Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
EVENT DRIVEN RISKS										
Public Realm Protection – Hostile Vehicle Mitigation Vehicle Borne Improvised Explosive Device (VBIED) detonating in an area identified as a high risk crowded place, as a result of the inappropriate boundary treatments and access control processes protecting and managing it.	Service Delivery / Reputation / Legal / Financial / Health & Safety / Financial / Partnership / Community & Environment / Stakeholders Potential for:- • Large no's of fatalities, injuries to public in crowded place. • Extensive structural damage and/or collapse of surrounding buildings. • Major fire. • Damage/disruption to utilities (gas, electricity, water etc.) • Immediate impact to businesses in the Cardiff area. • Media coverage affecting public perception, leading to a loss of public confidence directly resulting in reduced business, retail and tourism revenues generated in the city. • Area to be viewed as a risk for potential future business investment. • Inability to attract major future national and international events (political, sporting etc.) • Increase in demand for council services/support for all affected. • Current economic climate to reduce the effectiveness of any recovery/regeneration of the area.	A	1	**High Priority**	• All existing identified high risk; crowded places have been formally assessed. • Most crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge. • Most crowded places have varying standards of boundary treatments protecting them; providing a limited/cursory visual deterrent but little/no protection from a hostile vehicle. • CONTEST Protect/Prepare Task & Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'. • 19 (38%) of the identified 'gateways' into the crowded places already benefit from PAS 68/69 mitigation in place, implemented as a direct result of Home Office (Crowded Places) and Olympic Legacy funding. • The estimated cost for the procurement and installation of the PAS 68/69 mitigation and ancillary services is £3.6 Million. • Work is ongoing with City Operations to advise developers across the city in relation to appropriate mitigation required. • The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters. • The Tabernacle Access Control Document is fully operational and sits as an annex document to the main City Centre Access Control Protocol. It enables the Urban Traffic Control Officers to better manage Tabernacle 'users', covering their requirements whilst adhering to the existing Traffic Regulation Order. • Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services & Cardiff Council provide Project Argus and EVAC/Griffin training across the city to raise awareness for likely impacts associated with major incidents and in particular, terrorist attacks. The sessions also cover the support likely to be immediately available from the emergency services and Cardiff Council, the practical and simple preparations people/organisations can make prior to incident occurring to help themselves manage and recover from its impacts.	B	1	**High Priority**	• 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. • The CONTEST Protect/Prepare Group will give a status report to the Cardiff CONTEST Board • 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. • £500k grant has been awarded by Welsh Government to provide improvements to Hostile Vehicle Mitigation Measures. This grant has to be spent by 31st March 2017 and therefore City Operations have procured equipment / materials. • £250k Financial Resilience Mechanism (FRM) funding has been allocated in 2017/18 for the delivery / installation of the above equipment and this will be delivered after the Champions League Final due to the need to design and procure a contractor for installation. • The work that will be completed will improve the protection of the City Centre public realm but further funding will be required to conclude the protection of identified public realm.	**Andrew Gregory**
Welfare Reform 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, restriction of social housing rents to LHA levels, removal of automatic entitlement to housing costs for under 21s. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.	• Private landlords stop renting to benefit claimants • Social housing rents become unaffordable to some claimants, in particular those under 35 and with large families. • Increased homelessness and demand for temporary accommodation • Increased rent arrears, increased evictions • Redeployment / Severance for 140 benefits staff • Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties. • Barriers to building additional affordable housing • Supported accommodation becomes unaffordable impacting on social services and vulnerable homeless clients.	A	2	**High Priority**	• Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit. • Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help tenants to move accommodation where necessary. • Timely information is being given to claimants to help them respond to the changes. • A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move. • A new Welfare Liaison team has been created within the housing service to assist tenants affected by the changes. Work has been carried out to identify those affected by the reduced Benefit Cap and to advise them accordingly and to identify the most vulnerable families and award DHP. • Universal Credit has commenced in Cardiff, still fairly small numbers at present. 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, these services are greatly in demand. • 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. • The Advice Hub in Central Library is providing comprehensive advice services for those affected by Welfare Reform. • The Tackling Poverty Group and subgroups are working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected. • Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate. • Digital inclusion training and banking support has been successfully implemented and will continue to be monitored. • Into Work Services are providing services across the city and helping people get back to work with particular focus on those families affected by the benefit cap.	B	2	**High Priority**	• 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. Funding has recently been provided to provide Advice and Into Work services in food bank and other community locations where hard to reach individuals attend. • 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. • Working groups are ongoing to support social tenants affected by ongoing Benefit Caps, involving RSLs, children's services, families first and a range of other partners who may be able to help support these families. • Regular meetings are held with social housing providers to monitor and improve processes. • DHP spend is being monitored carefully, full spend is expected for 16/17. Work is ongoing to establish the proposed expenditure for 17/18 focusing on the most vulnerable individuals or helping people with the transition into work. • 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. • Full implications of the removal of automatic entitlement for under 21s is not yet known and further work will be undertaken to understand this further. • Sub group set up to consider the impact of changes on Supported and temporary accommodation.	**Sarah McGill** **(Jane Thomas)**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
Cyber Security The ability to protect information systems (hardware, software and associated infrastructure), the data on them, and the services they provide, from unauthorised access, harm or misuse. This includes harm caused by the operator of the system (intentionally or accidentally) as a result of failing to follow security processes. The principal external threat groups to information systems are categorised by HM Government as cyber criminals, states and state-sponsored, terrorists, hacktivists and script kiddies.	Reputational / Legal / Financial / Stakeholder / Service Delivery / Health & safety The intent of cyber attackers includes, but is not limited to: • financial fraud; • information theft or misuse, • activist causes to render computer systems intolerable and to disrupt critical infrastructure and vital services. The impact of a cyber-attack / incident has the potential to involve the realisation of the risks associated with: • An information governance breach (i.e. Stop Now Order, Information Notice, Enforcement Notice, Financial Penalty etc.) • A business continuity incident – with a potential for major loss of service and legal, health and safety and financial implications. • A financial / fraud related attack. A malicious attack could result in loss of confidence from those transacting with the Council (reputation), as well as legal, asset, system, operational and financial implications.	A	1	**High Priority**	• A cyber security maturity assessment was made in Q4 2016/17 against 11 risk factors following the National Cyber Security Centre approach (based on network security, user education and awareness, malware prevention, removable media controls, secure configuration, privileged accounts, incident management, monitoring, home and mobile working policy, risk management regime and corporate cloud security). • The maturity self-assessment concluded that the Council has: - strong malware prevention, user privileges and home and mobile working controls. - adequate / mature risk management regime, network security, user education and awareness, removable media controls and incident management. - a need for senior management team (SMT) to collectively assess the effectiveness of secure configuration, monitoring and corporate cloud security controls. • The cyber security maturity assessment underpins this summary corporate risk and regular monitoring has commenced to drive risk-based prioritisation and actions.	C	1	**Medium Priority** **(Red/Amber)**	• Escalate risks around secure configuration, monitoring and corporate cloud security controls to SMT for discussion on ownership and response in Q1 2017/18. • ICT and Information Governance (IG) Teams to liaise with a number of functions in Q1 2017/18 to gain assurances as follows: - FM – physical building security - Commissioning and Procurement – contractor and third party user controls - HRPS – the robustness of induction information - Emergency Management – seek assurances that there is regular testing of the emergency management procedure for gold/silver command. • ICT and IG to review online training, in particular consideration of the GDPR by Q2 2017/18. • ICT lifecycle and notification targets included in 'ICT Platforms' risk actions. • Information Security Board to review governance linked to Privacy and Cloud Impact Assessments.	**Christine Salter** **(Phil Bear)**
Waste Management Failure to achieve targets for Landfill. '0' 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.	Reputational / Financial / Stakeholder / Service delivery / Legal / Environmental / Community • Significant financial penalties for failure at up to £200/tonne or incorrectly capture tonnage data. • Procure disposal elsewhere with additional costs. • Reputation damage • Increased costs of landfill and alternative treatment markets • Risk to grant funding (currently £6.9m 2016/17), potential in year cuts, future year grant reductions and changing terms and conditions • No MTFP for future grant funds or capital confirmed by WG • Reducing Grants; reducing worldwide market values for recyclates; market collapse for recycling outlets • Risk of legal challenge • The risk of fines remains high due to seasonality of recycling performance and green waste which could lead to a status quo in recycling performance or at worse a drop in performance. • The targets for statutory recycling in 2016/17 was 58% rising to 64% by 2019/20, therefore, the risk rating remains high. • Waste growth and commercial expansion remains a challenge as it brings in new residual waste. • A high risk remains in the materials market where fluctuations are influenced by world-wide pricing which is affecting the volume of material recycled.	B	1	**High Priority**	**Policies / Strategy** • Previous updates contain the policy position improvements between 2008/2015. • Waste Management Strategy 2011/2016 was approved on 13th January 2011 and was revised and approved in April 2015. Keys aspects continue to be implemented from the strategy. • Several progress reports have been made to Cabinet and Environmental Scrutiny in that period. • Monthly performance tracking of recycling has been established to help predict the end of year position. • Steps taken to improve MRF processing rates means less waste to treatment. • Commercial recycling centre opened March 2014, its performance is increasing with more commercial HWRC being identified. Growing the customer base continues. • Focus on pre-sort on the HWRCs is showing improvements in site recycling. Target of 80% recycling and reuse. • 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 2015/16. The Flats/ HMOs Strategy to improve waste and recycling collections from flats is designed to enable greater recycling and food waste from hard to capture areas, was implemented in 2016/17. This included a business case on current recycling methods. • The sweepings contract is secured and operating. • Seasonal hours changes and proof of residency at the HWRCs has resulted in tonnage reductions and savings from not processing non Cardiff waste and recycling. • The first phase of the Waste Management strategy was delivered in December 2016, which was the free reuse and recycling bulky collection service. • Restrictions to Cardiff domestic householders for residual waste through the introduction of 140 litre bins have reduced residual waste tonnage profiles in 2016/17. **Risk of Fines** • The risk of failing the biodegradable limits to landfill has been significantly minimised due to the current treatment and disposal routes. • Secondary recycling is being carried out on residual waste to increase recycling rates.	C	2	**Medium Priority** **(Red/Amber)**	**Policy / Strategy** • Explore reuse partner(s) as market test and initial procurement was not successful, work is ongoing to secure a partner(s). Working with other Local Authorities to explore TEEP business cases and/or exploring joint working options. • Delays have been experienced in the HWRCs changes, which will reduce the recycling potential and waste minimisation activities that were planned for 2016/17 onwards. **Risk of Fines** • Ensure correct recording of waste tonnages from Neighbourhood Services to ensure exclusion of Non MSW waste that was not previously counted towards the targets. **Contracts / Projects** • New markets for carpets and have been tendered and will be awarded in quarter 1 of 2017/18. **Prosiect Gwyrdd** • Continued management of the contract to ensure treatment and diversion of residual waste in line with the contracted positions. • Working in partnership with Viridor to ensure appropriate wastes are presented for treatment, to reduce rejects and increase recycling. **Cardiff Organic Waste Treatment Contract** • Continued management of the contract to ensure treatment and diversion of residual waste in line with the contracted positions. • Working in partnership with Kelda to reduce levels of contamination and ensure appropriate wastes are presented for treatment, to reduce rejects from the process and for other wastes to be recycled by the appropriate routes. **Household & Commercial Waste Collections** • Set and achieve new commercial recycling opportunities for new materials and new income opportunities – targeting commercial food collections and schools.	**Neil Hanratty**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					Contracts / Projects • Several Contracts have been put in place for additional materials to be recycled from the HWRC's. • Interim contract in place for disposal of biodegradable green/food waste • Aggregate recycling is now in place. • Recycling litter bins are in place in the city centre. • New initiatives such a charging for bulky waste, commercial recycling centre, sweepings, mattress and carpet recycling schemes are all underway. • New HWRC delivery model is underway. • New free reuse and recycling bulky collection services strategy 2016. • New markets for mattresses have been tendered and awarded in 2016/17. • Recycling Waste Management focus on pre-sort high quality recycling and removing the reliance on post sorting of waste. **Prosiect Gwyrdd** • Financial Close occurred December 2013 Viridor are the appointed contractor which commenced Sept 2015. Removes risk of failing biodegradable waste limit to landfill. **Cardiff Organic Waste Treatment Project** • The procurement of a processing contract and facility for food and green waste was completed for both Cardiff and the Vale of Glamorgan, with Kelda Organic Energy being appointed contractor. Full Service Commencement was achieved 1st April 2017, providing sustainable diversion of organic waste from landfill. **Household & Commercial Waste Collections** • Implemented changes to household waste collections to align service with the WG recycling blueprint e.g., smaller fortnightly black waste collection (with accompanying hygiene services) and weekly food and dry recycling and fortnightly green waste. • Commercial waste operations have refined the marketing package for recycling in the commercial sector to increase recycling from commercial waste collected by the Waste Collection Authority that is included in the total MSW (and therefore relevant to statutory targets). **Collaboration work** Working and engaging with Welsh Government on legal and policy changes				• National government discussions are underway regarding co-mingled recycling issue. Modelling has been undertaken on the best option for Cardiff and concluded a twin steam is the best option. Further steps will be developed to assure compliance with WG blue print. **MRF** • Complete procurement and installation of Auto Sorter for mixed plastics and fibre products e.g. paper and cardboard by end of Q2. • Develop business case for kerbside collections of separated glass and report to Cabinet.	

