

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
<b>EVENT DRIVEN RISKS</b>										
<p><b>Social Services and Wellbeing (Wales) Act</b></p> <p>Failure to implement the Social Services &amp; Wellbeing (Wales) Act 2014.</p>	<p>Reputational / Financial / Stakeholders / Service delivery / Legal / Partnership / Community</p> <ul style="list-style-type: none"> <li>Legal challenge around interpretation of 'duties' under the 'wellbeing' concept.</li> <li>Increases in demand, or service offer, stimulated by new duties under the Act.</li> <li>Social care sector staff not sufficiently trained to implement Act from 6<sup>th</sup> April 2016.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Governance arrangements in place to ensure effective monitoring of progress across the region.</li> <li>Senior lead officers identified with responsibility for each work stream.</li> <li>Regional task and finish groups established for each work stream and action plans being delivered.</li> <li>Director leading workforce development planning for the region.</li> <li>Officers contributing to national work groups as required.</li> <li>Regular reports to Scrutiny Committee with references to Cabinet in place.</li> <li>Director leading workforce development planning for the region.</li> <li>DEWIS launched and implemented.</li> <li>Growth identified as part of 2016-17 budget.</li> <li>Joint approaches to developing opportunities across Cardiff, the Vale of Glamorgan and University Health Board (UHB) closely monitored through the regional Strategic Leadership Group.</li> <li>Regional Partnership Board commenced April 2016</li> <li>Establishment of the Regional Implementation Plan.</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Potential growth bid for 2017/18 currently being assessed.</li> </ul>	<p><b>Tony Young</b></p> <p><b>Councillor Sue Lent, Deputy Leader - Early Years, Children &amp; Families</b></p> <p><b>Councillor Susan Elsmore - Health, Housing &amp; Wellbeing</b></p>
<p><b>Hostile Vehicle Mitigation in Cardiff</b></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 &amp; Safety / Financial / Partnership / Community &amp; Environment / Stakeholders</p> <p>Potential for:-</p> <ul style="list-style-type: none"> <li>Large no's of fatalities, injuries to public in crowded place.</li> <li>Extensive structural damage and/or collapse of surrounding buildings.</li> <li>Major fire.</li> <li>Damage/disruption to utilities (gas, electricity, water etc.)</li> <li>Immediate impact to businesses in the Cardiff area.</li> <li>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.</li> <li>Area to be viewed as a risk for potential future business investment.</li> <li>Inability to attract major future national and international events (political, sporting etc.)</li> <li>Increase in demand for council services/support for all affected.</li> <li>Current economic climate to reduce the effectiveness of any recovery/regeneration of the area</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>All existing identified high risk; crowded places have been formally assessed.</li> <li>Most crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge.</li> <li>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.</li> <li>CONTEST Protect/Prepare Task &amp; Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'.</li> <li>19 (38%) of the identified 'gateways' into the crowded places already benefit from PAS 68/69 mitigation in place, implemented as a direct result of Home Office (Crowded Places) and Olympic Legacy funding.</li> <li>The estimated cost for the procurement and installation of the PAS 68/69 mitigation and ancillary services is £3.6 Million.</li> <li>Work is ongoing with City Operations to advise developers across the city in relation to appropriate mitigation required.</li> <li>The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters.</li> <li>The Tabernacle Access Control Document is fully operational and sits and as an annex document to the main City Centre Access Control Protocol. It enables the Urban Traffic Control Officers to better manage Tabernacle 'users', covering their requirements whilst adhering to the existing Traffic Regulation Order.</li> <li>Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services &amp; 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.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The CONTEST Protect/Prepare Group will continue to monitor and review the scheme to ensure it is fit for purpose until it is fully installed.</li> <li>The CONTEST Protect/Prepare Group will give a status report to the Cardiff CONTEST Board</li> <li>The CONTEST Board will continue to try and identify external funding sources/opportunities from Welsh Government, Central Government to conclude scheme and appropriately mitigate the risk.</li> <li>City Operations to commence a small Working Group to look at short term and longer terms options to deliver the strategy or provide mitigation as funding sources/opportunities from third parties has not been identified. The City continues to hold World Events such as the Champions League final in 2017 and therefore the risk remains.</li> </ul>	<p><b>Andrew Gregory</b></p> <p><b>Councillor Ramesh Patel – Transport, Planning &amp; Sustainability</b></p>

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<p><b>Welfare Reform</b></p> <p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants and restriction of social housing rents to LHA levels. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.</p>	<ul style="list-style-type: none"> <li>Private landlords stop renting to benefit claimants</li> <li>Social housing rents become unaffordable to some claimants, in particular those under 35 and with large families.</li> <li>Increased homelessness and demand for temporary accommodation</li> <li>Increased rent arrears, increased evictions</li> <li>Redeployment / Severance for 140 staff</li> <li>Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties.</li> <li>Barriers to building additional affordable housing Supported accommodation becomes unaffordable impacting on social services and vulnerable homeless clients.</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit. To date private landlords have not withdrawn from the benefits market in large numbers but changes in the economy could influence this in the future so this will continue to be monitored closely.</li> <li>Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help tenants to move accommodation where necessary.</li> <li>Timely information is being given to claimants to help them respond to the changes.</li> <li>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.</li> <li>A new Welfare Liaison team has been created within the housing service to assist tenants affected by the changes. Work is underway to identify those affected by the reduced Benefit Cap and to advise them accordingly.</li> <li>The number of properties becoming vacant has increased as a result of Welfare reform and this combined with other issues has resulted in a significant increase in void rent loss. Work is being done to encourage exchanges rather than transfers.</li> <li>Universal Credit has commenced in Cardiff, very small numbers affected. The scheme has been changed to include more information sharing for landlords and this should offset some of the risk. The council is providing face to face services on behalf of the DWP including digital inclusion and budgeting advice.</li> <li>The implications of the restriction of social housing rents to LHA rate are being considered in partnership with RSLs and options for providing shared / low cost housing are being considered. Work is ongoing to review supported housing schemes and prioritise this ahead of the changes.</li> <li>The Advice Hub in Central Library is providing comprehensive advice services for those affected by Welfare Reform.</li> <li>The Welfare Reform Task Group is working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected.</li> <li>Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate.</li> <li>Digital inclusion training and banking support has been successfully implemented and will continue to be monitored.</li> <li>Work is ongoing providing face to face services to Universal Credit claimants through the City Centre Advice Hub.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Additional resource has been agreed for supporting council tenants with the Universal Credit changes, staff have been recruited to assist with this and the new team is working well.</li> <li>Work has been undertaken to cost the potential risks of Universal Credit and this will continue to be updated as the more information is known.</li> <li>Working groups are ongoing to support social tenants affected by ongoing Benefit Caps, involving RSLs, childrens services, families first and a range of other partners who may be able to help support these families.</li> <li>Regular meetings are held with social housing providers to monitor and improve processes.</li> <li>DHP spend is being monitored carefully, to date spend is within budget. Work is ongoing to establish how the fund can best help those affected by the decreased benefit Cap.</li> <li>Work has been carried out on the impact of possible council rent decreases on the HRA business plan and discussion is ongoing with social landlords about the impact of possible rent decreases on future housing development. Currently this does not apply in Wales.</li> <li>The impact of the changes to rent levels for under 35 is currently under review with all social landlords considering how they can contribute to a solution to this issue. At present all are continuing to house young applicants as normal.</li> </ul>	<p>Sarah McGill (Jane Thomas)</p> <p>Councillor Susan Eismore – Health, Housing &amp; Wellbeing</p>
<p><b>Waste Management</b></p> <p>Failure to achieve targets for Landfill allowance, specifically for Biodegradable Municipal Waste and WG statutory Recycling Targets. Ineffective delivery of recycling targets and residual waste treatment. Failure to comply with EU recycling waste directive.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Environmental / Community</p> <ul style="list-style-type: none"> <li>Significant financial penalties for failure at up to £200/tonne or incorrectly capture tonnage data</li> <li>Procure disposal elsewhere with additional costs.</li> <li>Reputation damage</li> <li>Increased costs of landfill and alternative treatment markets</li> <li>Risk to grant funding (currently £6.9m 2016/17), potential in year cuts, future year grant reductions and changing terms and conditions</li> <li>No MTFP for future grant funds or capital confirmed by WG</li> <li>Reducing Grants; reducing market values for recyclates; market collapse for recycling outlets</li> <li>Risk of legal challenge</li> </ul>	B	1	High Priority	<p><b>Policies / Strategy</b></p> <ul style="list-style-type: none"> <li>Previous updates contain the policy position improvements between 2008-2015.</li> <li>Waste Management Strategy 2011-2016 was approved on 13th Jan 2011 and was revised and approved in April 2015.</li> <li>Several progress reports have been made to Cabinet and Environmental Scrutiny in that period.</li> <li>Monthly performance tracking of recycling has been established to help predict the end of year position.</li> <li>Steps taken to improve MRF processing rates means less waste to treatment.</li> <li>Commercial recycling centre opened March 2014, its performance is increasing with more commercial HWRC being identified.</li> <li>Focus on pre-sort on the HWRCs is showing improvements in site recycling.</li> <li>Restrictions to Cardiff domestic householders have reduced tonnage profiles in qu4 of 2015/16.</li> </ul> <p><b>Contracts / Projects</b></p> <ul style="list-style-type: none"> <li>Several Contracts have been put in place for additional materials to be recycled from the HWRC's.</li> <li>Interim contract in place for disposal of biodegradable green/food waste</li> <li>A flexible Interim Disposal Contract in place with Biffa for 2-10 years; commenced April 2009.</li> <li>Aggregate recycling is now in place.