

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
EVENT DRIVEN RISKS										
<p>City Security</p> <p>Major security-related incident in the city as a result of international or domestic terrorism.</p>	<p>Service Delivery / Reputation / Legal / Financial / Health & Safety / Financial / Partnership / Community & Environment / Stakeholders</p> <p>Potential for:</p> <ul style="list-style-type: none"> Large numbers 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	<ul style="list-style-type: none"> All existing identified high risk; crowded places have been formally assessed. Some crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge. 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 and as an annex document to the main City Centre Access Control Protocol. It enables the Urban Traffic Control Officers to better manage Tabernacle 'users', covering their requirements whilst adhering to the existing Traffic Regulation Order. 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. As the above shows, the work done in the city to address security concerns has been predominantly focused on the provision of physical assets to mitigate against the threat of hostile vehicles. Although this area remains important, a more holistic approach is needed to develop the city's response to and management of a wider range of potential threats. 	B	1	High Priority	<ul style="list-style-type: none"> The CONTEST Protect/Prepare Group will continue to monitor and review the city's Hostile Vehicle Mitigation 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 identify external funding sources/opportunities from Welsh Government and UK Central Government to conclude scheme and appropriately mitigate the risk. £1m of work to enhance the city's HVM scheme (match-funded by Welsh Government and Cardiff Council) to be completed by Spring 2018. Progress is on track to meet this target. 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. A holistic security strategy for the city is being developed through the city's CONTEST partnership mechanisms. This strategy will extend the perspective of the city's security beyond hostile vehicle mitigation to incorporate a range of security measures, including the continuing development and agglomeration of the city's CCTV and the deployment of new technological solutions Once the strategy has been completed it will provide a suite of costed business cases that will allow the continued incremental development of the city's security provision This in turn will allow partners to be more responsive to emerging funding opportunities 	<p>Christine Salter (Joseph Reay) & Andrew Gregory Councillor Huw Thomas, Leader.</p>
<p>Welfare Reform</p> <p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants, removal of automatic entitlement to housing costs for under 21s and changes to funded for supported housing. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.</p>	<ul style="list-style-type: none"> Private landlords stop renting to benefit claimants Social housing rents become unaffordable to some claimants, in particular those 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	<ul style="list-style-type: none"> 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 Advice Hub in Central Library is providing comprehensive advice services for those affected by Welfare Reform and this is being rolled out across the city in Community Hubs and foodbanks . 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	<ul style="list-style-type: none"> 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. Rent arrears procedure has been reviewed to include a more preventative and flexible approach and more assistance for more vulnerable tenants. 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. Expenditure for 17/18 will focusing on the most vulnerable individuals or helping people with the transition into work. The detailed information about the removal of automatic entitlement for under 21s is now known and procedures and guidance are being reviewed as appropriate Sub group set up to consider the impact of changes on Supported and temporary accommodation. <p>Action Plan for Universal Credit is being reviewed following changes in Autumn budget and confirmation of roll out of Full Service at end of February. Meetings with private landlords to find out how the council can help support them have been held ahead of stakeholder meetings in January. Facilities in Hubs have been reviewed to take a more "digital support" approach to customer service. On line HB form should be in place shortly to support this new approach.</p>	<p>Sarah McGill (Jane Thomas) Councillor Lynda Thorne, Housing & Communities.</p>

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<p>Cyber Security</p> <p>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.</p> <p>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.</p>	<p>Reputational / Legal / Financial / Stakeholder / Service Delivery / Health & safety</p> <p>The intent of cyber attackers includes, but is not limited to:</p> <ul style="list-style-type: none"> financial fraud; information theft or misuse, activist causes to render computer systems intolerable and to disrupt critical infrastructure and vital services. <p>The impact of a cyber-attack / incident has the potential to involve the realisation of the risks associated with:</p> <ul style="list-style-type: none"> 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. <p>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.</p>	A	1	High Priority	<ul style="list-style-type: none"> A cyber security maturity assessment is regularly reviewed 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 concludes that the Council has: <ul style="list-style-type: none"> 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. Escalated risks to SMT around secure configuration, monitoring and corporate cloud security controls and support for improvements agreed at the meeting. Risks monitored and escalated via Information Security Board as well as directorate management meetings and Senior Management Team (SMT) As part to improving user education and awareness Information Asset Owners receive compliance reports relating to Bob's Business Data Protection training Privacy Impact Assessments which include Cloud Impact Assessments are in place 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> ICT and Information Governance (IG) Teams to continue to liaise with FM for physical security assurances and to promote an incident reporting culture. To enhance user education and awareness Information Governance Seminars will be held for each Directorate during March and April 2018. To ensure strong ICT security, monitoring and cloud security controls: <ul style="list-style-type: none"> ICT lifecycle and notification targets are being monitored and managed through the 'ICT Platforms' risk actions. Collaboration between ICT and IG to develop and map current ICT system providers in phased development of an Information Asset Register. Privacy Impact Assessment / Cloud Impact Assessments to be reviewed to ensure compliance with the requirements of the General Data Protection Regulation (GDPR) Action Plan being managed by the Information Governance Team. Governance and management requirements to be formalised for periodic and systematic review of all ICT systems. SIRO to review / consider Cloud Infrastructure to ensure: <ul style="list-style-type: none"> Effective governance and management. Resource, risk appetite and outcomes required. Education of business systems owners in risk and management of cloud based services. 	Christine Salter (Phil Bear) Councillor Christopher Weaver, Finance Modernisation and Performance.
<p>Waste Management</p> <p>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.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Environmental / Community</p> <ul style="list-style-type: none"> 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 2017/18), 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	<p>Policies / Strategy</p> <ul style="list-style-type: none"> 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. <p>Risk of Fines</p> <ul style="list-style-type: none"> 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)	<p>Policy / Strategy</p> <ul style="list-style-type: none"> The next Recycling Strategy is being developed and will be presented to Cabinet in March, this will seek to address in year financial pressures regarding glass quality and market costs through separate collections as well as other measures to improve recycling performance in 2018/19 onwards. The changes will be subject to consultation and Welsh Government discussions, regarding the Blueprint and Environment Bill. <p>Risk of Fines</p> <ul style="list-style-type: none"> Ensure correct recording of waste tonnages from Neighbourhood Services to ensure exclusion of Non MSW waste that was not previously counted towards the targets. <p>Contracts / Projects</p> <ul style="list-style-type: none"> implementation & training for the new In-Cab and tachograph system have commenced. <p>Prosiect Gwyrdd</p> <ul style="list-style-type: none"> 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. <p>Cardiff Organic Waste Treatment Contract</p> <ul style="list-style-type: none"> Continued management of the contract to ensure treatment and diversion of residual waste in line with the contracted positions. Working in partnership with our contractor 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. <p>Household & Commercial Waste Collections</p> <ul style="list-style-type: none"> Set and achieve new commercial recycling opportunities for new materials and new income opportunities – targeting 	Neil Hanratty Councillor Michael Michael, Clean Streets, Recycling and Environment.