Education – Schools - SOP
 	
Large scale Capital Programme (£164m) with tight timescales for delivery, in context of very rapidly growing primary age school population.
	Reputational / Legal / Financial / Social / Stakeholder / Health & safety.
	
	• Insufficient primary places in some areas of the City.
	• Further degeneration of school buildings
	• Reducing educational standards.
	• Project cost and time overruns
	• Risk that Welsh Government do not approve individual project funding if not satisfied with Business Cases.
		B	1	**High Priority**	• A significant proportion of the Schools Organisation Programme has been delivered to date including:-
					
					   ▪ A new Pontprennau Primary School
					   ▪ Refurbishment to Millbank Primary School
					   ▪ An extension to Adamsdown Primary School
					   ▪ An extension to Coed Glas Primary School
					   ▪ An extension to Ysgol Y Wern
					   ▪ New Science Block at Fitzalan High
					
					• These address in the main the sufficiency issues in the Primary Sector.
					
					• The Procurement of the new Eastern High School, in partnership with Cardiff & Vale College is complete, the construction contract signed for £26m with Willmott Dixon and the buildings works commenced on site in 2016. Due for completion December 2017.
					
					• The procurement of the 3 new primary school buildings for Howardian Primary, Ysgol Hamadryad and Ysgol Glan Morfa is complete. Planning approval received for Howardian and Glan Morfa - Hamadryad delayed until June. Proceeding to contract for the first two to start on site in May 2017.
					
					• The procurement of the new High School in the West has commenced with a contractor been appointed to design & building the school in January 2017. Proceeding to pre planning in May followed by full planning submission in august.
					
					• Assets being considered corporately to maximise the opportunity to focus funds realised within the Council and through other sources on fewer high quality buildings.
					
					• Extensive work on the 21st Century Schools Band B funding now to take place during 2016 to submit progress to WG in autumn 2017.
					
					• Restructure of team completed.
						C	3	**Medium Priority**
								
								(Amber/ Green)
									All risks being monitored and reported to Schools Programme Board.
									