</li> <li>Recycling litter bins are in place in the city centre.</li> <li>New initiatives such a charging for bulky waste, commercial recycling centre, sweepings, mattress and carpet recycling schemes are all underway.</li> <li>New HWRC delivery model is underway.</li> <li>New free reuse and recycling bulky collection services started 2016.</li> </ul> <p>This year, placing the focus on pre-sort high quality recycling and removing the reliance on post sorting of waste.</p>	C	2	Medium Priority (Red/Amber)	<p><b>Risk of Fines</b></p> <ul style="list-style-type: none"> <li>The targets for statutory recycling in 16/17 is 58%, 64% to be achieved by 2019/20, therefore, the risk rating remains high, due to seasonality and risk of recycling market collapse.</li> <li>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</li> <li>The risk of failing the biodegradable limits to landfill has been minimised due to the current disposal route.</li> <li>Waste growth and commercial expansion remains a challenge as it brings in new residual waste.</li> <li>Must ensure correct recording of waste tonnages from Neighbourhood Services to ensure exclusion of waste that was not previously counted towards the targets.</li> <li>Secondary recycling is underway on some trial loads of residual waste to see if further recycling can be achieved.</li> </ul> <p><b>Policy / Strategy</b></p> <ul style="list-style-type: none"> <li>The outline waste strategy has been approved by Cabinet April 2015. The first phase of reducing residual waste capacity to force higher dry recycling and food and green waste recycling was completed in 15/16. Flats Strategy to improve waste and recycling collections from flats is designed to enable greater recycling and food waste from hard to capture areas, to be implemented in 2016/17. This included a business case on current recycling methods.</li> <li>The sweepings contract is secured and operating.</li> <li>Exploring reuse partners, Market test and initial procurement was not successful, so further work is required to secure a partner. First phase of the strategy was delivered in December 2016, which was the free reuse and recycling bulky collection service.</li> <li>Working with other Local Authorities to explore TEEP business cases and/or exploring joint working options</li> </ul>	<p>Neil Hanratty</p> <p>Councillor Bob Derbyshire - Environment</p>

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					<p><b>Prosiect Gwyrdd</b> Financial Close occurred December 2013 Viridor are the appointed contractor which commenced Sept 2015. Removes risk of failing biodegradablke waste limit to landfill</p> <p><b>Organic procurement</b> The procurement of a processing facility for food and green waste was completed for both Cardiff and the Vale of Glamorgan. The new facility will be operational in 2016, whilst the interim arrangements remain in place.</p> <p><b>Household &amp; Commercial Waste Collections</b> Household Waste collections were changed further towards the WG recycling blueprint is now underway by changing to: smaller fortnightly black (with accompanying hygiene services) and weekly food and dry recycling and fortnightly green waste. National government discussions on comingled recycling remain an issue and further modelling on the best option for Cardiff will be completed in 2016/17.</p> <p><b>Collaboration work</b> Working and engaging with Welsh Government on legal and policy changes.</p>				<ul style="list-style-type: none"> <li>Delays have been experienced in the HWRCs changes, which will reduce the recycling potential and waste minimisation activities that were planned for 2016/17 onwards.</li> </ul> <p><b>Contracts / Projects</b></p> <ul style="list-style-type: none"> <li>Progress the Organic procurement is to timescale to SCD of 01/04/17. Interim contracts remain in place.</li> <li>An Contract for residual treatment is in place for when the landfill closes and to ensure LAS targets are met and tax avoided wherever possible.</li> <li>New markets for carpets and mattresses are being explored</li> </ul> <p><b>Project Gwyrdd</b></p> <ul style="list-style-type: none"> <li>Financial Close occurred December 2013, service commencement started 01 April 2016, all risks regarding treatment and recycling of the ash (IBA) derived from residual now lie fully with the contractor.</li> <li>To help secure 2015/16 IBA, recycling began in 15/16 to secure additional recycling tonnages. Furthermore, for 2016/17, the contractor has secured recycling for flue gas residues which will offer a further 1%.</li> </ul> <p><b>Collections</b></p> <ul style="list-style-type: none"> <li>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).</li> <li>Set and achieve new commercial recycling opportunities for new materials and new income opportunities – targeting commercial food collections and schools.</li> </ul> <p><b>MRF</b> A high risk remains in the materials market fluctuations influenced by world-wide pricing affecting the volume of material recycled. In 15/16 Glass market impacts severely risked several 1000's tonnes of glass, this situation was recovered but highlights the ongoing volatility and risk to meeting statutory targets. Markets remain weak in 16/17.</p>	

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<p><b>Education – Schools - SOP</b></p> <p>Large scale Capital Programme (£164m) with tight timescales for delivery, in context of very rapidly growing primary age school population.</p>	<p>Reputational / Legal / Financial / Social / Stakeholder / Health &amp; safety.</p> <ul style="list-style-type: none"> <li>Insufficient primary places in some areas of the City.</li> <li>Further degeneration of school buildings</li> <li>Reducing educational standards.</li> <li>Project cost and time overruns</li> <li>Risk that Welsh Government do not approve individual project funding if not satisfied with Business Cases.</li> <li>Difficulties associated with data source and production could undermine proposals and stakeholder trust in the SOP change process</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>A significant proportion of the Schools Organisation Programme has been delivered to date including:- <ul style="list-style-type: none"> <li>A new Pontprennau Primary School</li> <li>Refurbishment to Millbank Primary School</li> <li>An extension to Adamsdown Primary School</li> <li>An extension to Coed Glas Primary School</li> <li>An extension to Ysgol Y Wern</li> <li>New Science Block at Fitzalan High</li> </ul> </li> <li>These address in the main the sufficiency issues in the Primary Sector.</li> <li>The Procurement of the new Easten High School, in partnership with Cardiff &amp; Vale College is complete, the construction contract signed for £26m with Willmott Dixon and the buildings works commenced on site.</li> <li>The procurement of the 3 new primary school buildings for Howardian Primary, Ysgol Hamadryad and Ysgol Glan Morfa is complete, at £13.5m with Morgan Sindell. The schools are currently being designed and will be submitted for planning approval in January 2017.</li> <li>The procurement of the new High School in the West has commenced with a contractor being appointed to design &amp; building the school in January 2017.</li> <li>Assets being considered corporately to maximise the opportunity to focus funds realised within the Council and through other sources on fewer high quality buildings.</li> <li>Extensive work on the 21<sup>st</sup> Century Schools Band B funding now to take place during 2016 to submit progress to WG in Autumn 2017.</li> <li>Restructure of team completed.</li> </ul>	C	3	Medium Priority (Amber/Green)	<p>All risks being monitored and reported to Schools Programme Board.</p> <ul style="list-style-type: none"> <li>'Turn Key solutions' being progressed on all new school builds i.e. one contract, single point of management and responsibility</li> <li>Two step procurement methods being undertaken on all procurements</li> <li>Standardised design methods being used where possible</li> <li>Continued active dialogue with Welsh Government and other professional parties to support progress and development</li> <li>Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward</li> <li>Ensure consistent monitoring and reporting of all risks to Schools Programme Board.</li> <li>Capacity strengthened in SOP Team.</li> </ul>	<p>Nick Batchelar</p> <p>(Janine Nightingale)</p> <p>Councillor Sarah Merry - Education</p>
<b>ONGOING RISKS</b>										
<p><b>Education Consortium &amp; Attainment</b></p> <p>The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> <li>Budget implications.</li> <li>Educational standards falling behind other LA's.</li> <li>Potential impact on Estyn judgement for LA.</li> <li>Intervention from WG</li> </ul>	B	1	High Priority	<p>The authority has made satisfactory progress against the Estyn recommendation that relates to the Central South Consortium.</p> <p>Estyn reported in March 2016 that Overall, Cardiff schools are being challenged more rigorously and supported more effectively to improve. There have been improvements in most of the outcome indicators at all key stages, although the performance of a few of Cardiff secondary schools is still a significant concern. The work of the school improvement service commissioned from the regional consortium is based on clear priorities and a good understanding of Cardiff schools. Since the monitoring visit in 2014, the local authority has worked well with its schools to engage school leaders and to develop a change in culture in which schools are more aware of their responsibility for their own improvement.</p> <p>In February 2016, following their inspection of the Central South Consortium, Estyn reported that the Consortium had a clear vision and strategy to improve schools that is understood by most stakeholders and underpins support for school improvement well. The consortium works well with its local authority partners to share information about the performance of schools across the region, and to identify schools causing concern.</p> <p>There is a strong working relationship between the local authority and the regional consortium. The local authority has moderated the outcomes of categorisation in partnership with the regional consortium, and this has led to a more accurate view of school performance, an improved model of differentiated support and challenge, and earlier intervention in schools causing concern.</p> <p>The performance management and quality assurance of the work of challenge advisers is now more systematic, and the authority has taken robust steps to improve practice where underperformance is identified. There are robust processes to quality assure the reports of challenge advisers, and this has led to an improvement in the consistency and precision of their reports. Processes to validate judgements through the</p>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Officers will continue to ensure the agreed commissioning arrangements are refreshed and delivered and impact positively on the performance of schools.</li> <li>Education Directorate delivery plan now refreshed with clear accountabilities and performance measures. These will be shared with the consortium and associated roles, responsibilities and accountabilities agreed.</li> <li>Recruit a Secondary senior challenge adviser with well-developed knowledge and skills to build on the progress made to date.</li> </ul>	<p>Nick Batchelar</p> <p>(Angela Kent)</p> <p>Councillor Sarah Merry - Education</p>