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					<p>Contracts / Projects</p> <ul style="list-style-type: none"> • 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, skip hire, mattress and carpet recycling schemes are all underway. • New HWRC delivery model is underway. The new Lamby Way HWRC has been officially launched. • New free reuse and recycling bulky collection services strategy 2016. • The new reuse partner has been announced and launched in December. British Heart Foundation provide a network of shops, free home collection and reuse facilities and outlets across Cardiff. <p>• New markets for mattresses have been tendered and awarded in 2016/17.</p> <ul style="list-style-type: none"> • Contract now in place for new materials at Lamby Way and Bessemer Close HWRCs e.g., carpets, tyres and UPVC windows. • Recycling Waste Management focus on pre-sort high quality recycling and removing the reliance on post sorting of waste. • Tracking market prices weekly and monthly. Impact of the Chinese market of global prices has seen a reduction in UK based prices for the same of recyclables. <p>Prosiect Gwyrdd</p> <ul style="list-style-type: none"> • Financial Close occurred December 2013 Viridor are the appointed contractor which commenced Sept 2015. Removes risk of failing biodegradable waste limit to landfill. <p>Cardiff Organic Waste Treatment Project</p> <ul style="list-style-type: none"> • 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. • The Council has secured an additional £250K of a one off income stream to support the transition of Kelda to Dwr Cymru Welsh Water as the new contracting company for the treatment of food and green waste for both the Vale of Glamorgan Council and Cardiff Council. <p>Household & Commercial Waste Collections</p> <ul style="list-style-type: none"> • 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). <p>Collaboration work</p> <ul style="list-style-type: none"> • Working and engaging with Welsh Government on legal and policy changes.. 				<p>commercial food collections and schools.</p> <ul style="list-style-type: none"> • National government discussions are underway regarding co-mingled recycling issue. Modelling has been undertaken on the best option for Cardiff and concluded a twin stream is the best option. Further steps will be developed to assure compliance with the WG blue print. • New domestic and commercial skip hire service is now available. <p>MRF</p> <ul style="list-style-type: none"> • Complete procurement and installation of Auto Sorter for mixed plastics and fibre products e.g. paper and cardboard. Contract awarded and installation to take place in quarter 1. • Arranged for Glass trial to reduce our current cost per tonne. The glass trial recycling yield was > 70% which represents better value to the authority as currently paying £60 per tonne with a 65% recycling yield. Deliver kerbside collections of separated glass and report to Cabinet in quarter 3. 	

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<p>Education – Schools - SOP</p> <p>Large scale Capital Programme (£164m) with tight timescales for delivery, in context of very rapidly growing primary age school population.</p>	<p>Reputational / Legal / Financial / Social / Stakeholder / Health & safety.</p> <ul style="list-style-type: none"> Insufficient primary places in some areas of the City. Further degeneration of school buildings Reducing educational standards. Project cost and time overruns Risk that Welsh Government do not approve individual project funding if not satisfied with Business Cases. 	B	1	High Priority	<ul style="list-style-type: none"> A significant proportion of the Schools Organisation Programme has been delivered to date including:- <ul style="list-style-type: none"> 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 construction of the new Eastern High School, in partnership with Cardiff & Vale College is progressing well, 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. Work started on site for Howardian and Ysgol Glan Morfa in June 2017. Ysgol Hamadryad received planning permission in June and work will start on site in October 17. The procurement of the new High School in the West is complete with Willmott Dixon appointed to design & build the school in January 2017. Full planning achieved in August, with contractor to start on site in September. Assets being considered corporately to maximise the opportunity to focus funds realised within the Council and through other sources on fewer high quality buildings. 21st Century Schools Band B funding bid submitted to WG in July and awaiting WG decision. 	C	3	Medium Priority (Amber/Green)	<p>All risks being monitored and reported to Schools Programme Board.</p> <ul style="list-style-type: none"> '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. 	<p>Nick Batchelar</p> <p>(Janine Nightingale)</p> <p>Councillor Sarah Merry, Deputy Leader & Education, Employment & Skills</p>
<p>Business Continuity</p> <p>Large scale incident/loss affecting the delivery of services.</p> <p>The potential risk is that our most time sensitive activities are not sufficiently resilient and fail, following an incident which impacts on their delivery and that our incident management structure, used in response to internal incidents and external emergencies, also fails in response to an incident.</p>	<p>Reputational / Legal / Financial / Stakeholder / Service delivery / Health & safety</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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. 39 % 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 10 % 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 8 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. 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 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> 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. 	<p>Christine Salter</p> <p>Councillor Huw Thomas, Leader.</p>

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					provide them with the support, evidence, and guidance needed to allow them to review this risk. <ul style="list-style-type: none"> 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 29 th of March 2017, this exercise also provided an opportunity for individual Business Continuity plans to be activated.					