									• 'Turn Key solutions' being progressed on all new school builds i.e. one contract, single point of management and responsibility
									• Two step procurement methods being undertaken on all procurements
									• Standardised design methods being used where possible
									• Continued active dialogue with Welsh Government and other professional parties to support progress and development
									• Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward
									• Ensure consistent monitoring and reporting of all risks to Schools Programme Board.
									• Capacity strengthened in SOP Team.
										Nick Batchelar
										
										(Janine Nightingale)

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
ONGOING RISKS										
Non Completion of Statutory Building Equipment Maintenance A complete up-to-date accurate register of all relevant asset surveys requires completion. Currently statutory obligations testing is not organised in a consistent and centrally managed process across the Council. As a result there is a risk that all required testing may not be completed correctly. Also, there is no embedded technology in use consistently to manage the statutory obligations work or the storing of relevant statutory obligation documentation.	Potential consequences: • Fatalities or serious injuries • Closure of part or whole of facilities with major disruption to service delivery • HSE interventions and consequential actions including fines and prosecution; • Significant additional expenditure requiring realignment of Corporate budgets; • Temporary relocation of staff • Temporary loss of operational service • Invalidation of insurance policy • Serious adverse impact on reputation • Damage to fabric of building or other equipment	A	1	**High Priority**	Competent contractor in place to undertake statutory obligations testing and consequential remedial work; RAMIS Statutory Obligation Compliance software system procured and in process of being commissioned. This will replace spreadsheet system currently in place; Electrical testing and works monitored/supervised by qualified internal staff Electrical certificates received and reviewed by qualified internal staff C1/C2 electrical remedial works identified through testing are attended to appropriately and immediately by contractor undertaking electrical works Spreadsheet database established to record status of statutory obligation compliance across whole Council estate Audit of compliance recently completed (March 2017). As a result, there is a very much improved understanding of the current level of statutory compliance; Planned Preventative Maintenance Certificates are held centrally and can be easily accesses via computer (to be transferred to RAMIS) Corporate Landlord Model Programme Brief has been approved by the Programme Board – objective is to create one point of contact in the Council to lead on all property matters across the Council's estate	B	1	**High Priority**	Strengthen monitoring and supervision of contractors undertaking statutory obligations testing and works; Complete installation of RAMIS, training of staff, and uploading of information into system – Qtr 4, 17/18 Commission investigations/work to complete required compliance testing (and works if required) in respect of 'gaps' in compliance status identified through the audit (March 2017) – Qt1, 17/18 Establish In house Statutory Obligations Team to manage the undertaking of the statutory obligations surveys/work across the Council – Qtr 1, 17/18 Strengthen the Council's Health and Safety Team including the appointment of a new Operational Manager with a role to independently 'police' statutory obligations compliance across the building estate – Qtr 1, 17/18 Commence implementation of the Corporate Landlord Model - Qtr 1, 17/18 Engage with CLAW (Consortium of Local Authorities in Wales - supports the professional and technical interests of property management in local government in Wales) to benchmark statutory obligation compliance performance and benefit from experience of other Welsh authorities Introduce a Landlord/Tennant agreement in respect of all Council buildings to ensure the requirements for statutory obligations are clearly identified – Qtr 1, 17/18 Undertake appropriate training to ensure that all Council building Duty Holders have a clear understanding of their statutory obligations compliance responsibilities – Qtr 1 17/18; Address concerns raised by HSE regarding work undertaken by Allianz (company appointed by Council Insurers); Undertake a condition survey of priority buildings and 'tag' all equipment and store information on the asset register. The information obtained from the surveys will be used to prioritise maintenance work going forward – commence Qtr 1, 17/18 Introduce new technology to assist in improving the scheduling, commissioning, monitoring and auditing of statutory obligations work – by Qtr 4, 17/18	**Neil Hanratty** **(Tara King)**
Education Consortium & Attainment The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.	Reputational / Legal / Financial. • Budget implications. • Educational standards falling behind other LA's. • Potential impact on Estyn judgement for LA. • Intervention from WG	B	1	**High Priority**	There have been continuous improvements in nearly all the outcome indicators at all key stages, although the performance of a few of Cardiff secondary schools is still a significant concern. The work of the school improvement service commissioned from the regional consortium is now based on clear priorities and a good understanding of Cardiff schools. Cardiff schools are being challenged more rigorously and supported more effectively to improve. 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. 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. 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 number of Cardiff schools have been appointed as Pioneer Schools to develop the new curriculum over the next three years in line with "Successful Futures".	C	2	**Medium Priority** **(Red/ Amber)**	• Officers will continue to ensure the agreed commissioning arrangements are refreshed and delivered and impact positively on the performance of schools. • Education Directorate delivery plan now refreshed with clear accountabilities and performance measures. These will be share with the consortium and associated roles, responsibilities and accountabilities agreed. • Recruit a Secondary senior challenge adviser with well-developed knowledge and skills to build on the progress made to date.	**Nick Batchelar** **(Angela Kent)**
ICT Platforms Unsuitable/ Outdated The ICT platforms (desktop, software, network, servers, and telephones) will not be able to	Reputational / Financial / Stakeholder / Service delivery. • Loss of PSN services. • Service delivery impacts from unreliable/unavailable ICT systems. • Cardiff seen as unable to deliver on aspirations. • Poor morale from frustrations with inability to deliver	A	2	**High Priority**	• Measurements put in place to track impact • Existing ICT budget spend focused on dealing with critical issues, capital and revenue budget resource provided in 2012-15 to address major issues, medium term financial plan investment programme in place for subsequent years. • Spending complete for renewal/upgrade of highest risk items, in particular	B	3	**Medium Priority** **(Red/ Amber)**	• Development of lifecycle monitoring and clearer customer engagement. • Pilot leasing scheme within schools to be considered for corporate desktop estate • Monitored on the Corporate Risk Register.	**Christine Salter** **(Phil Bear)**