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					<p>collection of first-hand evidence are improving, and this is beginning to provide the authority with a more accurate evaluation of their schools. Through school improvement meetings, challenge advisers are developing a better understanding of the role that wider services in the local authority play in improving schools.</p> <p>The local authority works productively with its regional consortium to address the specific needs of Cardiff schools, and to promote school-to-school working. A few Cardiff schools are acting as hubs to disseminate good practice and to provide training and networking opportunities across the consortium. School improvement groups (SIGs) of teachers and leaders across the region are working on key improvement issues, and these groups focus well on evaluating their work in terms of outcomes for pupils. The local authority has commissioned the regional consortium to deliver a comprehensive range of leadership development programmes specifically to address leadership issues across its schools. These include training for aspiring leaders, middle leaders, headteachers at various stages of their careers, and development for those leaders who are capable of supporting.</p>					
<p><b>ICT Platforms Unsuitable/ Outdated</b></p> <p>The ICT platforms (desktop, software, network, servers, and telephones) will not be able to support the technologies required by the corporate change programme and deliver effective service to the council, or will not provide a reliable service due to age and condition of equipment and systems.</p>	<ul style="list-style-type: none"> <li>• Reputational / Financial / Stakeholder / Service delivery.</li> <li>• Loss of PSN services.</li> <li>• Service delivery impacts from unreliable/unavailable ICT systems.</li> <li>• Cardiff seen as unable to deliver on aspirations.</li> <li>• Poor morale from frustrations with inability to deliver services.</li> <li>• Potential for income losses from revenue collection impacts.</li> <li>• Unable to meet delivery deadlines on both business as usual and transformation projects.</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>• Measurements put in place to track impact.</li> <li>• Existing ICT budget spend focused on dealing with critical issues, capital and revenue budget resource provided to address major issues.</li> <li>• Spending complete for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches, external bandwidth and network storage.</li> <li>• New system down analysis process in place to ensure that key pressure points are rapidly identified and fixed with minimum disruption.</li> <li>• 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).</li> <li>• Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced to medium.</li> <li>• Additional load balancers to be purchased for application resilience in key systems.</li> <li>• All SAP hardware has been replaced and software versions brought to latest levels</li> <li>• Continued replacement of unsupported window servers.</li> <li>• Publication of system and application support lifecycles to allow business users to plan replacements as required.</li> <li>• Thin client server farms fully refreshed with new hardware and software versions upgraded and aged thin client Xtreme PC's being phased out</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Continued assessment of priorities for replacement – removal of systems out of supplier support is the main priority.</li> <li>• System owners are being tasked to identify action plan for replacing systems out of supported levels.</li> <li>• Firmer engagement with business on decommissioning or replacing unsupported platforms and applications.</li> <li>• Replace aged contact centre telephony.</li> <li>• Assessment of equipment required replacing to maintain PSN compliance.</li> <li>• Further revenue and capital investment in 2017/18.</li> <li>• Pilot leasing scheme within schools to be considered for corporate desktop estate.</li> <li>• Replacement of older slower disks in many PC's with solid state disks to improve performance and extend usable life</li> <li>• Continued reduction in aged Xtreme devices some of which were over 11 years old – over 1800 replaced in last two years leaving 1500.</li> <li>• Continued migration of VM infrastructure over to new storage technologies.</li> <li>• Continued migrating remote workers users to latest agile working model where possible.</li> </ul>	Christine Salter (Phil Bear)  Councillor Graham Hinchey - Corporate Services & Performance
<p><b>Safeguarding</b></p> <p>Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners</p>	<p>Reputation / Financial / Stakeholders / Service delivery / Legal / Partnership / Community</p> <ul style="list-style-type: none"> <li>• A child/ren or adult/s suffers avoidable significant harm or death.</li> <li>• Reputation of Council and partners.</li> <li>• Severe adverse publicity.</li> <li>• Potential regulator intervention.</li> <li>• Loss of confidence by the community in the safety of children and adults.</li> <li>• Loss of confidence of staff in the overall "safety" of the service, impacting on morale, recruitment and retention.</li> <li>• Potential litigation with associated financial penalties.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>• Implementation of Social Services &amp; Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding.</li> <li>• Strategic review of safeguarding governance across the region in partnership with the Vale of Glamorgan Council.</li> <li>• Strategic review of the functioning of the Regional Safeguarding Adults Board (completed).</li> <li>• Ongoing implementation of the child Sexual Exploitation Strategy.</li> <li>• Implementation of the Corporate Safeguarding Board work programme.</li> </ul>	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Strategic review of the functioning of the Regional Safeguarding Children Board (imminent).</li> <li>• Growth bids to support operational safeguarding capacity in safeguarding teams.</li> <li>• Training staff in relation to Adult Protection Orders.</li> <li>• Cardiff Council to host the all-Wales Adult and Child Protection Procedure re-write.</li> </ul>	Tony Young  Councillor Sue Lent, Deputy Leader - Early Years, Children & Families  Councillor Susan Elsmore – Health, Housing & Wellbeing  Davina Fiore  Councillor Graham Hinchey, Corporate Services & Performance
<p><b>Budget prioritisation</b></p> <p>Failure to deliver the statutory obligation of setting a balanced annual budget and a fully informed Medium Term Financial Plan which takes into account statutory budget planning obligations (compounded by the risk of only receiving annual</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>• Risk of failing to meet statutory obligations.</li> <li>• Risk that service delivery impacted due to uncertainty in the budget planning process resulting in decreasing resources or failure to effectively prioritise spend in line with Corporate Plan Objectives.</li> <li>• Risk that settlement figures will not be as anticipated giving an element of uncertainty to any proposals</li> </ul>	A	1	High Priority	<p><b>2017/18 and Medium Term</b></p> <ul style="list-style-type: none"> <li>• The 2017/18 Provisional Settlement received on 19 October 2016. Final Settlement 21 December 2016.</li> <li>• The 2016/17 settlement allowed the Council to reduce risk and improve resilience through addressing the pace and scale of the most challenging saving proposals, reviewing planning assumptions and introducing a new financial resilience mechanism. This mechanism will continue to be reviewed in order to reduce future risk but allow one-off investment and development in the meantime.</li> </ul>	C	2	Medium Priority (Red/Amber)	<p><b>2017/18 and Medium Term</b></p> <ul style="list-style-type: none"> <li>• Continue the work that ensures alignment with the demands of the Wellbeing of Future Generations Act with the 2017/18 Budget Strategy and any proposals.</li> <li>• Ensuring closer alignment with objectives of the Corporate Plan and the Organisational Development Programme in order to ensure resources are allocated appropriately and that longer term financial savings are developed in enough time to be realised in the medium term.</li> </ul>	Christine Salter (Ian Allwood)  Councillor Graham Hinchey - Corporate

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
settlement figures from the Welsh Government).	<p>from Cabinet during public consultation and beyond.</p> <ul style="list-style-type: none"> <li>Risk that savings identified as part of business as usual and efficiencies have not been robustly reviewed for achievability and will not deliver as planned.</li> <li>Risk that financial constraints and budget proposals result in unintended consequences such as increased instances of non compliance and financial impropriety.</li> <li>Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa.</li> <li>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.</li> <li>Risk that organisational development does not align to the financial strategy in relation to budget reduction requirements.</li> <li>Additional obligations such as Wellbeing of Future Generations Act leading to Council failing in statutory duty.</li> </ul>				<ul style="list-style-type: none"> <li>The final 2016/17 Budget was underpinned by Directorate Savings of £20.344m, Council Wide Savings of £2.895m and Addressable Spend Savings of £5.596m; a total of £28.835m</li> <li>2016/17 and the following two years savings proposals were underpinned by the Reshaping the Base exercise undertaken in conjunction with SMT and Informal Cabinet as part of 2016/17 Budget Strategy Development. This exercise has been refreshed and reviewed in looking at 2017/18 and 2018/19 budget proposals</li> <li>The MTFP set out in the July Budget Strategy Report shows an estimated Budget Reduction Requirement of £75.297m for the medium term (2017/18-2019/20).</li> <li>The July Budget Strategy Report looks to identify £17.977m savings for 2017/18 with the use of earmarked reserves, Council Tax increase and Cap on schools growth to identify the remaining £7.204m.</li> <li>The 2017/18 Directorate budget proposals were developed over the period of May – July. Those 2017/18 proposals have been further shaped and have been issued for consultation with the public with a closing date of 16 December 2016 as per the timetable. Draft proposals have been developed and continue to be worked upon for 2018/19.</li> <li>Capital Programme assessed for additional commitments and new bids with a prioritisation assessment being undertaken over the period of August to November. The impact on cost of borrowing is looked at in alignment with the prioritisation so that any schemes approved can be funded through the overall financial envelope.</li> <li>Close working with Policy team in respect of alignment with Corporate Plan and duties under Wellbeing of Future Generations Act.</li> </ul>				<ul style="list-style-type: none"> <li>Having received the final settlement on the 21 December 2016 work will be undertaken to assess the impact on key planning assumptions and scenarios.</li> </ul> <p><b>Medium Term</b></p> <ul style="list-style-type: none"> <li>Continued due diligence, challenge of proposals and development of detailed plans for both 2017/18 and 2018/19 and initial scoping work for 2019/20</li> </ul>	<b>Services &amp; Performance</b>