ONGOING RISKS										
<p>Non completion of Statutory Building Equipment maintenance</p> <p>Currently statutory obligations testing is not organised in a consistent and centrally managed process across the Council, partly due to a lack of understanding on who is responsible for arranging the testing and any remedial works identified. As a result there is a risk that all required testing/remedial works may not be undertaken and completed correctly.</p> <p>Also, a complete up-to-date accurate register of all statutory obligations testing requirements does not exist.</p> <p>Furthermore, there is no embedded technology in use consistently to manage the statutory obligations work or the storing of relevant statutory obligation documentation.</p>	<p>Potential consequences:</p> <ul style="list-style-type: none"> 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	<p>CONTRACTOR</p> <ul style="list-style-type: none"> Competent contractor in place to undertake statutory obligations testing and consequential remedial work; <p>RAMIS IT Software</p> <ul style="list-style-type: none"> RAMIS Statutory Obligation Compliance software system procured and in process of being commissioned. This will replace spreadsheet system currently in place; Staff training has commenced Property Portfolio uploaded to the system, Access for Technical Officers and contractors arranged in Qtr 3. Rollout of the system commenced in Qtr 3 along with Building Managers Training; Recruitment of Officer to Implementation, Management and administration of the system moved to H&S to provide a central governance system for statutory maintenance. <p>Compliance Audits</p> <ul style="list-style-type: none"> School compliance audits completed in Qtr 3 <p>Statutory Obligation Compliance</p> <ul style="list-style-type: none"> 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 Desk-top audit of compliance completed March 2017 to improve understanding of the current level of statutory compliance. On-site audits have since been implemented with schools buildings scheduled for completion by end of October 2017 with the remainder of the estate due for completion by March 2018; Planned Preventative Maintenance Certificates are held centrally and can be easily accessed via computer (to be transferred to RAMIS); Appropriate statutory obligations testing is being arranged where previously unrecorded requirements are identified through the audits <p>Corporate Landlord Programme</p> <ul style="list-style-type: none"> 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. Implementation of the Corporate Landlord Programme commenced 2017/18. Consultation on the new corporate management structure to deliver a corporate Landlord role and delivery programme started in Q2. <p>HSE</p> <ul style="list-style-type: none"> HSE concerns regarding work undertaken by Allianz (company appointed by Council Insurers) have been addressed. <p>Health & Safety Model</p> <ul style="list-style-type: none"> A new Health & Safety Operational Manager has been appointed with a role to independently 'police' statutory obligations compliance across the building estate. <p>Landlord / Occupancy Agreement</p> <ul style="list-style-type: none"> Work commenced on the draft Landlord/Occupancy Agreement template, expected full roll out in by April 2018. This will set out principle occupant and landlord permissions responsibilities and Permission for Works arrangements required <p>Conditions Survey of Non Domestic Buildings</p> <ul style="list-style-type: none"> This work has commenced with priority school buildings and will continue for the remainder of 2017/18 and into 2018/19. 	B	1	High Priority	<p>Strengthen monitoring and supervision of contractors undertaking statutory obligations testing and works;</p> <p>Complete installation of RAMIS:-</p> <p>Upload of all current statutory certs to be uploaded via. FTP transfer.</p> <p>Continued rollout of the system of in Qtr 4,</p> <p>In respect of schools, the following documentation is to be completed in Qtr 4:</p> <ul style="list-style-type: none"> Updated handbook detailing roles and responsibilities for safe management and maintenance of school premises, plant and equipment has been issued to schools for consultation Occupancy agreement between the Council and Headteacher/Governing Body to detail roles and responsibilities in law for management and maintenance of school premises. The Occupancy Agreement will be accompanied by a permission to undertake work protocol to seek the Council's permission to make changes to building fabric/services etc. This will be in place for Qtr 1. <p>Undertake Statutory Compliance Audits on Corporate Estate to review current compliance position – target completion April 2018.</p> <p>Continue to commission investigations / work to complete required compliance testing (and works required) in respect of 'gaps' in compliance status identified through the audits across the estate.</p> <p>Implement new In house Statutory Obligations Team to manage the undertaking of the statutory obligations surveys/work across the Council.</p> <p>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 This is being progressed through the proposed Corporate Landlord Programme.</p> <p>Undertake appropriate training to ensure that all Council building Duty Holders have a clear understanding of their statutory obligations compliance responsibilities (by end 17/18)</p> <p>Continue with the conditions surveys of the non-domestic buildings (complete 18/19).</p> <p>Introduce new technology to assist in improving the scheduling, commissioning, monitoring and auditing of statutory obligations work – procurement to be completed in Qtr 4, 17/18.</p> <p>Commission Improved statutory maintenance contracting arrangements to be in place by June 2018, provide approved contractor supplier competency and performance measures, alongside increased contractor management (implementation of the Property Maintenance Structure), supported by RAMIS and the new Asset Management system.</p>	<p>Neil Hanratty (Tara King)</p> <p>Councillor Russell Goodway, Investment & Development</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
					Client Liaison Officers					
					<ul style="list-style-type: none"> Client Liaison Officers were appointed in quarter 3 to assist with relationship management of commissioning of asset maintenance and statutory obligations works for schools. 					
<p>Air Quality</p> <p>Poor air quality is the most significant environmental determinant of health.</p> <p>UK Government has placed the improvement of Air Quality very high on their agenda and it has been made clear that they consider the responsibility for addressing the issue is at the door of Local Authorities.</p>	<p>Cardiff does not comply with legal standards of NO2, and the primary source of the pollution is road transport emissions, particularly diesel vehicle emissions.</p> <p>Cardiff currently falls short of the required limits and although improvements are being seen, non-compliance of the legal limits is projected beyond 2020.</p> <p>The UK and devolved Governments have a legal obligations to achieve nitrogen dioxide (NO2) annual average limit value (40ug/m3 AA) as set out in the EU Ambient Air Quality Directive (2008/50/EC) in the shortest possible time, and their continued failure to meet this has been subject to a number of legal challenges.</p>	A	1	High Priority	<p>Monitoring - Cardiff have 4 existing declared 4 Air Quality Management Areas (AQMA's) all as a result of elevated NO2 concentrations resulting from road traffic emissions.</p> <p>Development of a Clean Air Strategy:</p> <p>A multi-sectorial approach is needed to develop and effectively implement long term policies and strategies that reduce risks of air pollution to health and hence the development of a Clean Air Strategy.</p> <p>The strategic measures to address the air quality issues in Cardiff that will be detailed in the Clean Air Strategy can be summarised as follows:</p> <ul style="list-style-type: none"> LDP Policies adhered to (KP18, EN13), Develop and finalise relevant SPG to improve AQMA, additional relevant SPGs Transport strategy- reducing congestion, Car clubs, 20mph zones, influencing behavioural change Active Travel Improvements - increase Cycling and Walking, Public Transport Improvements - Buses, Metro, Trains, school travel plans, influencing behavioural change Increase EV infrastructure, alt fuels (H2), fleet changes (CCC to lead), industry change, influence behavioural change. Non idling zones, parking permit reform, taxi policy review. Full investigation and feasibility study of potential mitigation measures including the implementation and management of a Clean Air Zone (funding dependant) <ul style="list-style-type: none"> Working Group in place and meeting regularly. Meetings have taken place with WG and DEFRA and will assist with development of strategy. Funding to undertake a full feasibility study into the potential mitigation measures, including a Clean Air Zone, is being pursued with WG. Effective communications strategy, focus on promoting and marketing the wider health and environmental benefits of tackling air quality - inclusive of green paper development An officers working group has made progress on developing the Clean Air Strategy and work is focusing on finalising strategic measures that the Council needs to implement to improve air quality in Cardiff. The strategy will set out specific action plans to implement these measures and will develop a set of performance measurements to demonstrate the effectiveness of the strategy. An additional Working Group which now includes members of the Cabinet and Senior Management has been established to help develop and steer the Strategy. Following full feasibility study (funding dependant) a decision will be made and a full business case produced for the introduction of mitigation actions to improve air quality in the shortest possible time. 	