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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.	services. • Potential for income losses from revenue collection impacts. • Unable to meet delivery deadlines on both business as usual and transformation projects.			**High Priority**	firewalls, core servers/switches and external bandwidth. • New system down analysis process in place to ensure that key pressure points are rapidly identified and fixed at minimum cost until full programme can be initiated. Recent issues with telephony have resulted in retargeting of some resources to focus on weak points now identified. • New deliveries are all being designed for a 99.99% minimum uptime, with critical systems targeted at 99.999% (equating to less than 6 minutes per year) • Active projects underway and the current aged file storage solution have been replaced and cloud based storage for additional resilience and flexibility is being assessed. Other projects underway to replace many of the core older back end servers. • Corporate file storage systems replaced and new disk to disk backup option installed to improve performance and resilience • Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced. • Additional load balancers to be purchased for application resilience in key systems. • Full renewal programme for all desktop, software, network, servers, and telephones, appropriate to Cardiff's ambitions and resources. • Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority • Refresh of existing SAP, thin client and virtual server farms • Assessment of equipment required replacing to maintain PSN compliance • Further revenue and capital investment in 2014-16. • Migrate VM infrastructure over to Pure Storage. Project initiated and led by ICT Server Manager. • Migrating users from CAG to ASA. Project plan in place to move over users.			**Medium Priority** **(Red/ Amber)**		
Safeguarding Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners.	Reputation / Financial / Stakeholders / Service delivery / Legal / Partnership / Community • A children or adult/s suffers avoidable significant harm or death. • Reputation of Council and partners. • Severe adverse publicity. • Potential regulator intervention. • Loss of confidence by the community in the safety of children and adults. • Loss of confidence of staff in the overall "safety" of the service, impacting on morale, recruitment and retention. • Potential litigation with associated financial penalties.	B	1	**High Priority**	• Implementation of Social Services & Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding. • Strategic review of safeguarding governance across the region in partnership with the Vale of Glamorgan Council. • Strategic review of the functioning of the Regional Safeguarding Adults Board completed. • Ongoing implementation of the Child Sexual Exploitation Strategy. • Implementation of the Corporate Safeguarding Board work programme. • Growth proposals for operational safeguarding capacity identified as part of 2017/18 budget.	C	1	**Medium Priority** **(Red/ Amber)**	• Strategic review of the functioning of the Regional Safeguarding Children Board (imminent). • Training staff in relation to Adult Protection Orders. • Cardiff Council to host the all-Wales Adult and Child Protection Procedure re-write.	**Tony Young** **&** **Davina Fiore**
Budget prioritisation 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 settlement figures from the Welsh Government).	Reputational / Financial / Legal / Service delivery / Stakeholder • Risk of failing to meet statutory obligations. • Risk that service delivery impacted due to uncertainty in the budget planning process resulting in decreasing resources or failure to effectively prioritise spend in line with Corporate Plan Objectives. • Risk that settlement figures will not be as anticipated giving an element of uncertainty to any proposals from Cabinet during public consultation and beyond. • Risk that savings identified as part of business as usual and efficiencies have not been robustly reviewed for achievability and will not deliver as planned. • Risk that financial constraints and budget proposals result in unintended consequences such as increased instances of non-compliance and financial impropriety. • Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa. • Risk of unbalanced budget as savings required over	A	1	**High Priority**	**2017/18 and Medium Term** • The 2017/18 Provisional Settlement received on 19 October 2016. Final Settlement 21 December 2016. • Budget approved at Council on 23 February 2017 • 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 continued to be used for 2017/18 in order to reduce future risk but allow one-off investment and development in the meantime. • The final 2017/18 Budget was underpinned by Directorate Savings of £13.264m and Addressable Spend Savings of £3.743m; a total of £17.007m • 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. Further work will progress May 2017. • The MTFP set out in the February 2017 Budget Strategy Report shows an estimated Budget Reduction Requirement of £80.907m for the medium term (2018/19-2020/21). • The July Budget Strategy Report looks to identify £17.007m savings for 2017/18 with the use of earmarked reserves, Council Tax increase and Cap on	C	2	**Medium Priority** **(Red/ Amber)**	**2017/18 and Medium Term** • 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. • 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. **Medium Term** • Continued due diligence, challenge of proposals and development of detailed plans for both 2018/19 to 2020/21	**Christine Salter** **(Ian Allwood)**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
	the medium term become harder to achieve and their impact on service delivery more difficult to manage. • Risk that organisational development does not align to the financial strategy in relation to budget reduction requirements. • Additional obligations such as Wellbeing of Future Generations Act leading to Council failing in statutory duty.			**High Priority**	schools growth to identify the remaining £7.873m. • 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. • Close working with Policy team in respect of alignment with Corporate Plan and duties under Wellbeing of Future Generations Act.					
Financial Resilience 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.	Reputational / Financial / Legal / Service delivery / Stakeholder • The risk that the Council will not be able to react to adverse situations through a combination of poor imprudent planning and significant challenges such as increasing demands for services such as social services, education, roads etc. • The risk is that the Council will not be able to operate within the financial funds available to it and fail in its statutory duty to deliver services. • Reputational risk of defaulting on creditor / payroll payments thus creating uncertainty across the community of Cardiff and beyond. • 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.	A	1	**High Priority**	• The Council regularly reports in relation to its financial performance and monitoring. • 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. • 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. • 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. • 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 & Feb 17), Budget Strategy (Jul) and to Audit Committee.	C	2	**Medium Priority** (Red/ Amber)	• Key stakeholders are briefed on this position and financial triggers against this snapshot continue to be developed and reviewed. • Work in respect of improving savings plans continues in order to increase the % of savings proposals accepted that delver. The key focus is due diligence, challenge and development of detailed plans but with an emphasis and accountability to the directorate which proposed the saving. Savings documentation has also been reviewed and developed with the aim of ensuring consideration and capture of key factors relating to savings proposals. • Links between the MTFP, OD Programme, Service Plans and Improvement Plans continue in order to further build on work already undertaken in the Budget Strategy Work Programme.	**Christine Salter** **(Ian Allwood)**
Budget Monitoring (Control) 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.	• Inability to balance spend, against budget, for the financial year. • Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet corporate plan objectives. • Requirement to drawdown from General Reserves at the year end. • Impact on the 2016/17 Budget where issues remain with achieving 2015/16 budget savings and any unachieved savings brought forward from 2014/15.	A	1	**High Priority**	• Clear financial procedure rules setting out roles and responsibilities for budget management are in place. • In recognition of the quantum of savings and the risks posed a £4 million General Contingency was allocated in the Budget. • Availability of General Reserve should this be required. • 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. • As part of the 2016/17 Budget process £3.029m of these budget savings not achieved were written back into the budget. • 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. • The 2016/17 Month 9 monitoring report presented to Cabinet highlighted a balanced position. Directorate budgets projected to be overspend by £7.032 million partially offset by general contingency of £4 million. • Full financial monitoring processes is in place for month 3 to 11 of the financial year including achievement of budget savings with months 3 to 10 completed. • Monthly meetings held between service accountants, directors and Cabinet Members.	B	2	**High Priority**	• 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 the 2017/18 budget progresses.	**Christine Salter** **(Allan Evans)**

Health and Safety
 	
Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.
	Reputational / Legal / Financial / Service delivery
	• Fatalities
	• Serious injuries
	• Prosecution – fines for body corporate and/ or fines/imprisonment for individual
	• Claims
		A	1	**High Priority**	• The team is currently being restructured, an OM1 post for Head of Health and Safety to be advertised. SLA with Caerphilly Council to end on the 4 May 2017.
					• Following this appointment proposed new structure to be implemented which will increase the competency of the Health and Safety Team in order to implement a programme of Corporate Governance.
					• Framework for Managing Health and Safety to be reviewed utilising the RAMIS system to monitor statutory compliance as well as using the system to undertake audits/inspections and monitor actions are closed out (currently not achievable using CIS).
					• Health and safety monitoring/support for schools is an issue, one competent officer supporting Education is not sufficient to achieve improvements in compliance standards in what is a high risk directorate.
					• Concerns regarding statutory compliance on the range of statutory issues including:-
					  - Asbestos Control
					  - Fire Safety
					  - Electrical Safety
					  - Gas Safety
					  - Legionella Control
					• Quality of Risk Assessments across the Council is varied and improvements required in consistency and quality in some areas.
					• Health and Safety Advisers carry out a programme of general health and safety audits, focussing on high risk activities, and undertake other inspections / investigations as necessary. Increased competency required on specialist risks such as asbestos, fire and CDM in order to appropriately monitor and report on H&S risks.
					• Policy and Codes of Guidance reviewed, further work required in this area
						B	1	**High Priority**	• Due to the compliance issues which have emerged over the past six months it is clear that the Service Level Agreement commenced in March 2016 is not sufficient in terms of management time to deal with the emerging issues. A new OM1 post has been agreed with unions and is being advertised. The successful candidate will implement a restructured H&S Team with a focus on Corporate Governance on H&S Matters. The Council will benefit from officers with competency in Fire Safety, Asbestos and CDM in order to meet the H&S management and monitoring needs.
									• Statutory Maintenance Compliance – An Improved position on compliance is required with central control of records and monitoring and reporting of compliance statistics. This will be achieved by the use of RAMIS to manage all statutory maintenance inspections and resulting remedial tasks on Council premises. The system has been purchased and is currently being configured in order to progress an implementation plan to be drafted and agreed by the end of April. The current position with regards to statutory compliance is being reviewed by Strategic Estates with SMT being provided with a gap analysis. HSE inspection undertaken on electrical safety (24/3/17), two improvement notices issued. Statutory Maintenance Audit included in 2017/18 Health and Safety Objectives, Building Managers and Health and Safety to undertake.
									• Health and Safety support to schools to be included in the restructured Health and Safety team and funded via a SLA
										Christine Salter

