

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<b>EVENT DRIVEN RISKS</b>										
<p><b>Social Services and Wellbeing (Wales) Act</b></p> <p>The implementation of the Social Services and Wellbeing (Wales) Act will place new duties and responsibilities upon already pressured services.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal /Partnership/ Community</p> <ul style="list-style-type: none"> <li>Consequences arising from Bill are well documented and the subject of updates and progress reports from the WLGA and elsewhere</li> <li>WG in the lead up to the Act has presented this as a nil cost policy intervention. There are clear consequence for changed delivery models and processes across wide areas of delivery in adult social care and in some key areas of children's services. The major implications will not be realised until the medium to long term when the fuller effect of the concept of 'well being' which the Act introduces becomes clearer; there are potential risks however that this may open up opportunities for legal challenge around interpretation of 'duties' under the 'well being' concept.</li> </ul>	B	1	High Priority	<p>Agencies are required to prepare an assessment of readiness in relation to Act implementation and this is to be submitted as a single regional document set out on a consistent national template. This has been facilitated by a regional coordinator dedicated to the task of supporting Act implementation. In Cardiff both Directorates have assessed readiness in relation to those areas of the Act where guidance has been issued. This has enabled awareness raising across a wider section of managers and the workforce and has provided a degree of reassurance that we are moderately place in terms of readiness across most areas; the second tranche of guidance is not yet available.</p> <p>A new management structure has been agreed which will establish a single Social Services Directorate bringing together Children's and Adult social care. This will provide for singular and integrated professional direction, oversight and leadership, consistent with the new Act and will facilitate more effective direction of shared capacity.</p> <ul style="list-style-type: none"> <li>A Regional Adoption Manager has been appointed and the new regional service will commence on 1<sup>st</sup> June 2015, after which Cardiff Council will no longer directly provide adoption services</li> <li>The Cardiff hosted National Adoption Service (responsible for overall performance management, national strategy and governance) is now established and delivering an effective service.</li> <li>Integrated Health and Social Care work streams are being delivered through shared C&amp;V funding from the RCF, ICF and Transformation grants from Welsh Government</li> <li>Contract awarded to provide Payment by Results enhanced fostering scheme following from mandate to introduce a Social Impact Bond.</li> <li>New guidance setting out the terms of the Social Care Development Workforce Partnership Fund was issued in early March and requires agencies to establish new regional partnership governance arrangements and a delivery plan for 2015-7. Early anticipation of this has enabled preparatory work with the VoG but this now require urgent acceleration in to order to secure grant against very unrealistic WG expectations. Meetings to ensure delivery are arranged.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The Director of Social Services Annual Report for 2013/14 has been presented and accepted at full Council following consultation with the Joint CASSC and CS Scrutiny Committees. This has taken account of the CSSIW annual evaluation letter.</li> <li>Reference to delivery of the Act and continuing consultation programmes will be delivered within a joint 'Social Services Business Plan' to reflect the imminent new management structure for social care.</li> <li>Joint approaches to developing opportunities across Cardiff, the Vale of Glamorgan and UHB have been closely monitored through the H&amp;SC Service Development Programme Board and the IHSC Strategic Implementation Programme Board and the IHSC Strategic Implementation Group, Leadership Group &amp; Governance Group involving senior Directors, Chief Executives, Cabinet Members and Leaders of both Council's and the UHB. It is not anticipated that management restructure will substantially alter these arrangements.</li> </ul>	Tony Young & Siân Walker
<p><b>Hostile Vehicle Mitigation in Cardiff</b></p> <p>Vehicle Borne Improvised Explosive Device (VBIED) detonating in an area identified as a high risk crowded place, as a result of the inappropriate boundary treatments and access control processes protecting and managing it.</p>	<p>Service Delivery / Reputation / Legal / Financial / Health &amp; Safety / Financial / Partnership / Community &amp; Environment / Stakeholders</p> <p>Potential for:-</p> <ul style="list-style-type: none"> <li>Large no's of fatalities, injuries to public in crowded place.</li> <li>Extensive structural damage and/or collapse of surrounding buildings.</li> <li>Major fire.</li> <li>Damage/disruption to utilities (gas, electricity, water etc.)</li> <li>Immediate impact to businesses in the Cardiff area.</li> <li>Media coverage affecting public perception, leading to a loss of public confidence directly resulting in reduced business, retail and tourism revenues generated in the city.</li> <li>Area to be viewed as a risk for potential future business investment.</li> <li>Inability to attract major future national and international events (political, sporting etc.)</li> <li>Increase in demand for council services/support for all affected.</li> <li>Current economic climate to reduce the effectiveness of any recovery/regeneration of the area</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>All existing identified high risk; crowded places have been formally assessed.</li> <li>Most crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge.</li> <li>Most crowded places have varying standards of boundary treatments protecting them; providing a limited/cursory visual deterrent but little/no protection from a hostile vehicle.</li> <li>CONTEST Protect/Prepare Task &amp; Finish Group has developed a City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'.</li> <li>20 (40%) of the identified 'gateways' into the crowded places already benefit from PAS 68/69 mitigation in place, implemented as a direct result of Home Office (Crowded Places) and Olympic Legacy funding.