B	1	High Priority	<p>During January 2018 Welsh Government agreed a Legally Binding Consent Order with Client Earth and although this doesn't entirely remove the judicial influence, essentially WG have agreed to implement measures within very specific timescales.</p> <p>A meeting took place between the WG Minister the Leader, Cabinet Member and Senior Officers from both parties on 1st Feb 2018. It was confirmed that WG will be issuing a Direction on Cardiff Council to provide:</p> <p>An initial proposal setting out the case for change by 31 March. This will involve identifying governance and associated resource requirements, the scope of work, procurement approach, indicative costing's and timeline.</p> <p>An initial plan identifying, exploring, analysing and developing options for measures which your local authority will need to implement to deliver compliance in the shortest possible time, with indicative costs for those options by 30 September 2018 .</p> <p>The Final Plan will need to identify in detail the preferred option for delivering compliance in the shortest possible time, including a full business case setting out value for money considerations and implementation arrangements and timings. The deadline for this is intended to be as soon as possible and by 30 June 2019 at the latest.</p> <p>Funding mechanisms were discussed, along with the requirements for frameworks, procurement arrangements and specifications. Assurance was provided that this would be forthcoming with the Direction which is expected mid to late February.</p>	<p>Andrew Gregory</p> <p>(Gary Brown)</p> <p>Councillor Caro Wild, Strategic Planning & Transport.</p>
<p>Education Consortium & Attainment</p> <p>The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> Budget implications. Educational standards falling behind other LA's. Potential impact on Estyn judgement for LA. Intervention from WG 	B	1	High Priority	<p>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.</p> <p>A Secondary Senior Challenge Adviser with well-developed knowledge and skills to build on the progress made to date has been appointed on an interim basis. There is a new Primary Senior Challenge Adviser in post.</p> <p>The Schools Causing Concern processes have been revised in partnership with the Consortium and the Local Authority. The systems and processes to secure improved joint service delivery is now in place, with regular meetings calendared with the Assistant Director and the Senior Challenge Advisers, Primary and Secondary.</p> <p>There is a strong working relationship between the local authority and the regional consortium. The local authority has moderated the outcomes of categorisation, in partnership with the regional consortium. 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.</p>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Officers will continue to ensure the agreed commissioning arrangements are refreshed and delivered and impact positively on the performance of schools. A comprehensive review of the Local Authority annex is underway to ensure it is closely related with the priorities contained within the Education Directorate Delivery Plan 2017-2018. Local Authority officers and members of the Consortium have already identified the need to commission more comprehensive support for Governors and support for Federations. 	<p>Nick Batchelar</p> <p>(Angela Kent)</p> <p>Councillor Sarah Merry, Deputy Leader & Education, Employment & Skills</p>

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					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".					
<p>ICT Platforms Unsuitable/Outdated</p> <p>The ICT platforms (desktop, software, network, servers, and telephones) will not be able to support the technologies required by the corporate change programme and deliver effective service to the council, or will not provide a reliable service due to age and condition of equipment and systems.</p>	<p>Reputational / Financial / Stakeholder / Service delivery.</p> <ul style="list-style-type: none"> Loss of PSN services. Service delivery impacts from unreliable/unavailable ICT systems Cardiff seen as unable to deliver on aspirations Poor morale from frustrations with inability to deliver services. Potential for income losses from revenue collection impacts. Unable to meet delivery deadlines on both business as usual and transformation projects. 	A	2	High Priority	<ul style="list-style-type: none"> 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 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. Migrated users from CAG to ASA. Project plan to move over users complete. 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Development of lifecycle monitoring and clearer customer engagement. Pilot leasing scheme within schools to be considered for corporate desktop estate Breakdown of costs to remediate to be generated and reviewed. To include workstation replacement costs, supporting network infrastructure and server infrastructure. 	<p>Christine Salter (Phil Bear)</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance.</p>
<p>Safeguarding</p> <p>Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners.</p>	<p>Reputation / Financial / Stakeholders / Service delivery / Legal / Partnership / Community</p> <ul style="list-style-type: none"> A child/ren 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. <p>Potential litigation with associated financial penalties.</p>	B	1	High Priority	<ul style="list-style-type: none"> Embedding the Social Services & Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding. Strategic review of safeguarding governance across the region completed 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 included in 2017/18 budget Cardiff Council hosting the All Wales Adult and Child Protection Procedure re-write. Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with the Child Sexual Exploitation (CSE) Strategy. 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Training staff in relation to Adult Protection Orders. Draft Annual Plan for Regional Adults / Childrens Safeguarding Board. 	<p>Tony Young & Davina Fiore</p> <p>Councillor Susan Elsmore, Social Care, Health & Well-being</p> <p>Councillor Graham Hinchey, Children & Families.</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance.</p>
<p>Budget prioritisation</p> <p>Failure to deliver the statutory obligation of setting a balanced annual budget and a fully informed Medium Term Financial Plan which takes into account statutory budget planning obligations (compounded by the risk of only receiving annual settlement figures from the Welsh Government).</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> 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. 	A	1	High Priority	<p>2018/19 and Medium Term</p> <ul style="list-style-type: none"> 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 has been used for 2017/18 and will be a key part of the assurance for 2018/19 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. Robust monitoring are and will take place during 2017/18 in order to inform the 2018/19 budget position. The MTFP set out in the July 2017 Budget Strategy Report shows an estimated Budget Reduction Requirement of £73.512m for the medium term 	C	2	Medium Priority (Red/Amber)	<p>2018/19 and Medium Term</p> <ul style="list-style-type: none"> The 2018/19 Finsl Settlement was received in December 2017. Budget on track to be approved at Council February 2018 Continue the work that ensures alignment with the demands of the Wellbeing of Future Generations Act with the 2018/19 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. 	<p>Christine Salter (Ian Allwood)</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance.</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
	<ul style="list-style-type: none"> 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 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. 				<p>(2018/19-2020/21).</p> <ul style="list-style-type: none"> Close working with Policy team in respect of alignment with Corporate Plan and duties under Wellbeing of Future Generations Act. 				<p>Medium Term</p> <ul style="list-style-type: none"> Continued due diligence, challenge of proposals and development of detailed plans for both 2018/19 to 2020/21 Continue to refresh assumptions at key stages as relevant information becomes available.. 	