<p><b>Financial Resilience</b></p> <p>The Financial resilience of the Council over the medium term is significantly weakened so that it is financially unable to discharge its statutory obligations and services to the citizens of Cardiff.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>The risk that the Council will not be able to react to adverse situations through a combination of poor imprudent planning and significant challenges such as increasing demands for services such as social services, education, roads etc.</li> <li>The risk is that the Council will not be able to operate within the financial funds available to it and fail in its statutory duty to deliver services.</li> <li>Reputational risk of defaulting on creditor / payroll payments thus creating uncertainty across the community of Cardiff and beyond.</li> <li>The risk that this leads to intervention and increasing adverse impacts on the community of Cardiff that rely on the services being delivered by the Council.</li> </ul>	<b>A</b>	<b>1</b>	<b>High Priority</b>	<ul style="list-style-type: none"> <li>The Council regularly reports in relation to its financial performance and monitoring.</li> <li>The Council used the better than anticipated provisional settlement for 2016/17 to improve financial resilience as previously outlined. This included the establishment of a £4m financial resilience mechanism to protect the Council from the uncertainties associated with the absence of multi-year settlement information whilst allowing for one-off investment in the mean-time.</li> <li>The Wales Audit Office's Report into financial resilience scored the Council as low risk in terms of financial governance and control and medium risk in terms of financial planning.</li> <li>Improvement actions associated with the medium risk for financial planning related to 1) the improvement of savings plans and 2) the improvement of links between the MTFP and Organisational Development Programme, Service Plans and Improvement Plans.</li> <li>A financial snapshot has been developed in respect of the financial resilience of the Council and is reviewed 3 times a year and report at Budget Report (Feb16 &amp; Feb 17), Budget Strategy (Jul) and to Audit Committee.</li> </ul>	<b>C</b>	<b>2</b>	<b>Medium Priority (Red/Amber)</b>	<ul style="list-style-type: none"> <li>Key stakeholders are briefed on this position and financial triggers against this snapshot continue to be developed and reviewed.</li> <li>Work in respect of improving savings plans continues in order to increase the % of savings proposals accepted that deliver. The key focus is due diligence, challenge and development of detailed plans but with an emphasis on accountability to the directorate which proposed the saving. Savings documentation has also been reviewed and developed with the aim of ensuring consideration and capture of key factors relating to savings proposals.</li> <li>Links between the MTFP, OD Programme, Service Plans and Improvement Plans continue in order to further build on work already undertaken in the Budget Strategy Work Programme.</li> </ul>	<b>Christine Salter (Ian Allwood)</b> <b>Councillor Graham Hinchey - Corporate Services &amp; Performance</b>
<p><b>Budget Monitoring (Control)</b></p> <p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the drawdown of reserves.</p>	<ul style="list-style-type: none"> <li>Inability to balance spend, against budget, for the financial year.</li> <li>Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet Corporate plan objectives.</li> <li>Requirement to drawdown from General Reserves at the year end.</li> <li>Impact on the 2016/17 Budget where issues remain with achieving 2015/16 budget savings and any unachieved savings brought forward from 2014/15.</li> </ul>	<b>A</b>	<b>1</b>	<b>High Priority</b>	<ul style="list-style-type: none"> <li>Clear financial procedure rules setting out roles and responsibilities for budget management are in place.</li> <li>In recognition of the quantum of savings and the risks posed a £4 million General Contingency was allocated in the Budget.</li> <li>Availability of General Reserve should this be required.</li> <li>The final 2015/16 outturn showed a surplus of £1.696 million. However this included an overspend of £4.635m in relation to directorate budgets with shortfalls of £6.586m against 2015/16 savings targets and £2.837m against shortfalls carried forward from 2014/15.</li> <li>As part of the 2016/17 Budget process £3.029m of these budget savings not achieved were written back into the budget.</li> <li>The Corporate Director of Resources, Chief Executive and Cabinet Members have continued to hold challenge meetings going forward into 2016/17 in all areas both to address shortfalls against budget proposals accepted but also the overall financial position of each directorate.</li> <li>The 2016/17 Month 6 monitoring report presented to Cabinet highlighted an overspend of £537,000. Directorate budgets projected to be overspend by £6.643 million partially offset by general contingency of £4 million.</li> <li>Full financial monitoring processes is in place for month 3 to 11 of the financial year including achievement of budget savings with months 3 to 6 completed.</li> <li>Monthly meetings held between service accountants, directors and Cabinet Members.</li> </ul>	<b>B</b>	<b>2</b>	<b>High Priority</b>	<ul style="list-style-type: none"> <li>The balance of any 2015/16 or 2016/17 savings targets designated as not being achievable have been provisionally allocated and will continue to be reviewed as their 2017/18 Budget progresses.</li> </ul>	<b>Christine Salter (Allan Evans)</b> <b>Councillor Graham Hinchey - Corporate Services &amp; Performance</b>
<p><b>Health and Safety</b></p> <p>Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> <li>Fatalities</li> <li>Serious injuries</li> <li>Prosecution – fines for body corporate and/ or fines/imprisonment for individual</li> <li>Claims</li> </ul>	<b>A</b>	<b>1</b>	<b>High Priority</b>	<ul style="list-style-type: none"> <li>Dedicated team of competent Health and Safety Advisers providing specialist advice and guidance.</li> <li>Implementation of the 'Framework for Managing Health and Safety' based on the HSE model for successful health and safety management as detailed in the Council's Health and Safety Policy (revised 2014).</li> <li>The five key elements of the management system model for</li> </ul>	<b>B</b>	<b>1</b>	<b>High Priority</b>	<ul style="list-style-type: none"> <li>Service Level Agreement commenced in March 2016, following this a review of current arrangement for health and safety has been undertaken, the following issues have been highlighted as priority for improvement action:-</li> <li>Statutory Maintenance Compliance – First meeting held of the Steering Group to implement RAMIS (19-12-16), led by</li> </ul>	<b>Christine Salter</b> <b>Councillor Graham Hinchey -</b>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
Cardiff Council.					<p>occupational health and safety are:-</p> <ul style="list-style-type: none"> <li>• Policy 2. Organising - Control, Co-operation, Communication, Competence 3. Planning 4. Measuring Performance and 5. Audit and Review. (These elements encompass a wide range of actions including development and implementation of relevant policies and procedures, risk assessing, Annual Directorate Health and Safety Action Plans, corporate health and safety objectives, Directorate and Council Annual Health and Safety Reports, monitoring by Directorates , training, consultation with trade unions through corporate and Directorate meetings, accident reporting and investigation and auditing).</li> <li>• Directorates carry out suitable and sufficient risk assessments as appropriate and ensure any necessary control measures are implemented and monitored.</li> <li>• Health and Safety Advisers carry out a programme of health and safety audits, focussing on high risk activities, and undertake other inspections / investigations as necessary.</li> <li>• Annual Business Objectives for Health and Safety Advisers.</li> <li>• Code of Guidance on Leading Health and Safety for Senior Managers and Headteachers included on CIS.</li> </ul>				<p>Tara King. Accurate information on Building Stock and CAD Plans are currently being collated in order for the system to be set up to input the current test certificates on statutory inspections/testing. The RAMIS for schools site is currently being set up in order for schools to upload their safety documentation into a central repository and access health and safety information for schools.</p> <ul style="list-style-type: none"> <li>• Review of Policy/Codes of Guidance – Corporate Policy and 13 Codes of Guidance reviewed and uploaded to CIS, further reviews planned in 2017, particular priorities are Violence and Work, Control of Vibration, Stress and Wellbeing, Asbestos Management and Fire Safety.</li> <li>• Health and Safety training via. The Academy commenced in October 2016, a suite of Corporate H&amp;S courses are currently being offered.</li> <li>• H&amp;S and OH to improve Health Surveillance in line with legislative requirements, health surveillance clinic established in Lamby Way, to increase attendance and reduce disruption to front line services.</li> <li>• Review of Violence at Work and PACD System undertaken and improvements to the PACD system underway, which will ensure that the information held on the system is accurate, up to date and held in line with the DPA.</li> <li>• Review of H&amp;S resources being undertaken to ensure sufficient capacity to advise on and monitor health and safety compliance.</li> <li>• Further dialogue required with Caerphilly Council to maximise collaborative working on Health and Safety matters, including the support for Cardiff schools on health and safety as well as asbestos management.</li> </ul>	Corporate Services & Performance
<p><b>Climate Change &amp; Energy Security</b></p> <p>Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health &amp; Safety</p> <p>Flooding &amp; increased frequency and severity of storm events:</p> <ul style="list-style-type: none"> <li>• Loss of life and personal injury</li> <li>• Direct damage to property, infrastructure and utilities</li> <li>• Contamination and disease from flood and sewer water and flood on contaminated land</li> <li>• Increased costs of insurance</li> <li>• Break up of community and social cohesion</li> <li>• Blight of land and development</li> </ul> <p>Increased summer temperatures:</p> <ul style="list-style-type: none"> <li>• An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services</li> <li>• An increase in demand for limited water supplies</li> <li>• Damage to temperature sensitive infrastructure (transport systems, electrical systems).</li> <li>• Migration of biodiversity.</li> </ul> <p>Inconsistent energy supply and cost:</p> <ul style="list-style-type: none"> <li>• Inability to deliver public services</li> <li>• Decrease in economic output</li> <li>• Disruption to the supply of utilities</li> <li>• Increased transport costs</li> <li>• Increased costs for heating / providing services to buildings</li> <li>• Increased fuel poverty</li> </ul>	B	1	High Priority	<p><b>Emergency Management Unit</b></p> <p>Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) structure to ensure planning is carried out with consideration of flood risk.</p> <ul style="list-style-type: none"> <li>• Cardiff Area Community Risk Register is developed and reviewed on a regular basis by the Cardiff Area Risk Group. It takes into account changes in the national risk register and how those changes affect Cardiff.</li> </ul> <p>We are engaging internally with The Welfare of Future Generations Act to integrate the community work with the Councils strategy and externally with voluntary organisations such as C3SC to provide training to community groups across Cardiff</p> <ul style="list-style-type: none"> <li>• Cardiff Council Emergency Management Unit have in place a long term communication strategy in Cardiff in conjunction with multi agency partners highlighting flood awareness alongside other emergency eventualities such as extreme temperatures and how residents, businesses and communities can be aware of the risks in their area and hence better prepare for them should that risk materialise. Cardiff has 5 active community flood plans with others in the planning stage. We have produced a 'Preparing for Emergencies – A Guide for Communities' document which is now available to all agencies and organisations. It provides information on how to prepare, respond and recover from an incident including flooding. The document can be found via the following link; <a href="https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Pages/default.aspx">https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Pages/default.aspx</a></li> </ul> <p>We have procedures in place to alert relevant departments within the council to extreme temperatures and work with partner agencies in line with Welsh Governments Heatwave Plan, this can be found via the following link; <a href="http://www.wales.nhs.uk/docopen/218909/">http://www.wales.nhs.uk/docopen/218909/</a></p> <p><b>Energy Management Unit</b></p> <ul style="list-style-type: none"> <li>• The Council procures competitive energy contracts through the Crown Commercial Services on a 6 monthly purchasing window for the following 12 month financial year.