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					going forward to ensure that all policies are up to date and reflect current practice within the Council.				service with schools. This will improve the standards of health and safety practice and compliance as well as avoid schools paying for external consultant's whose competency is questionable. • Risk Assessment Library to be included in the RAMIS system and populated by Service Areas, this will permit audit and review of risk assessments and will remind Service Areas of review dates – to be included in the RAMIS implementation plan. Service areas requested to review Risk Assessments via. 17/18 corporate Health and Safety Objectives. • 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. • Health and Safety training via. The Academy commenced in October 2016, a suite of Corporate H&S courses are currently being offered, it is hoped that the SLA with Caerphilly for this service can continue. Competency in asbestos management is required for employees and contractors, included in Health and Safety Objectives for 17/18. • 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. Requested reviews of entries have generally not been undertaken by the timescale stipulated, this will result in out of date entries being removed, prior to reconfiguring the new system. Users who have not accessed the system during the past 12 months will also have access withdrawn but will be advised to contact Health and Safety to re-instate access if required.	
Climate Change & Energy Security Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.	Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health & Safety Flooding & increased frequency and severity of storm events: • Loss of life and personal injury • Direct damage to property, infrastructure and utilities • Contamination and disease from flood and sewer water and flood on contaminated land • Increased costs of insurance • Break up of community and social cohesion • Blight of land and development Increased summer temperatures: • An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services • An increase in demand for limited water supplies • Damage to temperature sensitive infrastructure (transport systems, electrical systems). • Migration of biodiversity. Inconsistent energy supply and cost: • Inability to deliver public services • Decrease in economic output • Disruption to the supply of utilities • Increased transport costs • Increased costs for heating / providing services to buildings • Increased fuel poverty	B	1	**High Priority**	**Emergency Management Unit** Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) structure to ensure planning is carried out with consideration of flood risk. • Cardiff Area Community Risk Register is developed and reviewed on a regular basis by the Cardiff Area Risk Group. It takes into account changes in the national risk register and how those changes affect Cardiff. We are engaging internally with The Welfare of Future Generations Act to integrate the community work with the Councils strategy and externally with voluntary organisations such as C3SC to provide training to community groups across Cardiff • Cardiff Council Emergency Management Unit have in place a long term communication strategy in Cardiff in conjunction with multi agency partners highlighting flood awareness alongside other emergency eventualities such as extreme temperatures and how residents, businesses and communities can be aware of the risks in their area and hence better prepare for them should that risk materialise. Cardiff has 5 active community flood plans with others in the planning stage. We have produced a 'Preparing for Emergencies – A Guide for Communities' document which is now available to all agencies and organisations. It provides information on how to prepare, respond and recover from an incident including flooding. The document can be found via the following link; https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Emergency-Planning-and-Resilience/Pages/default.aspx 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; http://www.wales.nhs.uk/docopen/218909/ **Energy Management Unit** Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) structure to ensure planning is carried out with consideration of flood risk. • Cardiff Area Community Risk Register is developed and reviewed on a regular basis by the Cardiff Area Risk Group. It takes into account changes in the national risk register and how those changes affect Cardiff. We are engaging internally with The Welfare of Future Generations Act to integrate the community work with the Councils strategy and externally with voluntary organisations such as C3SC to provide training to community groups across Cardiff • Cardiff Council Emergency Management Unit have in place a long term communication strategy in Cardiff in conjunction with multi agency partners highlighting flood awareness alongside other emergency eventualities 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	B	1	**High Priority**	**Flood Risk Management** • An officers flood working group has been established to improve internal and key stakeholder communications on flooding issues. • 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 • 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 • 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 to develop a Project Appraisal Report to manage coastal flooding and erosion risk. The appraisal must consider wider benefits, and project appraisal will seek to identify options to remedy coastal erosion and will also have a consideration for the coasts flood defence standards. **Emergency Management Unit** • 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 **Sustainable Development Unit** • Climate Change to be considered as part of the Well-Being Assessment and subsequent actions in the Well-Being Plan. • 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. **Energy Management Unit** • Progress has been made to establish up to date energy budgets. • Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, deliver the Affordable Warmth Strategy through measures such as ECOt2 and Green Deal opportunities, provide supplementary planning guidance on passive and	**Andrew Gregory**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					produced a 'Preparing for Emergencies – A Guide for Communities' document which is now available to all agencies and organisations. It provides information on how to prepare, respond and recover from an incident including flooding. The document can be found via the following link; https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Emergency-Planning-and-Resilience/Pages/default.aspx Energy Management Unit • The Council procures competitive energy contracts through the Crown Commercial Services on a 6 monthly purchasing window for the following 12 month financial year. • Key sites are fitted with back-up generators for emergency backup, specifically for IT systems. • The Carbon reduction Strategy 2022 identifies projects and activities through 4 strands in order to achieve a 35% reduction in the council's carbon emissions from electricity and gas by 2022. These include; Renewables, energy Efficiency, Design and Asset Management and Behaviour Change. • The new strategy is accompanied by a project programme which is currently being implemented with projects categorised across all strands. • 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, • Progress in 2015/16 has achieved a 6.9% reduction in carbon versus 2013/14 baseline. Local Flood Risk Management Strategy 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 & Coastal Risk Strategy guidance. The LFRMS integrates; the PFRA, a coastal protection strategy, stakeholder communications and sets a clear corporate approach to flood management. Flood Risk Management Plan 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. 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: • Highlighting the areas most at risk of flooding from surface water, ordinary watercourses and groundwater in Cardiff Council's area; • Draws conclusions from these risks; and • Sets out the measures that will be implemented over the 6 year cycle to mitigate these risks and make our communities more resilient. Planning 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. Sustainable Development Unit • Changing Climate, Changing Places pilot project. • Strategic climate change resilience action plan approved by Cabinet in 2013 as part of a wider One Planet Cardiff Cabinet Report. Actions and recommendations in the plan cover heat planning and flooding issues. • Corporate PI on climate change resilience developed to 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. • 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.				renewal heating systems to new build and retrofit schemes. • Energy security related issues to inform corporate financial systems revised buying and power consumption monitoring arrangements to save money and reduce demand and provide corporate & community planning for Energy City Wide to Business and public sector. • Further guidance to be disseminated to service areas on energy security and energy savings opportunities such as implementation of Carbon Culture, delivering extensive energy invest to save programmes on the Council Estate. • Delivering renewables within larger properties to lower dependency to grid supply. • 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. Planning • Use Project Management techniques and partnership working to effectively manage process of preparing LDP Annual Monitoring Report (AMR) and programme of Supplementary Planning Guidance (SPG).	

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
Information Governance Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools	Reputational / Financial / Legal / Service delivery / Stakeholder • Leads to the Information Commissioner issuing notices of non-compliance • These could consist of: • a Stop Now Order which would mean that no personal data could be processes by the Council in its entirety • An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery • Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit • Enforcement Notice requires immediate improvement action to be put in place • Financial Penalty up to £500,000 (currently) • The General Data Protection Regulation will come into force in May 2018 and puts in place a new Enforcement Regime and financial penalty structure. The maximum fine will be 4% of turnover or 20,000,000 euros	A	1	**High Priority**	• Information Security Board chaired by the SIRO held quarterly. • Suite of Information Governance Policies in place. • Processes for Information Requests, Data Loss in place. • The Information Governance Training Strategy in place and a revised e-learning programme developed to take forward data protection training. This e-learning platform is a bilingual training programme. • Information Requests and Training compliance monitoring reports provided and reported to Information Security Board, SIRO. • The processing of CCTV requests (section 35 requests) has been centralised to ensure that these are dealt with appropriately • ICO Consensual Audit determined that the Council is considered to have a 'reasonable level of assurance' in place • Procurement contracts to include a clause regarding 3rd Parties processing personal data • Privacy Impact Assessment process realigned and a PIA Board established to ensure that the Council, when changing systems and processes where personal data is involved, considers relevant legislation. (in preparation for the new EU requirements) • PQA process includes the requirement for PIA's where personal information is being processed • Advice and assistance provided to the National Adoption Service and Rent Smart Wales continues as Cardiff Council is the Data Controller for these services • Advice and assistance provided to collaborative services of the Educational Consortium, Vale, Valleys and Cardiff Regional Adoption Service where Cardiff is not the Data Controller • Advice and Guidance Service in operation to Cardiff Schools (with the exception of Eastern High and St Illytds) to support compliance within schools and governing bodies • Advice and guidance available to Directors and Lead Officers on the Information Governance aspects of Alternative delivery Models • Digitisation of Records forms part of the considerations of the OD Programme for services becoming 'digital by default' • Work to support the Shared 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	B	1	**High Priority**	• 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 • The remaining 10% of Information Requests siting in Directorates will be brought into the Information Governance Team during qtr. 1 of 2017/18 in line with the 'One Council Approach'. • An Information Governance Maturity Model and Assessment will be considered by the SIRO in qtr. 1 of 2017/18 and the CRR entry revised using this as the source evidence. • The Digitalisation of Paper Records Strategy and associated business process changes will be introduced in qtr. 1 of 2017/18 • A gap analysis and GDPR Implementation Plan will be in place during qtr1 of 2017/18	**Christine Salter** **(Vivienne Pearson)**

Social Services – Provision
 	
Failure to provide robust and adequate social services in the context of increasing costs and limited resources.
	Reputational / Community / Legal / Financial / Stakeholders / Service delivery
	
	Quality and range of services and interventions compromised, e.g.:
	
	• Safety and welfare of individuals in the community compromised.
	• Achievement of good outcomes for service users compromised.
	• Shortage of appropriate services including placements.
	• Inability to meet key objectives and performance targets.
	• Increase in challenges from carers, including financial challenges.
	• Increase in Delayed Transfers of Care (DToC).
		B	1	**High Priority**	Strategic service improvement governance arrangements including:
					