<p>Financial Resilience</p> <p>The Financial resilience of the Council over the medium term is significantly weakened so that it is financially unable to discharge its statutory obligations and services to the citizens of Cardiff.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> The Council regularly reports in relation to its financial performance and monitoring. 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. Subsequent report received stated that the Council has a transparent and effective savings approach which supports financial resilience being achieved. Further Improvement actions associated with the medium risk for financial planning related to 1) Fully developing savings proposals prior to start of year, with realistic timescales set and 2) Continuing to improve and further develop links between the MTFP and Organisational Development Programme. A financial snapshot is used to report the financial resilience of the Council and is reviewed 3 times a year and reported at Budget Report (Feb17 & Feb 18), Budget Strategy (Jul) and to Audit Committee. 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> 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 deliver. 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. 	<p>Christine Salter (Ian Allwood)</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance.</p>
<p>Budget Monitoring (Control)</p> <p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the drawdown of reserves.</p>	<ul style="list-style-type: none"> 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. 	A	1	High Priority	<ul style="list-style-type: none"> 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 £3 million General Contingency was allocated in the Budget. Availability of General Reserve should this be required. The final 2016/17 outturn showed a balanced position. However this included an overspend of £7.63m in relation to directorate budgets with shortfalls of £6.475m against 2016/17 savings targets and £1.881m against shortfalls carried forward from 2015/16. The Corporate Director of Resources, Chief Executive and Cabinet Members have continued to hold challenge meetings going forward into 2017/18 in all areas both to address shortfalls against budget proposals accepted but also the overall financial position of each directorate. 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. 	B	2	High Priority	<ul style="list-style-type: none"> 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 monitoring process progresses. 	<p>Christine Salter (Allan Evans)</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance.</p>
<p>Health and Safety</p> <p>Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> Fatalities Serious injuries Prosecution – fines for body corporate and/ or fines/imprisonment for individual Claims 	A	1	High Priority	<ul style="list-style-type: none"> Appointment to OM1 post for Head of Health and Safety, started 4/9/17. Restructure of the Health and Safety Team required, to increase resources and skill set. Health and Safety support for schools is limited, Concerns regarding statutory compliance on the range of statutory issues including the following high risk issues:- <ul style="list-style-type: none"> Asbestos Control Fire Safety Electrical Safety Gas Safety Legionella Control Responsibility for Implementation of RAMIS transferred to H&S in September 2017. RAMIS4Schools has been made available to all schools and holds all up to date H&S information specific to Education/schools. 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. 	B	1	High Priority	<ul style="list-style-type: none"> Restructure of the Health and Safety Team, is a key priority, HR process completed, five posts out to advert w/c 29-1-18. Health and Safety Support Service for Schools to be urgently established, currently under consultation with unions. Service to be funded by re-allocation of existing Education budgets. Implementation of RAMIS Statutory Maintenance system in schools will be held up until H&S school support officers are in place, due to the resource required to implement the system in schools. Education Compliance work being merged into Health and Safety to ensure a co-ordinated approach to all compliance issues in schools. Audits of Statutory compliance undertaken across all schools to determine current position, information used to update RAMIS, an overview of results to be provided to each school. RAMIS Live which manages Statutory Maintenance has been rolled out to Technical Officers, currently information is being uploaded to provide an accurate position on statutory maintenance across the top five disciplines, to be reported to SMT bi-monthly. One of the four new H&S Posts will be 	<p>Christine Salter (Donna Jones)</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance.</p>

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					<ul style="list-style-type: none"> Policy and Codes of Guidance reviewed, further work required in this area going forward to ensure that all policies are up to date and reflect current practice within the Council. 				<p>responsible for administrating the system and supporting role out to all building managers.</p> <ul style="list-style-type: none"> Although they have received training, existing statutory maintenance contractors are reluctant to take on uploading to RAMIS, however this is written into the new statutory maintenance tenders which are due to be issued in February 2018. In the mean time Health and Safety will work with Property to ensure test certificates are uploaded to the system to maintain accurate records of compliance. Fire Risk Assessments being undertaken via. RAMIS on schools buildings. Building Control Officers are being trained to support with risk assessment of Corporate Buildings using RAMIS to upload the assessment findings and remedial tasks. One full time Fire Safety Officer has been recruited via. Citrix to support Fire Risk Assessments in schools, which are a high priority in response to WG questions. Expertise required internally on asbestos to reduce the reliance on external specialist contractors, improving quality and reducing costs. This will also permit improved asbestos management across the Council, including incident investigation, advice on asbestos removal works, as well as developing in-house staff competency to deal with low level asbestos works. Legionella Review being undertaken across all premises to determine contract required for water quality monitoring for the next three years. <p>Electrical Safety Policy introduced, briefing sessions delivered to technical divisions. H&S currently in consultation with the HSE with regards to a number of electrical safety queries. HSE plan to inspect Highways 'lighting maintenance' in March 2018, date to be confirmed.</p>	
<p>Climate Change & Energy Security</p> <p>Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health & Safety</p> <p>Climate change will result in more intense and frequent rainfall events causing flooding, impacting:</p> <ul style="list-style-type: none"> Loss of life and personal injury; Direct damage to property, infrastructure and utilities; Contamination and disease from flood and sewer water and flood on contaminated land; Increased cost of insurance; Break up of community and social cohesion; Blight of land and development. <p>SHORT TERM RISKS</p> <p>Climate change is noted to already be affecting the frequency and intensity of rainfall events, making storm events flashier and increasing the rainfall volume. Our existing drainage network has not been designed to accommodate this increase in rainfall and in the short term, there will be an increase in flood events from urban drainage systems.</p> <p>LONG TERM RISKS</p> <p>The influence of climate change will increase in the future and continue to have a growing influence on rainfall intensity and frequency. The urban drainage network in Cardiff will increasingly underperform and not be able to accommodate the increase in surface water runoff response time and volume from storm events. Storms will become flashier and carry higher rainfall.</p> <p>Poor management of new development will exacerbate the potential flood risk by not reflecting natural drainage catchments and by not dealing with rainfall at source.</p> <p>Fluvial Flooding</p> <p>There are 3 main rivers impacting the City - whilst main rivers are the responsibility of Natural Resource Wales, and as a Local Flood Authority we are not responsible for them, the affects of climate change will result in more flooding i.e. the same short term and long term risks will apply in relation to fluvial</p>	B	1	High Priority	<p>Emergency Management Unit</p> <p>Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) structure to ensure planning is carried out with consideration of flood risk.