</li> <li>• Key sites are fitted with back-up generators for emergency backup, specifically for IT systems.</li> <li>• The Carbon reduction Strategy 2022 identifies projects and activities through 4 strands in order to achieve a 35% reduction in the council's carbon emissions from electricity and gas by 2022. These include; Renewables, energy Efficiency, Design and Asset Management and Behaviour Change.</li> <li>• The new strategy is accompanied by a project programme which is currently being implemented with projects categorised across all strands.</li> <li>• Key project achievements include 16 LED lighting upgrades to schools, 700kW of solar PV installed across the estate as well as the commissioning of the Radyr Weir Hydroelectric scheme with a capacity of 400kW,</li> </ul>	B	1	High Priority	<p><b>Flood Risk Management</b></p> <ul style="list-style-type: none"> <li>• An officers flood working group has been established to improve internal and key stakeholder communications on flooding issues.</li> <li>• Identify where flood risk information is in place for key social and civil infrastructure and identify where there are gaps (i.e. contaminated land). To consider flood risks recognised in the Community Risk Register in the Community Planning/Integrated Partnership process. Community resilience workshops continue in high risk areas</li> <li>• 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</li> <li>• To consider the long term planning implications for coastal protection owned/managed by the Council . Funding of £400k has been secured from Welsh Government for 2016/17 and a Project Appraisal Report to manage coastal flooding and erosion risk is currently underway and on schedule. The appraisal will consider wider benefits, and the project appraisal will seek to identify options to remedy coastal erosion and will also have a consideration for the coasts flood defence standards.</li> <li>• Progress the development of a technical standards for sustainable drainage as a requirement for new development.</li> </ul> <p><b>Emergency Management Unit</b></p> <ul style="list-style-type: none"> <li>• 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</li> </ul> <p><b>Sustainable Development Unit</b></p> <ul style="list-style-type: none"> <li>• Climate Change to be considered as part of the Well-Being Assessment and subsequent actions in the Well-Being Plan.</li> <li>• Work to be undertaken with both the Covenant of Mayors and the Compact of Mayors to agree a consistent method of emissions reporting and action planning so as to not duplicate efforts and get maximum benefit from the commitments.</li> </ul> <p><b>Energy Management Unit</b></p> <ul style="list-style-type: none"> <li>• Progress has been made to establish up to date energy budgets.</li> <li>• Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, deliver the fuel Poverty strategy through</li> </ul>	<p>Andrew Gregory</p> <p>Councillor Bob Derbyshire - Environment</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
				High	<ul style="list-style-type: none"> <li>Progress in 2015/16 has achieved a 6.9% reduction in carbon versus 2013/14 baseline.</li> </ul> <p><u>Local Flood Risk Management Strategy</u> A Local Flood Risk Management Strategy was produced as a requirement of the Flood and Water Management Act 2010 in accordance with WG's Flood &amp; Coastal Risk Strategy guidance. The LFRMS integrates; the PFRA, a coastal protection strategy, stakeholder communications and sets a clear corporate approach to flood management.</p> <p><u>Flood Risk Management Plan</u> In 2013, as a requirement of the Flood Risk Regulations 2009, the Environment Agency, working with Natural Resources Wales and Lead Local Flood Authorities, produced the updated Flood Map for Surface Water (uFMfSW). The maps identify the risk, extent, velocity and hazard posed to Cardiff for a series of rainfall events.</p> <p>These maps have been used to inform the Flood Risk Management Plans, which Cardiff have produced as a requirement of the Flood Risk Regulations 2009. The plan sets out how Cardiff Council will over the next six years manage flooding so that the communities most at risk and the environment benefit the most. The plan does this by:</p> <ul style="list-style-type: none"> <li>Highlighting the areas most at risk of flooding from surface water, ordinary watercourses and groundwater in Cardiff Council's area;</li> <li>Draws conclusions from these risks; and</li> <li>Sets out the measures that will be implemented over the 6 year cycle to mitigate these risks and make our communities more resilient.</li> </ul> <p><u>Planning</u> The Local Development Plan was adopted in January 2016 and includes policies seeking to reduce flood risk and new development. In order to monitor the effectiveness of these policies the LDP Annual Monitoring Report (AMR) includes indicators relating to flood risk which set targets that no planning permissions will be granted for highly vulnerable development within C2 floodplain area and only within C1 floodplain area if it meets TAN15 tests. There is also an indicator committing the Council to prepare Supplementary Planning Guidance (SPG) relating to Flooding to support and amplify the flood risk related policies in the adopted LDP.</p> <p><u>Sustainable Development Unit</u></p> <ul style="list-style-type: none"> <li>Changing Climate, Changing Places pilot project.</li> <li>Share learning experiences of climate change related risks with Integrated Strategy partners as and when information becomes available.</li> <li>Strategic climate change resilience action plan approved by Cabinet as part of a wider One Planet Cardiff Cabinet Report. Actions and recommendations in the plan cover heat planning and flooding issues.</li> <li>Corporate PI on climate change resilience developed to help support the authority and its services to be prepared for a changing climate, and to enable robust reporting to WG on this work (in line with the potential reporting requirements of the Climate Change Act and Well-being of Future Generations Act). However, there has been limited response from Directorates due to key staff leaving and organisational changes.</li> <li>The Council has signed up to the Compact of Mayors in addition to its existing commitment to the Covenant of Mayors. Initial data submitted for the Compact of Mayors Carbon Disclosure Project.</li> </ul>			High	<p>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.</p> <ul style="list-style-type: none"> <li>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 &amp; community planning for Energy City Wide to Business and public sector.</li> <li>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.</li> <li>Delivering renewables within larger properties to lower dependency to grid supply.</li> <li>Energy Performance certificates undertaken to Council owned stock to improve understanding along with a variety of energy efficiency measures (cavity / loft / external wall insulation and boiler upgrades) funded via ARBED, ECO and Green Deal.</li> </ul>	
<p><b>Information Governance</b></p> <p>Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Leads to the Information Commissioner issuing notices of non-compliance</li> <li>These could consist of: <ul style="list-style-type: none"> <li>a Stop Now Order which would mean that no personal data could be processed by the Council in its entirety</li> <li>An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery</li> <li>Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit</li> <li>Enforcement Notice requires immediate improvement action to be put in place</li> <li>Financial Penalty up to £500,000 (currently)</li> </ul> </li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Information Security Board chaired by the SIRO held quarterly.</li> <li>Suite of Information Governance Policies in place.</li> <li>Processes for Information Requests, Data Loss in place.</li> <li>The Information Governance Training Strategy in place and a revised e-learning programme developed to take forward data protection training. This e-learning platform is a bilingual training programme.</li> <li>Information Requests and Training compliance monitoring reports provided and reported to Information Security Board, SIRO.</li> <li>The processing of CCTV requests (section 35 requests) has been centralised to ensure that these are dealt with appropriately</li> <li>ICO Consensual Audit determined that the Council is considered to have a 'reasonable level of assurance' in place</li> <li>Procurement contracts to include a clause regarding 3rd Parties processing personal data</li> <li>Privacy Impact Assessment process realigned and a PIA Board established to ensure that the Council, when changing systems and processes where personal data is involved, considers relevant legislation. (in preparation for the new EU requirements)</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The Information Governance Team (responsible for the Governance of CCTV) have compiled a register of all CCTV devices owned by the Council. A review of the use of these devices is being undertaken through the council's Information Security Board and the nominated Directorate Information Asset Owners</li> <li>Review remaining 10% of Information Requests sitting in Directorates with a view to bringing them into the 'One Council Approach'.</li> <li>An Information Governance Maturity Model is being drafted to assess the overall Council position in relation to Information Governance Risk.</li> <li>Digitalisation of paper records strategy to be developed and agreed by March 2017</li> </ul>	<p><b>Christine Salter</b></p> <p><b>(Vivienne Pearson)</b></p> <p><b>Councillor Graham Hinchey - Corporate Services &amp; Performance</b></p>



Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<ul style="list-style-type: none"> <li>PQA process includes the requirement for PIA's where personal information is being processed</li> <li>Advice and assistance provided to the National Adoption Service and Rent Smart Wales continues as Cardiff Council is the Data Controller for these services</li> <li>Advice and assistance provided to collaborative services of the Educational Consortium, Vale, Valleys and Cardiff Regional Adoption Service where Cardiff is not the Data Controller</li> <li>Advice and Guidance Service in operation to Cardiff Schools (with the exception of Eastern High and St Illytds) to support compliance within schools and governing bodies</li> <li>Advice and guidance available to Directors and Lead Officers on the Information Governance aspects of Alternative delivery Models</li> <li>Digitisation of Records forms part of the considerations of the OD Programme for services becoming 'digital by default'</li> <li>Work to support the Share Regulatory Service (SRS) is in place to ensure that the on-going information governance requirements are met and delivered linked to the wider Governance arrangements of this venture</li> </ul>					