					• Organisational Development Programme.
					• Multi agency Improving Services to Children Board.
					• Adult Services Improvement Board.
					• Vulnerable Families Partnership Board.
					• Social Services Reshaping Programme.
					• Adult Social Care Strategic Commissioning Programme.
					• Internal Review team within Assessment & Care Management continues to focus on delivery of targeted reviews and reviewing packages of domiciliary care for individuals.
					• Adult Social Services Position Statement completed.
					• Disability Futures Programme in place to transform futures for disabled children.
					• Community Resource Team moved to 7 day working.
					• Comprehensive ICF funded interventions designed to strengthen domiciliary care capacity in place.
					• Growth proposals for operational safeguarding capacity in 2017/18 budget.
					• Financial 5-10 year analysis of growth and pressures commenced
					  o Children's Services analysis presented to Cabinet in November.
					  o Adult Services analysis presented to Cabinet in March.
					• Redesign services for children with emotional, behavioural or mental health difficulties (University Health Board led).
					• Key strategies to promote independence, manage demand and enhance prevention in place as follows:
					  o Early Help Strategy (for children).
					  o Multi-Agency Safeguarding Hub (MASH).
					  o Adolescent Resource Centre.
					  o Signs of Safety.
						B	2	**High Priority**	• 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.
									• Combined overall Social Services 5-10 Year Financial Strategy to be finalised.
									• New key strategies to promote independence, manage demand and enhance prevention to include:
									  o Develop outreach Community Resource Team services.
									  o Develop Older People's Housing Strategy.
									Redesign of Day Opportunities for Learning Disabilities to include capital programme.
										Tony Young