</p> <ul style="list-style-type: none"> 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 <p>We have further developed our capability to communicate with the public with the development of the EVAC Cardiff App which is now available for both android and apple systems. Alongside the App we are developing a stand-alone website to offer further advice and information to back up the information available via the App.</p> <p>We have procedures in place to alert relevant departments within the council to extreme temperatures and work with partner agencies in line with Welsh Governments Heatwave Plan, this can be found via the following link; http://www.wales.nhs.uk/docopen/218909/</p> <p>Energy Management Unit</p> <ul style="list-style-type: none"> 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 	C	1	Medium Priority (Red/Amber)	<p>Emergency Management Unit</p> <ul style="list-style-type: none"> 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 <p>Energy Management Unit</p> <ul style="list-style-type: none"> 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 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. <p>Flood Management Planning</p> <p>Implement Planning SPG for Management of Surface Water in Development to ensure the use of sustainable drainage systems and that developments consider surface water flooding. Atkins have been commissioned to complete the document for officer review.</p> <p>Sustainable Development Unit</p> <ul style="list-style-type: none"> Climate Change is is referenced in the Well-Being Assessment and an action included in the draft Well-Being Plan. Work to be undertaken with both the Covenant of Mayors and the Compact of Mayors (merging to become the Global Covenant of Mayors for Climate Change) to agree a consistent method of emissions reporting and action 	<p>Andrew Gregory</p> <p>Councillor Michael Michael, Clean Streets, Recycling and Environment.</p>

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	<p>flooding.</p> <p>Increased summer temperatures:</p> <ul style="list-style-type: none"> An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services An increase in demand for limited water supplies Damage to temperature sensitive infrastructure (transport systems, electrical systems). Migration of biodiversity. <p>Inconsistent energy supply and cost:</p> <ul style="list-style-type: none"> Inability to deliver public services Decrease in economic output Disruption to the supply of utilities Increased transport costs Increased costs for heating / providing services to buildings Increased fuel poverty 				<p>being implemented with projects categorised across all strands.</p> <ul style="list-style-type: none"> 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. <p><u>Flood management</u></p> <p>"Local Flood Risk Management Strategy</p> <p>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.</p> <p><u>Flood Risk Management Plan</u></p> <p>In 2013, as a requirement of the Flood Risk Regulations 2009, the Environment Agency, working with Natural Resources Wales and Lead Local Flood Authorities, produced the updated Flood Map for Surface Water (uFMfSW). The maps identify the risk, extent, velocity and hazard posed to Cardiff for a series of rainfall events.</p> <p>These maps have been used to inform the Flood Risk Management Plans, which Cardiff have produced as a requirement of the Flood Risk Regulations 2009. The plan sets out how Cardiff Council will over the next six years manage flooding so that the communities most at risk and the environment benefit the most. The plan does this by:</p> <ul style="list-style-type: none"> 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. <p><u>Planning</u></p> <p>Project Management techniques and partnership working are being used to effectively manage the process of preparing the LDP Annual Monitoring Report (AMR) and a programme of Supplementary Planning Guidance (SPG). In addition a process has been identified and tested to collect data relating to the flood risk indicators. TAN15 of Planning Policy Wales requires the consideration of climate change by increasing the rainfall depth. This allows new development to take future impacts of climate change into account in the design process.</p> <p><u>Retrofit of SuDS</u></p> <p>Retrofit of Sustainable Drainage to remove surface water from piped systems and control surface water at source through schemes such as Greener Grangetown. Consideration needs to be given to potential locations where sustainable drainage retrofit can be considered and to communicate with Dwr Cymru Welsh Water to obtain support for such schemes to prevent the overloading of hydraulic systems. been identified and tested to collect data relating to the flood risk indicators.</p> <p><u>Sustainable Development Unit</u></p> <p>The Council has signed up to both the Compact of Mayors and the Covenant of Mayors. Reporting year 2 data submitted for the Compact of Mayors Carbon Disclosure Project and a Monitoring Emissions Inventory for the Covenant of Mayors Sustainable Energy Action Plan.</p>				<p>planning so as to not duplicate efforts and get maximum benefit from the commitments.</p>	
<p>Coastal Erosion</p> <p>Breach of current defences resulting in widespread flooding.</p>	<p>Health & Safety/ Service Delivery / Reputation / Legal / Financial /Community & Environment /</p> <p>The coastal defences across Cardiff's foreshore are in very poor condition and erosion is already taking place at a rapid rate. The area concerned is the Rover Way foreshore to Lamby Way and the risks to the authority are:</p> <ul style="list-style-type: none"> Continued coastal erosion along the coast threatening the Rover Way Traveller site and critical infrastructure including Rover Way and the Rover Way/Lamby Way roundabout; 	B	1	High Priority	<ul style="list-style-type: none"> There are no current controls in place to mitigate the flooding and coastal erosion risk. The current adhoc defences along the area are in a very poor condition. The necessary works are holistic and cannot be phased, therefore the residual risk rate cannot be lowered until the completed construction of the coastal defence scheme in its entirety. 	B	1	High Priority	<ul style="list-style-type: none"> An Outline Business Case (OBC) has been submitted to Welsh Government for review as part of the WG Coastal Risk Management Programme that provides a funding mechanism for 75% of onward capital costs. A 25% capital matchfunding bid for 18/19 has been submitted. A Cabinet Office Forward Plan is to be submitted for March 2018 Cabinet Meeting for funding approval. <p>The total costs associated with the design, Early Contractor Engagement and construction phases have been estimated at £10.9M (WG 75% funding = £8.2M and CCC 25% funding = £2.7M)</p>	<p>Andrew Gregory</p> <p>Councillor Michael, Clean Streets, Recycling and Environment</p>

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	<ul style="list-style-type: none"> Erosion to two decommissioned land fill sites, with risk of releasing landfill material into the Severn Estuary and having significant environmental impacts; Flood risk to 1,116 residential and 72 non-residential properties over 100 years, including risk to life, property, infrastructure and services. <p>N.B. the predicted rates of erosion threaten the Rover Way Travellers Site and the adjacent electrical substation <u>within 5 years</u>, and further release of large volumes of unknown tip material from the Frag Tip into the Seven Estuary.</p>								<p>Subject to securing this funding, current project timeframes run between 2018 and 2021, with proposed actions as follows:</p> <ul style="list-style-type: none"> Tender process for detailed design to determine the exact scheme Tender process for construction of works Construction of coastal defences 	