<p><b>Social Services – Costs</b></p> <p>Failure to reduce the cost of delivering social services.</p>	<p>Reputational / Community / Legal / Financial / Stakeholders / Service delivery</p> <p>Quality and range of services and interventions compromised, e.g.:</p> <ul style="list-style-type: none"> <li>Safety and welfare of individuals in the community compromised.</li> <li>Achievement of good outcomes for service users compromised.</li> <li>Shortage of appropriate services including placements.</li> <li>Inability to meet key objectives and performance targets.</li> <li>Increase in challenges from carers, including financial challenges.</li> <li>Increase in Delayed Transfers of Care (DToC).</li> </ul>	B	1	High Priority	<p>Strategic service improvement governance arrangements including:</p> <ul style="list-style-type: none"> <li>Organisational Development Programme.</li> <li>Multi agency Improving Services to Children Board.</li> <li>Adult Services Improvement Board.</li> <li>Vulnerable Families Partnership Board.</li> <li>Multi-Agency Safeguarding Hub (MASH).</li> <li>Social Services Reshaping Programme.</li> <li>Adult Social Care Strategic Commissioning Programme.</li> <li>Internal Review team within Assessment &amp; Care Management continues to focus on delivery of targeted reviews and reviewing packages of domiciliary care for individuals.</li> <li>Assessment &amp; Case Management Business Process Review - commenced with corporate resources.</li> <li>Adult Social Services Position Statement completed.</li> <li>Remodelling Children's Services implementation commenced.</li> <li>Remodelling services to disabled children commenced – supported by Intermediate Care Fund (ICF).</li> <li>Community Resource Team moved to 7 day working.</li> <li>Comprehensive ICF funded interventions designed to strengthen domiciliary care capacity in place.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Commenced development of 5-10 year Integrated Service and Financial Plan</li> <li>Good progress being made with implementation of key preventative initiatives and whole directorate remodelling based on Signs of Safety</li> <li>Redesign services for children with emotional, behavioural or mental health difficulties (UHB led).</li> <li>Locality pilot designed to integrate Council, Housing, Primary Care, GP clusters and domiciliary care provision within defined geographical areas to commence in 2016-17 – plans progressing well.</li> </ul>	<p>Tony Young</p> <p>Councillor Sue Lent, Deputy Leader - Early Years, Children &amp; Families</p> <p>Councillor Susan Elsmore – Health, Housing &amp; Wellbeing</p>
<p><b>Promoting Independence</b></p> <p>Failure to sustain an effective whole system approach that enables adults with significant health needs to remain in, or return to, their own homes and reduces the need for / length of hospital stays</p>	<p>Reputational / Legal / Financial / Community / Stakeholders / Service delivery</p> <ul style="list-style-type: none"> <li>Increase in Delayed Transfers of Care (DToC).</li> <li>Poorer outcomes for adults.</li> <li>Potential ministerial intervention incurring significant reputational and political risk.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Leadership group established to tackle DToC - consisting of Cabinet Members from the Cardiff, Vale of Glamorgan, Chair of UHB and relevant officers.</li> <li>Performance challenges set to improve DToC - includes ongoing close monitoring of DToC Plan.</li> <li>Joint action plan received and agreed by the Health Minister under frequent review to monitor progress.</li> <li>Health &amp; Social Care Integration - continued progression on integration with Health - partnership / governance.</li> <li>Community Resource Team moved to 7 day working.</li> <li>Comprehensive ICF funded interventions designed to strengthen domiciliary care capacity in place.</li> <li>Strategy to engage more proactively with the market in order to support better sustainability in domiciliary care established.</li> </ul>	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>WAO Review endorsed improvements in partnership landscape in Cardiff and establishment of a senior 'Virtual Team' now bringing benefits in terms of shared operational 'grip'.</li> <li>Performance continues to improve subject to oncoming winter pressures</li> <li>Market management impacting effectively and containing 'price'.</li> <li>Strategic review of reablement as part of ODP.</li> <li>Strategic review of Matrix (Adam) and Proactis commissioning platform under way with a view to considering new framework arrangements.</li> </ul>	<p>Tony Young</p> <p>Councillor Susan Elsmore - Health, Housing &amp; Wellbeing</p>
<p><b>Performance Management</b></p> <p>A performance management culture is not embedded within the Council leaving the Council exposed to intervention by Welsh Government in line with the Local Government (Wales) Measure 2009 and associated requirements.</p>	<p>Reputational / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices.</li> <li>Council unable to accelerate performance improvement as planned/desired.</li> </ul> <p><u>Outcome Agreement 2013/16</u> Financial</p> <ul style="list-style-type: none"> <li>The WG guidance for the Outcome Agreement for 2013/16 means that there is a risk of not securing all or part of the £3.2m funding for 2013/14 and subsequent years</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The Council's refreshed Corporate Plan, which sets out four key priorities along with a series of related Improvement Objectives, was approved alongside the budget in February 2016.</li> <li>The Council's improved approach to the way it manages its performance was recognised by the Wales Audit Office's follow-on report, but it is also clear there is more work to be done to build on the success achieved so far. A Performance Management programme has been put in place to deliver the required change to address three key areas relating to Reporting, Planning and Challenge.</li> <li>The Council's developing approach to Performance Management will continue to develop the way in which Benchmarking data is used, with specific emphasis on measuring the Council's improvement compared to Wales and Core Cities.</li> <li>Balanced Scorecards are produced each quarter and circulated to Cabinet and Directors for use in improving communication of performance. The continuing development of a scorecard approach to reporting will be a key part of the Performance Management programme of activity.</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Developing a reporting framework that allows the right audiences to focus on the right level of detail to better aid decision-making, this is being further developed in readiness for Quarter 1 2017-18 to ensure robust reporting arrangements for the WBFAG Act</li> <li>Ensuring greater effectiveness of corporate planning frameworks, with clearer accountabilities and enhanced 'line of sight'</li> <li>The project teams will be continuing to evolve this template to ensure greater focus of reporting. The project teams are now considering an agreed approach for target setting.</li> <li>A new Directorate Delivery Plan template has been developed which also incorporates the Future Generations requirements and the 5 ways of working. A Directorate Delivery Plan executive summary is currently being explored. This has been presented to PSG and the template has been endorsed by SMT</li> <li>A target setting process and proforma has been developed</li> </ul>	<p>Christine Salter</p> <p>(Joe Reay)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<ul style="list-style-type: none"> <li>The project teams have ensured their work incorporates the requirements of The Well-Being of Future Generations Act 2015, and the managed transitions between the Local Government (Wales) Measure 2009 and the requirements of the new legislation.</li> <li>The project teams have developed a new Quarterly performance report template that has been considered and accepted at SMT and formed the basis for reporting at Q1. Incremental changes to this were introduced in Quarter 2.</li> <li>Increasing the transparency with which we manage our performance</li> <li>The Self Assessment process has been completed and fed into the SMT Corporate Plan workshop which identified high level key themes that link the Wellbeing &amp; Future Generations Act.</li> <li>Consistent RAG ratings have been agreed and developed for Corporate Plan commitments.</li> <li>A consistent RAG methodology has been developed to enable a mathematical approach be applied to performance indicators</li> <li>Directorate scorecards have been developed for the Quarter 2 performance report and presented to PRAP, these were well received.</li> <li>PSG (Performance Support Group) has been established. Quarterly performance report will be viewed at these meeting with one of the outputs of this being a structured conversation being developed for the Star Chamber agenda.</li> <li>Wellbeing objectives have been developed in line with the Corporate Plan development timeline and endorsed by SMT and presented to informal cabinet</li> </ul>				<ul style="list-style-type: none"> <li>to support the development of targets in the Corporate Plan and Directorate Delivery Plan</li> <li>Reporting scorecards have been trialled by representatives of PSG. These were presented at PSG and were well received, further roll out will continue with PSG representatives</li> </ul>	
<p><b>Organisation Development</b></p> <p>OD projects fail to deliver the radical change required to deliver efficiency savings and service changes, due to service and resource pressures.</p>	<ul style="list-style-type: none"> <li>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.</li> <li>Radical changes to service delivery models may impact on the Council's reputation if not planned, co-ordinated and governed effectively.</li> <li>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.</li> <li>Reputational impact if services do not meet increasing customer expectations.</li> <li>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.</li> <li>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.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Governance arrangements established, led by the Chief Executive and Programme Boards, chaired by Directors to ensure change is delivered</li> <li>Disciplined approach, where risk assessment forms an integral part of the approach to change</li> <li>Programmes initiated with dedicated resources</li> <li>Experienced gained by managing programmes and projects over a number of years, building on lessons learned</li> <li>Building capacity and capability across the organisation through development opportunities and skills transfer</li> <li>Appropriate engagement and stakeholder management, including Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit.</li> <li>Improving compliance to project and programme management governance standards by streamlining core processes and enhancing reporting, increasing transparency across change initiatives.</li> <li>Continued implementation of Programme &amp; Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources.</li> <li>Organisational Development Board joined up with Senior Management Team who meets monthly to discuss the OD Programme. This ensures all Directors are fully engaged with the OD Programme.</li> <li>OD/SMT Board approved Programme Briefs for Reshaping Services, Enabling &amp; Commissioning and all component programmes. OD/SMT have approved the draft Digital Strategy, ahead of formal submission to Cabinet in May 2016.</li> <li>Improved reporting for the OD Programme has been developed (Dashboard Reports) and implemented at OD/SMT Board. These reports are produced 4-weekly.</li> <li>Appointment of programme managers to oversee the OD Programme (OM2 in April 2015 and OM1 in August 2015) has provided additional capacity and direction.</li> <li>SharePoint implementation within OD began in December 2015 and will continue through spring 2016, further improving information management, efficiency and internal communications.</li> <li>Control Risk Self Assessment tool piloted in OD to inform strengths and weaknesses in controls and help prioritise areas for improvement.</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>New Programmes &amp; projects being initiated as part of Organisational Development – driving change from within Directorates, but corporately governed.</li> <li>Further work required to understand the interdependencies for all the projects ongoing in the OD Programme to ensure best use of resources and no duplication of effort.</li> <li>Working with Finance to ensure that saving plans included in the medium term financial plan are directly linked to the ODP. It is intended to give Audit Committee an update on this in January 2017.</li> <li>PRAP Scrutiny Committee are to receive an update on the ODP in January 2017.</li> <li>Resources plan being developed by OD Team to ensure current and future projects have adequate resources. This plan will be shared with SMT in quarter 4.</li> <li>An organisational development process has been drafted to ensure that any new work given to the OD team is reviewed and prioritised. This new process may well lead to some work not being resourced by the OD team and therefore we are looking for SMT to be involved in this new way of working. This is to be presented to SMT in quarter 4 and links in with the resources plan for the OD team.</li> <li>The Social Services Improvement Programme and the Vulnerable Children &amp; Families Programme (that both sit within the Reshaping Services Programme) are to be evaluated and reviewed in January 2017. This is being done as it is felt that are some projects contained within these programmes that are now complete, and the need to bring in other significant projects that have been identified by the service area.</li> <li>Early in 2017, an independent review will be undertaken to assess the impact of the programme to this point and help inform future prioritisation.</li> </ul>	Christine Salter (Dean Thomas)  Councillor Graham Hinchey - Corporate Services & Performance