Promoting Independence Failure to sustain an effective whole system approach that enables adults with significant health needs to remain in, or return to, their own	Reputational / Legal / Financial / Community / Stakeholders / Service delivery • Increase in Delayed Transfers of Care (DToC). • Poorer outcomes for adults. • Potential ministerial intervention incurring significant	B	1	**High Priority**	• Leadership group established to tackle DToC - consisting of Cabinet Members from the Cardiff, Vale of Glamorgan, Chair of UHB and relevant officers. • Performance challenges set to improve DToC - includes ongoing close monitoring of DToC Plan. • Joint action plan received and agreed by the Health Minister under frequent	C	1	**Medium Priority** **(Red/ Amber)**	• 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'. • Performance continues to improve subject to winter pressures	**Tony Young**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
homes and reduces the need for / length of hospital stays.	reputational and political risk.			High Priority	review to monitor progress. • Health & Social Care Integration - continued progression on integration with Health - partnership / governance. • Community Resource Team moved to 7 day working. • Comprehensive ICF funded interventions designed to strengthen domiciliary care capacity in place. • Strategy to engage more proactively with the market in order to support better sustainability in domiciliary care established.				• Market management impacting effectively and containing 'price'. • Strategic review of reablement as part of ODP. • Strategic review of Matrix (Adam) and Proactis commissioning platform under way with a view to considering new framework arrangements.	
Performance Management A performance management culture is not embedded within the Council leaving the Council exposed to intervention by Welsh Government in line with the Local Government (Wales) Measure 2009 and associated requirements.	Reputational / Service delivery / Stakeholder • The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices. • Council unable to accelerate performance improvement as planned/desired.	B	2	High Priority	• The Council's improved approach to the way it manages its performance was recognised by the Wales Audit Office's follow-on report, but it is also clear there is more work to be done to build on the success achieved so far. A Performance Management programme has been put in place to deliver the required change to address three key areas relating to Reporting, Planning and Challenge. • The Council's 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 Local Authorities across Wales and in the Core Cities group. • 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 is a key part of the Performance Management programme of activity. • 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. • 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 and further improvements will be made in Q3. • Increasing the transparency with which we manage our performance • 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 & Future Generations Act. • Consistent RAG ratings have been agreed and developed for Corporate Plan commitments • A consistent RAG methodology has been developed to enable a mathematical approach be applied to performance indicators • Directorate scorecards were introduced for the Quarter 2 performance report and presented to PRAP, these were well received and will continue to be used and developed • PSG (Performance Support Group) has been established. This group reviews the Quarterly Performance Report to identify where and how performance can be improved. The group also identify areas for further discussion at SMT and Star Chamber • Wellbeing objectives have been developed in line with the Corporate Plan development timeline and endorsed by SMT and presented to informal cabinet • A target setting process and pro forma has been developed to support the use of appropriate measure and accurate targets in the Corporate Plan and Directorate Delivery Plan • A new Directorate Delivery Plan template has been developed which also incorporates the Future Generations requirements and the 5 ways of working. This has been presented to PSG and the template has been endorsed by SMT • Reporting scorecards have been trialled by representatives of PSG. These were presented at PSG and were well received. • The Corporate Plan has been developed and approved by Full Council	C	2	Medium Priority (Red/ Amber)	• Developing a reporting framework that allows the right audiences to focus on the right level of detail to better aid decision-making. Some elements of this will be used in the Q4 2016-17 performance reporting cycle and t will be fully implemented for the reporting of performance for Q1 2017-18 to ensure robust reporting arrangements for the WBFG Act • Ensuring greater effectiveness of corporate planning frameworks, with clearer accountabilities and enhanced 'line of sight' • A new Directorate Delivery Plan template has been developed, which also incorporates the Future Generations requirements and the 5 ways of working. All directorates are developing these plans and will use them from April onwards. They will be used and monitored throughout the year to ensure they represent a clear and up to date statement of what the directorate is aiming to deliver and the progress it is making. • Service Level scorecards are currently being developed across the Council. These will be used from the start of 2017-18 by all Services and will combine planning and reporting elements. This will give the organisation a consistent view of what each Service is trying to achieve and the progress they are making. • These Scorecards will be used, where appropriate, to provide additional detail to supplement the reporting against the Strategic Directorate Priorities and the Corporate Plan Wellbeing Objectives.	**Christine Salter** **(Joe Reay)**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
Organisation Development OD projects fail to deliver the radical change required to deliver efficiency savings and service changes, due to service and resource pressures.	• The Council's budget constraints are so severe that the consequence of not delivering large-scale change could have a major impact on customer services. • Radical changes to service delivery models may impact on the Council's reputation if not planned, co-ordinated and governed effectively. • If change is not delivered, there could be unplanned reduction in staffing to achieve savings, which would result in loss of business knowledge and resources to implement change. • Reputational impact if services do not meet increasing customer expectations. • If change is not effectively planned, managed and implemented it may be delayed and subsequently impact on the Council's ability to achieve necessary savings and service improvements. • With the increased budget pressures, the Council may not have sufficient capital and revenue to invest in technology which would achieve medium and long-term improvements and savings.	B	1	**High Priority**	• Governance arrangements established, led by the Chief Executive and Programme Boards, chaired by Directors to ensure change is delivered • Disciplined approach, where risk assessment forms an integral part of the approach to change • Programmes initiated with dedicated resources • Experienced gained by managing programmes and projects over a number of years, building on lessons learned • Building capacity and capability across the organisation through development opportunities and skills transfer • Appropriate engagement and stakeholder management, including Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit. • Improving compliance to project and programme management governance standards by streamlining core processes and enhancing reporting, increasing transparency across change initiatives. • Continued implementation of Programme & Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources. • Organisational Development Board joined up with Senior Management Team who meets monthly to discuss the OD Programme. This ensures all Directors are fully engaged with the OD Programme. • OD/SMT Board approved Programme Briefs for Reshaping Services, Enabling & Commissioning and all component programmes. OD/SMT have approved the draft Digital Strategy, ahead of formal submission to Cabinet in May 2016. • Improved reporting for the OD Programme has been developed (Dashboard Reports) and implemented at OD/SMT Board. These reports are produced 4-weekly. • Appointment of programme managers to oversee the OD Programme (OM2 in April 2015 and OM1 in August 2015) has provided additional capacity and direction. • SharePoint implementation within OD began in December 2015 and will continue through spring 2016, further improving information management, efficiency and internal communications. • Control Risk Self-Assessment tool piloted in OD to inform strengths and weaknesses in controls and help prioritise areas for improvement. • PRAP Scrutiny Committee received an update on the ODP in January 2017.	C	2	**Medium Priority** **(Red/ Amber)**	• New Programmes & projects being initiated as part of Organisational Development – driving change from within Directorates, but corporately governed. • SMT receive monthly updates on the ODP via two dashboards. These contain details on new issues/risks, progress updates on projects, resources allocated to the programme and 'deep dives' on selected projects. • 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 will be presented as part of the ODP review. • The Social Services Improvement Programme and the Vulnerable Children & Families Programme (that both sit within the Reshaping Services Programme) have now been evaluated and a single Social Services Development Programme has been established. A number of new projects have been identified, as well as current projects that are now either closed or have become BAU, and meetings will take place during April to develop this new Programme further. This new Programme will also need to be considered as part of the independent review that is being carried out of the ODP. • The external independent review commenced in March 2017, and a report is to be issued in April 2017.	**Christine Salter** **(Dean Thomas)**
Business Continuity Large scale incident/loss affecting the delivery of services.	Reputational / Legal / Financial / Stakeholder / Service delivery / Health & safety • **Health and Safety** – potential impact on staff and on the public relying on our most, time sensitive, critical services. • **Legal action** -Failure of key services could lead to Legal action against the council. • **Financial** - Failure of key services could led to significant financial cost both in terms of Ombudsman action and Enforcement action from regulatory bodies as well as individual legal action against the corporate body where service failure leads to legal action against us from private claimants. • **Reputational -** Impact on key services to the public could lead to significant reputational damage to the organisation. • **Stakeholder** – Impact on key stakeholders as result of failure. • **Service delivery** – Potential significant impact on service delivery to the public, impact of key services could lead to significant impacts to the public and the corporate body un delivering its services.	B	1	**High Priority**	• The Council has a BCM Champion who sponsors BCM at a strategic level and is actively supporting the BCM Programme. • We have an approved Business Continuity Policy which is aligned to ISO22301. • BCM Intranet web page. • BCM toolkit is now available on CIS allowing all service managers to develop an appropriate BCM response for their services allowing future effective maintenance and audit. BCM workshops are available from the BC Officer on request. • The Council has employed a Business Continuity Officer (appointed October 2010). The officer is a qualified ISO22301 lead auditor. • The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with ISO22301 this has been distributed to all Directorates. • The Council has a 24 hour Incident Management structure for Gold and Silver Officers. • The Red and Amber activities were last reviewed in July 2014. The BCM Champion presented a report to the SLT on the position on all the Red and Amber activities. Directors, Assistant Directors and Chief Officers were tasked with ensuring that their Red and Amber activities had business continuity plans produced and audited by the end of 2014/2015. • A partnership approach between the Emergency Management Unit and the Corporate Risk Steering Group is helping to raise awareness and drive forward the BCM programme. • 87% of our most time sensitive activities (Reds) now have Business Continuity plans which have met, or are going through, audit. Work on the remaining plans is ongoing to close gaps and bring them up to date and in line with the corporate audit requirement. • 24 % of our Amber activities now have business continuity plans which meet the business continuity audit requirement. • Cardiff Council is a member of the Core Cities Business Continuity Group and has been for the last 7 years. This membership allows the sharing of best practice and joint initiatives between group members. • The Business Continuity Officer has been working closely with the procurement section of Resources to ensure that the resilience of suppliers is considered carefully when procuring services which are important to our most time sensitive activities, our Red and Amber activities. • Internal Audit 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. • The BC Officer is actively supporting the development of an appropriate Threat and Response Policy to support council security arrangements.	C	1	**Medium Priority** **(Red/ Amber)**	• The BC Officer is working closely with Facilities Management to ensure they have effective plans in place to help manage possible business disruptions to our core buildings. • Work with ICT to ensure our core infrastructure is as resilient as practical to support a resilient and effective delivery of essential ICT services and the effective planning for recovery of critical IT services after an incident that affects our IT. • The Emergency Management Unit are planning a piece of partnership work with ICT to support areas that provide red activities in assessing the impact the loss of technical services, and ensuring suitable mitigation is in place to make our red services more resilient, where this is possible. • Work with the teams involved with looking at the potential of using alternative delivery models for council services. Identifying risks associated with alternative delivery models for specific services and recommend potential risk management solutions for implementation, to protect the delivery of our most critical services. • The Business Continuity Officer is working to develop and enhance individual Directorate response capability to ensure Directorates are in a stronger position to respond to incidents which could impact on the Council and our most time sensitive activities. • The Business Continuity Officer is proposing working closely with Education and Life Long Learning to support them in developing a school specific Business Continuity Plan template to enhance schools resilience capability.	**Christine Salter**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					• 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 needed to allow them to review this risk. • The Corporate Emergency Management Plan was fully revised and updated in March 2017. The Corporate Incident Management structure and Emergency Management Plan, and the Corporate recovery plan were exercised and validated in a corporate wide exercise on the 29th of March 2017, this exercise also provided an opportunity for individual Business Continuity plans to be activated.					
Legal Compliance Changes in services and staff roles across the Council resulting in: - gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate; - inability to deliver the services in accordance with all duties and responsibilities due to lack of resource: In each case leading to increased risk of challenges. Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.	Reputational / Legal / Financial / Service delivery • Increase in number of challenges and complaints with consequences in terms of already stretched resources and impact of adverse decisions • Implementation of decisions delayed due to challenges and potentially fatally disrupted. • Impact on projects if reputation for sound management and implementation of projects is damaged • Major incident. • Adverse press/media reaction • Involvement from Welsh Government in terms of performance standards or measures. • Increased costs	B	2	**High Priority**	• Professional internal legal and financial advice provided to a high standard. • Maintaining robust decision making process with legal implications on all Council, Cabinet and Committee reports and Officer Decision Reports at Director level. • Appropriate use of NPS Legal Services by Solicitors Framework to increase resilience. • Dedicated teams in specialist areas e.g. equalities, FOI / DPA. • Sharing training/publications received.	C	2	**Medium Priority** **(Red/ Amber)**	• Prioritisation of work to make best use of internal expertise (including programme of projects in accordance with SMT decision) • Further development of standard precedents with guidance for use in cases of low value/low risk/repetitive matters • Provide legal training to Directorates to develop knowledge within Directorates of specific statutory functions. • Encourage Directorates to ensure reports are discussed at preliminary stage in development to ensure all legal issues are addressed early	**Davina Fiore**
Education – Schools Delegated Budgets Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.	Reputational / Legal / Financial. • Budget implications. • Reducing educational standards. Intervention from WG	A	2	**High Priority**	• The 2017/2018 delegated budget allocations were issued to schools in early March 2017 and monitoring arrangements put in place for those schools showing financial concern. • Officers from Education and Financial Services have started to work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible. • The previous fall in pupil numbers for certain schools made it clear that a longer period than four years was needed in order to achieve a balanced medium term position • Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure. • Work ongoing with all schools but focussed targeting on specific secondary schools to continue to dampen the growth in deficits and ensure that those that do occur are recoverable. • Reviewing closely with Education Management Team and SOP in particular as to the opportunities available to address short medium term fall in pupil numbers for certain secondary schools • For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school • Individual school budget monitoring positions reported to Education Management Team on a quarterly basis • Officers have exercised the statutory powers of intervention in three secondary school governing bodies which is beginning to have a positive impact on the ability of the Council to ensure schools meet the targets set out in their deficit recovery plans. • School Budget Forum has agreed a revised protocol for responding to schools in deficit and this needs regular review with a tightening on the number of deficit budgets accepted. This has been reflected in the harder message contained within the 2017/18 school budget letters and the 2017/18 Budget Report. • Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance. • The Council has been able to protect school delegated budgets over and above the Welsh Government threshold and a smaller number of schools than in 16/17 have been identified as requiring meeting with S151 officer and senior education officers. These meetings will take place in April and early May. • The Council will also introduce an increased level of scrutiny of school curriculum plans through support identified with the Central South Consortium. •	C	2	**Medium Priority** **(Red/ Amber)**	• Council make full use, if necessary, of formal warnings and powers of intervention: • Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan, this may involve removing delegation from a Governing Body. • Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula. • Work is continuing with the School Budget Forum and consortium to ensure that the formula funding mechanism is transparent and remains fit for purpose whilst considering any interaction or impact of any grant allocation decisions. • Maintaining the need for financial probity whilst ensuring that each school has the opportunity to improve school standards. • Working with consortium to ensure that maximising value from constituent parts of Education Improvement Grant is secured and that there is clarity of allocation mechanism for 2017/18 and beyond. • Following consultation with the School Budget Forum to undertake an audit during the Summer Term 2017 to identify the actual impact of the schools budget settlement at individual school level. • Developing the medium term budget strategy for 2018/19 and providing early notification to budget forum and individual schools of likely impact of said strategy.	**Nick Batchelar** **(Neil Hardee)**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
Fraud, Bribery and Corruption Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.	Reputational / Financial / Legal / Service delivery / Stakeholder • Increase in frauds and losses to the Council. • Reputational risk as more frauds are reported. • Increased time investigating suspected fraud cases.	B	2	**High Priority**	• The Council communicates a zero tolerance approach to fraud, bribery and corruption. • Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, Money Laundering Policy and Disciplinary Policy. • Financial Procedure Rules and Contract Standing Order and Procurement Rules frameworks for staff to follow. • Dedicated team of professionally trained and experienced investigators to prevent deter and detect fraud against the Council. • Proactive work on National Fraud Initiative exercises led by the Internal Audit team, in collaboration with the Cabinet Office and Wales Audit Office. • Receipt and dissemination of fraud intelligence alerts from law enforcement agencies. • Regular reports to the Section 151 Officer and Audit Committee and the Chief Executive. • Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority. • Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control. • Procurement team compliance role relating to contract procedure rules. • Savings proposals are reviewed and supported by a robust business case and process in consideration of risks to the operation. • Ongoing delivery of briefings to Schools on fraud and control risks. • Cardiff Manager Programme includes session on risk management and compliance / control. • Senior Management Assurance Statements – challenge to Directors and the Chief Executive. • Provision of disciplinary management information on DigiGov. • Multi-team collaboration in the development of the updated Disciplinary Policy and supplementary guidance materials. • Mandatory disciplinary e-learning module for all managers to complete and a programme of mandatory e-learning modules and training for Disciplinary Hearing Chairs, Investigating Officers and Presenting Officers. • Reported to Audit Committee September 2016, raising awareness of the three documents published by CIPFA and an Executive Summary on Fighting Fraud and Corruption Locally. • 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. • A Prosecution Policy has been in place since mid-2016.	B	3	**Medium Priority** **(Red/ Amber)**	• Fraud Team to liaise with the Monitoring Officer and agree a policy for monitoring employees at work and a management framework for its enactment. • Fraud Team to liaise with Monitoring Officer to produce a policy for undertaking online investigations. • Continue to deliver the mandatory face to face training for Investigating Officers, Presenting Officers and Disciplinary Hearing Chairs. • Develop and deliver a programme of training for investigatory interview note takers. • Review process for ensuring appropriate fraud, bribery and corruption awareness for Council officers. • Continued delivery of Cardiff Manager Programme. • Fraud Team to review a sample of Disciplinary Hearing outcomes, challenge consistency of disciplinary sanctions and report findings to the Section 151 Officer and Audit Committee. • HRPS to enhance DigiGov to facilitate changes introduced by the new Disciplinary Policy and the production of management information, by the end of quarter 1 2017/18. • Measure the effectiveness of fighting fraud and corruption against the CIPFA strategy by the end of Q2 2017/18. • Undertake a skills assessment of the investigation team and invest in training as appropriate.	**Christine Salter** **(Ian Allwood)**
Asset Management Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.	Reputational / Legal / Financial / Health & Safety / Stakeholders • Poor use of assets / VFM. • Lost opportunity for capital receipts. • Increased maintenance. • Prosecutions / fines.	B	2	**High Priority**	• Cabinet formally approved a new Property Strategy in November 2014. • Corporate Asset Management Board and supporting Working Group now set up to raise property profile and introduce more structured, disciplined approach to management of property and the Office Accommodation Rationalisation Programme. • Established rolling programme of 'Fitness for Purpose' reviews of all council properties providing high level assessment of the current performance and value of buildings. • Carbon Management / Energy Efficiency - Certificates / General Awareness / Introduction of Energy Renewables Strategy. • Established Implementation Plan for the new Property Strategy. • Determined governance and work programme updates for new Corporate Asset Management Board at meeting in January 2015. • 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. • Asset Management Plan considered by Cabinet in July 2015. • Future Strategy and direction of the Council's non – operational Investment Estate approved by Cabinet in November 2015. • Asset Management Board and Partnership Board fully operational. • Delivered targets in Corporate Asset Management Plan in 2015-17 as follows: • Gross internal floor area reduced by 3.5% • Maintenance backlog reduced by @£4.4m • Running cost reduced by £1m • Delivered £6.7 million capital receipts • Corporate Asset Management Plan 2016/17 considered by Cabinet in July 2016. • 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. • Advisor appointed in Q1 to assist with the review of all investment assets and to develop an Investment Estate Strategy. • Completed Insole Court community asset transfer (CAT), which was the largest CAT in Wales. • Progressing Corporate Asset Management Plan targets. In quarter 2 we achieved a 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.	D	2	**Medium Priority** **(Amber/ Green)**	• The Real Estate IT project is to be incorporated into the Corporate Landlord OD Programme.	**Neil Hanratty**

