 			High Priority	<ul style="list-style-type: none"> Maintain a series of Corporate Working groups to review and improve the effectiveness of systems put in place to manage E.coli risk. Implement the Council's adopted Food Safety Management System by resourcing and delivering training. Develop an on line corporate training module for food safety. Work towards full compliance with the Pennington Inquiry recommendations across all Council services, action plan in place. Rigorous Compliance understanding for all food provision service areas and schools. 	<p>Andrew Kerr</p> <p>(Jane Forshaw)</p>

Risk Description	Inherent Risk	Residual Risk	Risk Owner
EVENT DRIVEN RISKS			
Social Services and Wellbeing (Wales) Bill The implementation of the Social Services and Wellbeing (Wales) Bill will place new duties and responsibilities upon already pressured services.	High Priority B1	High Priority B1	Andrew Kerr (Tony Young & Siân Walker)
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.	High Priority B1	High Priority B1	Andrew Kerr (Chris Hespe)
Education – Consortium The Central South Consortium does not deliver effective services that enable Cardiff schools to improve.	High Priority B1	High Priority B2	Andrew Kerr (Nick Batchelar)
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.	High Priority B1	High Priority B2	Andrew Kerr (Nick Batchelar)
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.	High Priority A2	High Priority B2	Andrew Kerr (Sarah McGill)
ICT Platforms Unsuitable/Outdated That the ICT platforms – desktop, software, network, servers, and telephones – will not be able to support the technologies required by the Business Change Programmes and deliver effective service to the Council, or will not provide a reliable service due to age and condition.	High Priority A2	High Priority B2	Christine Salter (Phil Bear)
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.	High Priority B1	High Priority B2	Andrew Kerr (Jane Forshaw)
Preparation of Local Development Plan Preparing a plan that is considered 'sound' by the Inspector, within the proposed timetable.	High Priority B1	Medium Priority C1	Andrew Kerr (Andrew Gregory)
ONGOING DRIVEN RISKS			
Budget prioritisation The indicative settlement provided by WG last year will no longer be delivered. The Council is now expecting significantly worse settlements than originally envisaged with English style cuts mooted, however the extent of the cuts are not known. This position will continue across the medium term and the Council will face significant financial challenges balancing its budget whilst ensuring that budgets are firmly aligned with Council priorities as set out in the Leading Cardiff – Building Communities document and the Corporate Plan which was approved in February 2013.	High Priority A1	High Priority A1	Christine Salter (Marcia Sinfield)
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.	High Priority A1	High Priority B1	Christine Salter (Christina Lloyd)
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.	High Priority B1	High Priority B1	Andrew Kerr (Jane Forshaw & Andrew Gregory)
Information Governance A lack of clarity around Information governance leaves the Council exposed to Information Commissioner's intervention and financial penalties.	High Priority A1	High Priority A2	Christine Salter
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 safeguarded, looked after and/or receive other services to support families and carers to care for them.	High Priority B1	High Priority B2	Andrew Kerr (Tony Young)
Health & Social Care Changing demographics and increasing expectations of vulnerable people put more pressure on services, increasing risk of budget overspend.	High Priority B1	High Priority B2	Andrew Kerr (Siân Walker)
Performance Management Performance management is not fully embedded and understood in the culture of the Authority.	High Priority B2	High Priority B2	Christine Salter
Business Change Business Change projects fail to deliver the radical change required to deliver efficiency savings and service improvements, due to service and resource pressures.	High Priority B1	High Priority B2	Christine Salter
Business Continuity Large scale incident/loss affecting the delivery of services	High Priority B1	Medium Priority C1	Andrew Kerr (Chris Hespe)
Energy Security Inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.	High Priority B1	Medium Priority C1	Andrew Kerr (Jane Forshaw)
Fraud Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.	High Priority B2	Medium Priority B3	Christine Salter (Marcia Sinfield)
Asset Management Ineffective management and use of Council assets and lack of corporate recognition.	High Priority B2	Medium Priority C2	Christine Salter (Neil Hanratty)
Legal Compliance Changes in services and staff roles across the Council resulting in gaps in Council wide legal knowledge especially in regard to powers, responsibilities, and delegated authority increasing the demands placed on the legal department.	High Priority B2	Medium Priority C2	Christine Salter (Shaun Jamieson)
Workforce Planning Importance of forecasting and planning to building capability and capacity is not recognised and is not fully embedded.	Medium Priority B3	Medium Priority B3	Christine Salter (Philip Lenz)

New Corporate Risks Identified at the Mid Year Review 2013/14

Risk Description	Inherent Risk	Residual Risk	Risk Owner
<p><u>Education – Schools Delegated Budgets</u></p> <p>Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.</p>	High Priority	High Priority	Andrew Kerr (Nick Batchelar)
<p><u>Education – Attainment</u></p> <p>Education Attainment does not improve at the required rate.</p>	High Priority	High Priority	Andrew Kerr (Nick Batchelar)
<p><u>Health & Social Care</u></p> <p>Failure to safeguard vulnerable people.</p>	High Priority	High Priority	Andrew Kerr (Siân Walker)
<p><u>Food Safety Management</u></p> <p>Ineffective food safety management systems including procurement leading to unsafe food at Cardiff Council food business outlets, events & venues.</p>	High Priority	High Priority	Andrew Kerr (Jane Forshaw)