<p><b>Business Continuity</b></p> <p>Large scale incident/loss affecting the delivery of services.</p>	<p>Reputational / Legal / Financial / Stakeholder / Service delivery / Health &amp; safety</p> <ul style="list-style-type: none"> <li><b>Health and Safety</b> – potential impact on staff and on the public relying on our most, time sensitive, critical services.</li> <li><b>Legal action</b> -Failure of key services could lead to Legal action against the council.</li> <li><b>Financial</b> - Failure of key services could led to significant financial cost both in terms of Ombudsman action and Enforcement action from regulatory bodies as well as individual legal action against the corporate body where service failure leads to legal action against us from private claimants.</li> <li><b>Reputational</b> - Impact on key services to the public</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The Council has a BCM Champion who sponsors BCM at a strategic level and is actively supporting the BCM Programme.</li> <li>We have an approved Business Continuity Policy which is aligned to ISO22301.</li> <li>BCM Intranet web page.</li> <li>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.</li> <li>The Council has employed a Business Continuity Officer (appointed October 2010). The officer is a qualified ISO22301 lead auditor.</li> <li>The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with ISO22301 this has been distributed to all Directorates.</li> </ul>	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>The BC Officer is working closely with Facilities Management to ensure they have effective plans in place to help manage possible business disruptions to our core buildings.</li> <li>Work with ICT to ensure our core infrastructure is as resilient as practical to support a resilient and effective delivery of essential ICT services and the effective planning for recovery of critical IT services after an incident that affects our IT.</li> <li>The Emergency Management Unit are planning a piece of partnership work with ICT to support areas that provide red activities in assessing the impact the loss of technical services, and ensuring suitable mitigation is in place to make our red services more resilient, where this is possible.</li> <li>Work with the teams involved with looking at the potential of</li> </ul>	Christine Salter  Councillor Phil Bale, Leader – Economic Development & Partnerships

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
	<p>could lead to significant reputational damage to the organistaion.</p> <ul style="list-style-type: none"> <li>• <b>Stakeholder</b> – Impact on key stakehodlers as result of failure.</li> <li>• <b>Service delivery</b> – Potential significant impact on service delivery to the public, impact of key services could lead to significant impacts to the public and the corporate body un delivering its services.</li> </ul>				<ul style="list-style-type: none"> <li>• The Council has a 24 hour Incident Management structure for Gold and Silver Officers.</li> <li>• The Red and Amber activities were last reviewed in July 2014. The BCM Champion presented a report to the SLT on the position on all the Red and Amber activities. Directors, Assistant Directors and Chief Officers were tasked with ensuring that their Red and Amber activities had business continuity plans produced and audited by the end of 2014/2015.</li> <li>• 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.</li> <li>• 74% of our most time critical activities (Reds) now have Business Continuity plans which have met, or are going through, audit. Work on the remaining plans is ongoing to close gaps and bring them up to date and in line with the corporate audit requirement</li> <li>• 24 % of our Amber activities now have business continuity plans which meet the business continuity audit requirement.</li> <li>• Cardiff Council is a member of the Core Cities Business Continuity Group and has been for the last 6 years. This membership allows the sharing of best practice and joint initiatives between group members.</li> <li>• The Business Continuity Officer has been working closely with the procurement section of Resources to ensure that the resilience of suppliers is considered carefully when procuring services which are important to our most time sensitive activities, our Red and Amber activities.</li> <li>• Internal Audit conducted an audit of the Business Continuity Risk in the first 2 quarters of 2015 / 2016 a briefing note has been issued to SLT on the current position and actions moving forward to further enhance our organisational resilience.</li> <li>• The BC Officer is actively supporting the development of an appropriate Threat and Response Policy to support council security arrangements.</li> <li>• The Business Continuity corporate risk has just gone through a further Internal Audit review and the BC Officer has worked closely with Internal Audit to provide them with the support, evidence, and guidance neded to allow them to review this risk.</li> </ul>				<p>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.</p>	

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
<p><b>Education – Schools Delegated Budgets</b></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"> <li>Budget implications.</li> <li>Reducing educational standards.</li> <li>Intervention from WG</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>2016/2017 Budget allocations issued to schools in early March 2016 and monitoring arrangements put in place for those schools showing financial concern.</li> <li>Officers from Education and Financial Services have worked with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible.</li> <li>The previous fall in pupil numbers for certain schools made it clear that a longer period than four years was needed in order to achieve a balanced medium term position</li> <li>Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.</li> <li>Work ongoing with all schools but focussed targeting on specific secondary schools to continue to dampen the growth in deficits and ensure that those that do occur are recoverable.</li> <li>Reviewing closely with Education Management Team and SOP in particular as to the opportunities available to address short medium term fall in pupil numbers for certain secondary schools</li> <li>For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school</li> <li>Individual school budget monitoring positions reported to Education Management Team on a quarterly basis</li> <li>Officers have exercised the statutory powers of intervention in three secondary school governing bodies which is beginning to have a positive impact on the ability of the Council to ensure schools meet the targets set out in their deficit recovery plans.</li> <li>School Budget Forum has agreed a revised protocol for responding to schools in deficit and this needs regular review with a tightening on the number of deficit budgets accepted. This has been reflected in the harder message contained within the 2016/17 school budget letters and the 2016/17 Budget Report.</li> <li>Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance.</li> <li>The Council has been able to protect school delegated budgets over and above the Welsh Government threshold and a smaller number of schools than in 15/16 have been identified as requiring meeting with S151 officer and senior education officers. These meetings took place in April and early May.</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Council make full use, if necessary, of formal warnings and powers of intervention.</li> <li>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.</li> <li>Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula.</li> <li>Work is continuing with the School Budget Forum and consortium to ensure that the formula funding mechanism is transparent and remains fit for purpose whilst considering any interaction or impact of any grant allocation decisions.</li> <li>Maintaining the need for financial probity whilst ensuring that each school has the opportunity to improve school standards.</li> <li>Working with consortium to ensure that maximising value from constituent parts of Education Improvement Grant is secured and that there is clarity of allocation mechanism for 2017/18 and beyond.</li> <li>Developing the medium term budget strategy for 2017/18 and providing early notification to budget forum and individual schools of likely impact of said strategy.</li> </ul>	<p><b>Nick Batchelar</b> <b>(Neil Hardee)</b></p> <p><b>Councillor Sarah Merry - Education</b></p>
<p><b>Legal Compliance</b></p> <p>Changes in services and staff roles across the Council resulting in:</p> <ul style="list-style-type: none"> <li>gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate;</li> <li>inability to deliver the services in accordance with all duties and responsibilities due to lack of resource:</li> </ul> <p>in each case leading to increased risk of challenges.</p> <p>Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> <li>Increase in number of challenges with consequences in terms of already stretched resources and impact of adverse decisions</li> <li>Implementation of decisions delayed due to challenges and potentially fatally disrupted.</li> <li>Impact on projects if reputation for sound management and implementation of projects is damaged</li> <li>Major incident.</li> <li>Adverse press/media reaction</li> <li>Involvement from Welsh Government in terms of performance standards or measures.</li> <li>Increased costs on external legal support</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Professional internal legal and financial advice provided to a high standard.</li> <li>Maintaining robust decision making process with legal implications on all Council, Cabinet and Committee reports and Officer decision reports at Director level.</li> <li>Appropriate use of NPS Legal Services by Solicitors Framework to increase resilience.</li> <li>Dedicated teams in specialist areas e.g. equalities, FOI / DPA.</li> <li>Sharing training/publications received.</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Prioritisation of work to make best use of internal expertise (including programme of projects in accordance with SMT decision)</li> <li>Continue efforts with exploration of collaboration with other legal services to see if there is the potential to increase resilience and / or efficiencies.</li> <li>Further development of standard precedents with guidance for use in cases of low value/low risk/repetitive matters</li> <li>Provide legal training to Directorates to develop knowledge within Directorates of specific statutory functions.</li> <li>Encourage Directorates to ensure reports are discussed at preliminary stage in development to ensure all legal issues are addressed early</li> </ul>	<p><b>Davina Fiore</b></p> <p><b>CIlr DeAth - Skills, Safety &amp; Engagement</b></p>