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					• Inaugural Investment Estate Strategy completed. Approved by Cabinet and Scrutiny. • Regular monthly Investment Estate Board meetings are taking place to manage implementation of the Strategy. • On course to achieve the 5 year Corporate Property Strategy targets by April 2020. CAMP achievements for 2016/17 - 7.9% reduction in GIA (617,593 sqft), 9.2% reduction in running costs (£3.3m), £4,500,000 reduction in maintenance backlog and £6m capital receipts.					
Workforce Planning Importance of forecasting and planning to build capability and capacity for the future is not fully recognised and embedded.	Reputational / Financial / Stakeholder / Service delivery • Poor service delivery due to ineffective use of resources. • Lack of resources with the knowledge and skills the Council requires for future delivery • Loss of resources and recruitment problems. • Poor morale • Loss of experienced staff members including managers • Reduce the likelihood of attracting high calibre managers to Cardiff Council • Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care. • Risk of workforce not representing the communities to which services are delivered.	B	2	**High Priority**	• Workforce strategy developed and agreed by Cabinet in April 2015 • The Workforce Strategy programme has been developed to encompass a number of projects which relate to the requirements around this risk, including Workforce planning, Learning & Development, PPDR review and Employee Voice. • The Workforce planning project has a completed project brief identifying a number of key outputs required for workforce planning including with to review, develop and implement workforce planning • 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. • 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. • Work is being carried out on linking processes that can be used for the identification and development of potential e.g. Recruitment & Selection, PPDR and Cardiff Academy and underpinning these with the Competency Frameworks. • Additional research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event. LGA/ Skills for Local Government hosted COP event. • HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda. • • Children's Services have developed a Workforce Strategy for their area which is being reviewed on a regular basis. • Resources have held a workshop which focussed on Professional and Technical areas to inform the key skills required for the Directorate going forward. • Work has taken place with Cardiff and Vale College to look at an Essential Skills diagnostic tool and this is now being rolled out to frontline employees through Commercial Services • A programme of NVQ study is been discussed with Cardiff & vale College and Commercial Services are coming forward with cohorts of employees to attend. • Employee surveys carried out to identify areas where further employee engagement / development can be focused.	B	3	**Medium Priority** **(Red/ Amber)**	• Work is being carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local Authorities. • 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. • A review of the courses provided by the Cardiff Academy is taking place to ensure that these meet the skills requirements for the future. • The Council is committed to providing apprenticeships and traineeships for young people and this programme will be enhanced further with a specific target of 100 opportunities for 2017/18. • 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. • Recruitment advertising to be reviewed and processes put in place to ensure that adverts a reaching hard to reach groups • Work is taking place to identify areas where the employee group is not representative of the communities and actions identified of what could be done to improve this • Actions being taken to improve the accessibility to Welsh language either through the recruitment process or through the training and development of current employees • Development to take place of a corporately agreed skills set for the future delivery of services so that all employees and posts can be measured against this skill set to identify learning and development gaps • Workforce planning tool kit to be rolled out to pilot areas during 2017/18 and then full rollout from 2018/19 • An IT solution to be sourced during 2017/18 in order to develop workforce planning further and to ensure that the Council has available the data it requires to ensure efficient workforce planning in the future.	**Christine Salter** **(Philip Lenz)**