<p>Information Governance</p> <p>Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> Leads to the Information Commissioner issuing notices of non-compliance These could consist of: <ul style="list-style-type: none"> a Stop Now Order which would mean that no personal data could be processed 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	<ul style="list-style-type: none"> Information Security Board chaired by the SIRO held quarterly. Suite of Information Governance Policies in place and annually updated. Processes for Information Requests, Data Loss in place. The Information Governance Training Strategy in place and training provided to staff with access to electronic personal data Information Requests and Training compliance monitoring reports provided and reported to Information Security Board, SIRO. ICO Consensual Audit determined that the Council is considered to have a 'reasonable level of assurance' in place Standard Contracts include a clause regarding 3rd Parties processing personal data and obligations in respect of Freedom of Information Processes established through procurement and ICT acquisition processes for ensuring Privacy Impact Assessments are completed if personal data is being processed, including Data Processing Agreement with third party contractors Privacy Impact Assessment Board established to ensure that the Council, when changing systems and processes where personal data is involved, considers relevant legislation. Advice provided to the National Adoption Service, and Service Level Agreements in place for service provisions to Rent Smart Wales and Cardiff Capital Region City Deal 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 and Shared Regulatory 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' and programmes of digitisation support provided to services where contracted. Corporate Retention schedule in place and updated annually in line with any legislative changes Information Governance Maturity Model established to monitor risks against areas of information governance to feed into corporate risk status The Digitalisation of Paper Records Strategy and associated business process changes is in place A Corporate external storage contract is in place to improve processes and financial spend on storage of paper records externally The Council's Data Processing Agreement template has been updated to ensure that this remains compliant with the requirements of the Data Protection Act GDPR Implementation Plan is in place and a GDPR Implementation Group has oversight of progress and will escalate issues to the Operational Manager Information Governance and Risk Management and the Council's SIRO. 	C	1	Medium Priority (Red/Amber)	<p>1) Completion of the GDPR Implementation Plan (6 months)</p> <p>2) Improve the IG Training compliance to meet the target of 100% (3 months)</p>	<p>Christine Salter</p> <p>(Vivienne Pearson)</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance.</p>
<p>Social Services – Provision</p> <p>Failure to provide robust and adequate social services in the context of increasing costs and limited resources.</p>	<p>Reputational / Community / Legal / Financial / Stakeholders / Service delivery</p> <p>Quality and range of services and interventions compromised, e.g.:</p> <ul style="list-style-type: none"> Safety and welfare of individuals in the community compromised. 	B	1	High Priority	<p>Strategic service improvement governance arrangements including:</p> <ul style="list-style-type: none"> 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. Disability Futures Programme in place to transform futures for disabled children. Community Resource Team moved to 7 day working. 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Implementation of strategic review facilitated by the Institute of Public Care with a view to agreeing a 5-10 year Financial Strategy for adult social care. Inter-agency, city wide preventative strategy for children under development to include: <ul style="list-style-type: none"> Further enhancement of the Early Help Strategy. Pilot locality initiative with third sector partners. Extension of Signs of Safety. 	<p>Tony Young</p> <p>Councillor Susan Elsmore, Social Care, Health & Well-being</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
	<ul style="list-style-type: none"> 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). 				<ul style="list-style-type: none"> Director has commissioned the Institute of Public Care (IPC) to facilitate strategic development as follows: <ul style="list-style-type: none"> Develop outreach Community Resource Team services. Develop Older People's Housing Strategy. Redesign of Day Opportunities for Learning Disabilities to include capital programme. Development of a Reablement Strategy. Comprehensive Integrated Care Fund (ICF) funded interventions designed to strengthen domiciliary care capacity in place. Workforce augmented as a consequence of funded pressures and additional posts. Financial 5-10 year analysis of growth and pressures completed. Key strategies to promote independence, manage demand and enhance prevention in place as follows: <ul style="list-style-type: none"> Early Help Strategy (for children). Multi-Agency Safeguarding Hub (MASH). Adolescent Resource Centre. Signs of Safety. Asset Based Approaches in Adult Services. Enhanced First Point of Contact with Communities & Housing Directorate. 				<ul style="list-style-type: none"> Linking to realignment of Families First programme. 	Councillor Graham Hinchey, Children & Families.
<p>Promoting Independence</p> <p>Failure to sustain an effective whole system approach that enables adults with significant health needs to remain in, or return to, their own homes and reduces the need for / length of hospital stays.</p>	<p>Reputational / Legal / Financial / Community / Stakeholders / Service delivery</p> <ul style="list-style-type: none"> Increase in Delayed Transfers of Care (DToC). Poorer outcomes for adults. Potential ministerial intervention incurring significant reputational and political risk. 	B	1	High Priority	<ul style="list-style-type: none"> 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 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. 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Wales Audit Office (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; Winter Pressures Planning commenced. Market management impacting effectively and containing 'price'. Strategic review of reablement with Institute of Public care (IPC). Strategic review of Matrix (Adam) and Proactis commissioning platform under way with a view to considering new arrangements. 	Tony Young Councillor Susan Elsmore, Social Care, Health & Well-being
<p>Performance Management</p> <p>A performance management culture is not embedded within the Council leaving the Council exposed to intervention by Welsh Government in line with the Local Government (Wales) Measure 2009 and associated requirements.</p>	<p>Reputational / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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 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. Increasing the transparency with which we manage our performance The Self-Assessment process has been established 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 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 A reporting framework has been developed that allows the right audiences to focus on the right level of detail to better aid decision-making. Some elements of this were used in the Q4 2016-17 performance reporting cycle and will be fully implemented for the reporting of performance for Q1 2017-18 to ensure robust reporting arrangements for the WBFAG Act 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Ongoing work continues to launch and embed the PMF, work has been undertaken with Comms to align the PMF with the Capital Ambition Branding Additional content is being developed and training materials and corporate induction content is being developed with the Cardiff Academy. Completion of this work is anticipated in Quarter 4 2017/18 and Quarter 1 2018/19 	Christine Salter (Joe Reay) Councillor Christopher Weaver, Finance Modernisation and Performance.

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
					<ul style="list-style-type: none"> A Directorate Delivery Plan template was developed, that incorporates the Future Generations requirements and the 5 ways of working. All directorates have developed these plans Discussions have commenced with key representatives to further develop the self-assessment process which will contribute to the development of the Corporate Plan. Service Level scorecards have been developed across the Council and combine planning and reporting elements. These Scorecards are used, where appropriate, to provide additional detail to supplement the reporting against the Strategic Directorate Priorities and the Corporate Plan Wellbeing Objectives Directorate Delivery Plans were developed and in use from April 2017. 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 Building on the work carried out in 2016-17 a new quarterly reporting template has been developed in collaboration with key stakeholders. A Members training session regarding the Performance Management Framework was developed and carried out at the end of the September The Performance Management Framework and Strategy has been finalised. A soft launch has taken place via the Corporate Performance Team's Public SharePoint Page and will be officially launched in Quarter 3 The Framework will ensure greater effectiveness of planning and reporting, with clearer accountabilities and enhanced 'line of sight'. A cascading matrix system of reporting has been developed through DDPs, Service Plan Scorecard and the reporting framework to demonstrate the golden thread. The high level Performance Management Framework documents are available on the Performance Team's Public SharePoint page The Self-assessment process from 2016-17 has been built on and is being rolled out in September 2017. The outputs from this will be used to develop the Corporate Plan and the Directorate Delivery Plans. 					