<p><b>Fraud, Bribery and Corruption</b></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"> <li>Increase in frauds and losses to the Council.</li> <li>Reputational risk as more frauds are reported.</li> <li>Increased time investigating suspected fraud cases.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The Council communicates a zero tolerance approach to fraud, bribery and corruption.</li> <li>Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, Money Laundering Policy and Disciplinary Policy .</li> <li>Financial Procedure Rules and Contract Standing Order and Procurement Rules frameworks for staff to follow.</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Seek approval of a policy for Monitoring Employees at work and a management framework for its enactment.</li> <li>Work with Information Governance and Governance and Legal Services to produce a policy in respect of utilising Social Media for investigations.</li> <li>Continue to deliver the mandatory face to face training for investigating Officers to improve the standard of</li> </ul>	<p><b>Christine Salter</b> <b>(Ian Allwood)</b></p> <p><b>Councillor Graham</b></p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<ul style="list-style-type: none"> <li>Dedicated team of professionally trained and experienced investigators to prevent deter and detect fraud against the Council.</li> <li>Proactive work on National Fraud Initiative exercises led by the Internal Audit team, in collaboration with the Cabinet Office and Wales Audit Office.</li> <li>Receipt and dissemination of fraud intelligence alerts from law enforcement agencies.</li> <li>Regular reports to the Section 151 Officer and Audit Committee and the Chief Executive.</li> <li>Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority.</li> <li>Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control.</li> <li>Procurement team compliance role relating to contract procedure rules.</li> <li>Savings proposals are reviewed and supported by a robust business case and process in consideration of risks to the operation.</li> <li>Ongoing delivery of briefings to Schools on fraud and control risks.</li> <li>Cardiff Manager Programme includes session on risk management and compliance / control.</li> <li>Senior Management Assurance Statements – challenge to Directors and the Chief Executive.</li> <li>Provision of disciplinary management information on DigiGov.</li> <li>Multi-team collaboration in the development of the updated Disciplinary Policy and supplementary guidance materials.</li> <li>Mandatory disciplinary e-learning module for all managers to complete during 2016 and a programme of mandatory e-learning modules and training for Disciplinary Hearing Chairs, Investigating Officers and Presenting Officers.</li> <li>Report to Audit Committee September 16, raising awareness of the three documents published by CIPFA and an Executive Summary on Fighting Fraud and Corruption Locally.</li> </ul>				<ul style="list-style-type: none"> <li>investigations.</li> <li>Continue to deliver the mandatory face to face training for Disciplinary Hearing Chairs, and monitor training.</li> <li>Continue to build upon and enhance the mandatory face to face training programmes.</li> <li>Review process for ensuring appropriate fraud, bribery and corruption awareness for Council officers.</li> <li>Delivery of Cardiff Manager Programme.</li> <li>Review a sample of Disciplinary Hearing outcomes for consistent application of the Disciplinary Policy. Challenge inconsistent disciplinary sanctions and report findings to the Section 151 Officer and Audit Committee.</li> <li>Enhance DigiGov to facilitate changes introduced by the new Disciplinary Policy and the production of management information, by the end of quarter 3 2016.</li> <li>By the end of 2016/17 effectiveness will be measured against the Fighting Fraud and Corruption Locally Strategy.</li> <li>A Fraud Publicity Strategy has been approved, to publicise the Council's approach to counter fraud work / sanction activity and explain the roles and responsibilities of key parties.</li> <li>A draft Prosecution Policy will be presented to the Audit Committee to ensure that sanction activity is fair, consistent and in the public interest.</li> <li>Undertake a skills assessment of the investigation team and invest in training as appropriate.</li> </ul>	Hinchey - Corporate Services & Performance
<p><b>Asset Management</b></p> <p>Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.</p>	<p>Reputational / Legal / Financial / Health &amp; Safety / Stakeholders</p> <ul style="list-style-type: none"> <li>Poor use of assets / VFM.</li> <li>Lost opportunity for capital receipts.</li> <li>Increased maintenance.</li> <li>Prosecutions / fines.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Cabinet formally approved a new Property Strategy in November 2014.</li> <li>Corporate Asset Management Board and supporting Working Group now set up to raise property profile and introduce more structured, disciplined approach to management of property and the Office Accommodation Rationalisation Programme.</li> <li>Established rolling programme of 'Fitness for Purpose' reviews of all council properties providing high level assessment of the current performance and value of buildings.</li> <li>Carbon Management / Energy Efficiency - Certificates / General Awareness / Introduction of Energy Renewables Strategy.</li> <li>Established Implementation Plan for the new Property Strategy.</li> <li>Determined governance and work programme updates for new Corporate Asset Management Board at meeting in January 2015.</li> <li>Review of Investment portfolio completed. Report on future strategy and direction of non-operational estate presented to PRAP in January 2015 for onward consideration by Cabinet in June 2015.</li> <li>Asset Management Plan considered by Cabinet in July 2015.</li> <li>Future Strategy and direction of the Council's non – operational Investment Estate approved by Cabinet in November 2015.</li> <li>Asset Management Board and Partnership Board fully operational.</li> <li>Delivered targets in Corporate Asset Management Plan in 2015-17 as follows: <ul style="list-style-type: none"> <li>Gross internal floor area reduced by 3.5%</li> <li>Maintenance backlog reduced by @£4.4m</li> <li>Running cost reduced by £1m</li> <li>Delivered £6.7 million capital receipts</li> </ul> </li> <li>Corporate Asset Management Plan 2016/17 considered by Cabinet in July 2016.</li> <li>A property investment board has been established comprising officers from Strategic Estates, Capital and Revenue Accounts and also an external property advisor. The external property advisor was appointed in March 16.</li> <li>Advisor appointed in Q1 to assist with the review of all investment assets and to develop an Investment Estate Strategy.</li> <li>Completed Insole Court community asset transfer (CAT), which was the largest CAT in Wales.</li> <li>Progressing Corporate Asset Management Plan targets. In quarter 2 we achieved 0.9 reduction in GIA, 2.2% reduction in running costs, £3,054,000 reduction in maintenance backlog, and £2,401,710 in capital receipts.</li> <li>Inaugural Investment Estate Strategy completed. Approved by Cabinet and Scrutiny.</li> </ul>	D	2	Medium Priority (Amber/Green)		Neil Hanratty  Councillor Phil Bale, Leader – Economic Development & Partnerships
<p><b>Workforce Planning</b></p>	<p>Reputational / Financial / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> <li>Poor service delivery due to ineffective use of</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Workforce strategy developed and agreed by Cabinet in April 2015</li> <li>The Workforce Strategy programme has been developed to</li> </ul>	B	3	Medium Priority	<ul style="list-style-type: none"> <li>Work is being carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local</li> </ul>	Christine Salter

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
Importance of forecasting and planning to build capability and capacity for the future is not fully recognised and embedded.	<p>resources.</p> <ul style="list-style-type: none"> <li>Lack of resources with the knowledge and skills the Council requires for future delivery</li> <li>Loss of resources and recruitment problems.</li> <li>Poor morale</li> <li>Loss of experienced staff members including managers</li> <li>Reduce the likelihood of attracting high calibre managers to Cardiff Council</li> <li>Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care.</li> <li>Risk of workforce not representing the communities to which services are delivered.</li> </ul>				<p>emcompass a number of projects which relate to the requirements around this risk, including Workforce planning, Learning &amp; Decvelopment, PPDR review and Employee Voice.</p> <ul style="list-style-type: none"> <li>The Workforce planning project has a completed project brief identifying a number of key outputs required for workforce planning including with to review, develop and implement workforce planning</li> <li>Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development. The alignment of DDP's and the Workforce Strategy has been piloted within Children's Services.</li> <li>Behavioural Competence Framework implemented, including 12 behavioural competencies set out in 4 levels as a way in which the Council describes its people and jobs.</li> <li>Work is being carried out on linking processes that can be used for the identification and development of potential e.g. Recruitment &amp; Selection, PPDR and Cardiff Academy and underpinning these with the Competency Frameworks.</li> <li>Additional research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event. LGA/ Skills for Local Government hosted COP event.</li> <li>HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda.</li> <li></li> <li>Children's Services have developed a Workforce Strategy for their area which is being reviewed on a regular basis.</li> <li>Resources have held a workshop which focussed on Professional and Technical areas to inform the key skills required for the Directorate going forward.</li> <li>Work has taken place with Cardiff and Vale College to look at an Essential Skills diagnostic tool and this is now being rolled out to frontline employees through Commercial Services</li> <li>A programme of NVQ study is been discussed with Cardiff &amp; vale College and Commercial Services are coming forward with cohorts of employees to attend.</li> <li>Employee surveys carried out to identify areas where further employee engagement / development can be focused.</li> </ul>			(Red/ Amber)	<p>Authorities.</p> <ul style="list-style-type: none"> <li>The programme plan for the Workforce Strategy Programme gives full details of the improvement action plan. The milestones are set out in the programme plan and regularly reviewed. This plan is reviewed monthly through the Enabling and Commissioning Board.</li> <li>A review of the courses provided by the Cardiff Academy is taking place to ensure that these meet the skills requirements for the future.</li> <li>The Council is committed to providing apprenticeships and traineeships for young people and this programme is to be enhanced further with a specific target for 2017/18.</li> <li>The Council is to look at its resourcing strategies to ensure that it is a considered employer for young people leaving school, college and universities.</li> <li>Recruitment advertising to be reviewed and processes put in place to ensure that adverts a reaching hard to reach groups</li> <li>Work is taking place to identify areas where the employee group is not representative of the communities and actions identified of what could be done to improve this</li> <li>Actions being taken to improve the accessibility to Welsh language either through the recruitment process or through the training and development of current employees</li> <li>Development of take place of a corporately agreed skills set for the future delivery of services so that all employees and posts can be measured against this skill set to identify learning and development gaps</li> <li>Workforce planning tool kit to be rolled out to pilot areas during 2017/18 and then full rollout from 2018/19</li> <li>An IT solution to be sourced during 2017/18 in order to develop workforce planning further and to ensure that the Coucnil has available the data it requires to ensure efficient workforce planning in the future</li> </ul>	<p>(Philip Lenz)</p> <p>Councillor Graham Hinchey - Corporate Services &amp; Performance</p>