<p><u>Delivering Capital Ambition Programme</u></p> <p>Projects within the Programme fail to deliver the change required to ensure the implementation of the Administration's agenda and to refocus services to meet the challenges faced by the Council and the city's wider public services.</p>	<ul style="list-style-type: none"> Failure to deliver the Administration's Capital Ambition statement. Failure to respond to the key financial and organisational challenges that dominate the medium term planning horizon of the Council. Vital services will not be protected if we fail to find more efficient ways of working. Reputational impact if services do not meet increasing customer expectations. Public services are not delivered efficiently or effectively and fail to deliver joined up services to the public. Lack of a programme management approach to the delivery of these significant projects will result in lack of governance and failure to report project progress to relevant stakeholders in a timely manner. 	B	1	High Priority	<ul style="list-style-type: none"> Governance arrangements established and led by the Chief Executive. The Modernisation component of the Capital Ambition Delivery Programme is led by the Corporate Director Resources; and the Resilient Services component is led by the Corporate Director People and Communities. Disciplined approach, where risk assessment forms an integral part of the approach to change. Programmes and projects initiated with dedicated resources. Experienced gained by managing programmes and projects over a number of years, building on lessons learned. An extensive training programme for the Capital Ambition Delivery Team has been rolled out during 2017/18 to ensure both project management and business analyst's skills and knowledge are enhanced. 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. Continued implementation of Programme & Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources. SMT acts as the Sponsoring Group and receives regular updates on programme and project progress. All Programme Briefs are submitted to SMT for discussion prior to them being signed off at the relevant programme board. Cabinet report dated 14th December 2017, approved the Delivering Capital Ambition Programme. The Cabinet Performance and Delivery Group has been established and will receive Programme updates on a quarterly basis. The Capital Ambition Delivery Programme (CADP) supersedes and replaces the Organisational Development Programme that had been in place since May 2014. 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> All programme briefs for the CADP will go into SMT for review. Once this has been done they will then go to the relevant programme board for discussion and sign-off. The Senior Responsible Owners will identify project managers/Business change managers for each of the programmes. These will then be responsible for developing project briefs during Q4 of 17/18 and Q1 of 18/19. All projects within the CADP will be captured on the Council's PPPM database. The current Organisational Development Programme will be closed down with programme closure reports being developed by the end of quarter 4/early part of Q1 18/19. A criteria for how projects will be accepted into the CADP will be developed with SMT. Governance arrangements will be reviewed to ensure the projects within the CADP are managed effectively. The Organisational Development Team will be renamed the Capital Ambition Delivery Team, to reflect the new delivery programme for the Council. A new Programme Manager's post (that replaces the previous post that has been vacant since May 2017) will be advertised in Q4. 	<p>Christine Salter (Dean Thomas)</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance.</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
<p>Legal Compliance</p> <p>Changes in services and staff roles across the Council resulting in:</p> <ul style="list-style-type: none"> - 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: <p>In each case leading to increased risk of challenges.</p> <p>Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> • 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 • Impact on capacity to deal with proactive legal work 	B	2	High Priority	<ul style="list-style-type: none"> • 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)	<ul style="list-style-type: none"> • 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. 	<p>Davina Fiore</p> <p>Councillor Huw Thomas, Leader.</p>
<p>Education – Schools Delegated Budgets</p> <p>Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> • Budget implications. • Reducing educational standards. • Intervention from WG 	A	2	High Priority	<ul style="list-style-type: none"> • 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 took 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)	<ul style="list-style-type: none"> • Council make full use, if necessary, of formal warnings and powers of intervention. • Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan, this may involve removing delegation from a Governing Body. • Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. 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 an audit of budget impact on individual schools was undertaken during the Summer Term 2017. Unfortunately the response rate was not sufficient enough to identify any further specific impacts or trends arising from the schools budget settlement. The audit will be undertaken again for the 2018/19 settlement. • 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. 	<p>Nick Batchelar</p> <p>(Neil Hardee)</p> <p>Councillor Sarah Merry, Deputy Leader & Education, Employment & Skills</p>
<p>Fraud, Bribery and Corruption</p> <p>Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> • Increase in frauds and losses to the Council. • Reputational risk as more frauds are reported. • Increased time investigating suspected fraud cases. 	B	2	High Priority	<ul style="list-style-type: none"> • 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 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> • 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 	<p>Christine Salter</p> <p>(Ian Allwood)</p> <p>Councillor Christopher</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
					<p>prevent deter and detect fraud against the Council.</p> <ul style="list-style-type: none"> 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. Undertake a skills assessment of the investigation team and invest in training as appropriate. Delivery of Cardiff Manager Progrmmer 				<p>Hearing Chairs.</p> <ul style="list-style-type: none"> 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. 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 2018/19. Measure the effectiveness of fighting fraud and corruption against the CIPFA strategy by the end of Q4 2017/18. 	Weaver, Finance Modernisation and Performance.
<p>Asset Management</p> <p>Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.</p>	<p>Reputational / Legal / Financial / Health & Safety / Stakeholders</p> <ul style="list-style-type: none"> Poor use of assets / VFM. Lost opportunity for capital receipts. Increased maintenance. Prosecutions / fines. 	B	2	High Priority	<ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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. 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 	D	2	Medium Priority (Amber/ Green)	<ul style="list-style-type: none"> Asset Management Software System - selection criteria ongoing. Recommendations to be taken back to Investment Review Board in Q4. Investment Strategy action plan reviewed and assets RAG rated. Progressing priority actions resulting in an improved capital and revenue position. Developing further strategies for remainder to improve the performance of the estate for 2018/19. The Asset Management Plan (AMP) for 2018/19 will be considered by Cabinet in quarter 4. 	Neil Hanratty Councillor Russell Goodway, Investment & Development.

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
					<p>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.</p> <ul style="list-style-type: none"> Investment Review Board approved a business case to procure a software system to hold appropriate asset management information. Investment Estate Manager recruited. 					
<p>Workforce Planning</p> <p>Importance of forecasting and planning to build capability and capacity for the future is not fully recognised and embedded.</p>	<p>Reputational / Financial / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Workforce Strategy developed and agreed by Cabinet in April 2015 and programme developed to encompass a number of projects relating 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 Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development. 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 roll out an Essential Skills diagnostic tool to frontline employees through Commercial Services A programme of NVQ study is being 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. Work has been carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local Authorities. Project brief for Workforce Planning provides full details of milestones and implementation dates. A review of the courses provided by the Cardiff Academy has taken 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. Workforce planning tool kit has been rolled out to pilot areas and workshops taking place between May and September 2017 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> The Council is reviewing 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 are 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 Full rollout of Workforce planning toolkit to take place in 2018/19 An IT solution to be sourced during 2018/19 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 	<p>Christine Salter (Philip Lenz)</p> <p>Councillor Christopher Weaver, Finance Modernisation and Performance</p>