</li> <li>Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services &amp; Cardiff Council provide Project Argus and EVAC/Griffin training across the city to raise awareness for likely impacts associated with major incidents and in particular, terrorist attacks. The sessions also cover the support likely to be immediately available from the emergency services and Cardiff Council, the practical and simple preparations people/organisations can make prior to incident occurring to help themselves manage and recover from its impacts.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>WECTU CTSA's, the Emergency Services &amp; Cardiff Council continue to promote and provide Project Argus and EVAC/Griffin training across the city. The revised products were launched nationally in November 2014 and are now being rolled out in South Wales.</li> <li>The CONTEST Protect/Prepare Group will continue to maintain the City Gateways Public Realm Enhancement Scheme to ensure that the proposed PAS 68/69 mitigation for the remaining gateways remains appropriate. This work also includes the estimated costs for the procurement and installation of the PAS 68/69 mitigation and ancillary services.</li> <li>Work is ongoing with Strategic, Planning, Highways, Traffic &amp; Transportation (SPHTT) to advise developers across the city in relation to appropriate mitigation required.</li> <li>The CONTEST Protect/Prepare Group will continue to monitor and review the scheme to ensure it is fit for purpose until it is fully installed.</li> <li>Additional funding must be secured to procure and install the PAS 68/69 mitigation at the remaining 30 gateways (currently).</li> <li>The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters.</li> <li>Further work has been undertaken to incorporate the car parking requirements of the Tabernacle, with an annex document being developed to better manage its 'users', covering their requirements whilst adhering to the existing Traffic Regulation Order. 'Sign-off' for this document is anticipated shortly.</li> <li>Two CT briefings were held in 15<sup>th</sup> &amp; 22<sup>nd</sup> January 2015 for Civil Parking Enforcement staff to raise awareness of in relation to the Access Control Protocol, the National Threat Level and the ways in which they can support the work of CONTEST.</li> <li>The CONTEST Protect/Prepare Group will continue to support SPHTT in the delivery of all outstanding and future works associated with this risk.</li> </ul>	Andrew Gregory

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<p><b>Welfare Reform</b></p> <p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform Bill 2011, Universal Tax Credit, localisation of Council Tax Benefits, Social Fund reform, Introduction of the Benefit Cap and size restrictions for social tenants. Lack of information, short timescales for implementation and the large number of citizens affected makes this a significant risk.</p>	<ul style="list-style-type: none"> <li>Private landlords stop renting to benefit claimants</li> <li>Increased homelessness and demand for temporary accommodation</li> <li>Increased rent arrears</li> <li>Redeployment / Severance for 140 staff</li> <li>Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties.</li> <li>Funding issues with Council Tax Reduction Scheme</li> <li>Emergency help not available to those in need if Discretionary Assistance Fund (replacement for Social fund does not operate effectively.</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit. To date this private landlords have not withdrawn from the benefits market but changes in the economy could influence this in the future so this will continue to be monitored closely.</li> <li>Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help private tenants to move accommodation where necessary.</li> <li>Timely information is being given to claimants to help them respond to the changes.</li> <li>Council Tax Reduction scheme worked well in 2014/15 and has been continued for 2015/16. Currently the reduction is based on 100% of liability so there has been no across the board cut to benefit. However funding issues could prevent this in the future.</li> <li>A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move. Unfortunately the DHP grant has decreased in 2015/16</li> <li>While arrears have increased this increase was much lower than anticipated due to effective management of the DHP fund and close monitoring of arrears. Many tenants remain affected and concern remains that arrears could rise further in the future</li> <li>The number of properties becoming vacant has increased as a result of Welfare reform and this combined with other issues has resulted in a significant increase in void rent loss. Work is being done to encourage exchanges rather than transfers as this will prevent properties becoming vacant as a result of the changes.</li> <li>The number of tenants in temporary accommodation has increased, however there are a number of factors contributing to this, this is being monitored carefully and has recently started to reduce.</li> <li>The benefit cap - the impact on rent arrears of this change is being monitored. Schemes have been put in place to protect those in Temporary accommodation and to encourage other tenants affected to return to work.</li> <li>The communication plan is working well Factsheets have been developed and are constantly being updated as more is understood about the changes. Briefings are sent to external stakeholders updating them of any changes.</li> <li>The Welfare Reform Task Group is working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected.</li> <li>Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate.</li> <li>The date of the commencement of the transition to Universal Credit is Autumn 2015 however this will initially affect only a small number of clients, planning for staff reductions is still not possible. The scheme has been changed to include more information sharing for landlords and this should offset some of the risk. Work on digital inclusion and banking project is going well and training is provided across the city.</li> <li>The Advice Hub in Marland House is working well, providing comprehensive advice services for those affected by Welfare Reform.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Workforce plans will be developed once the exact details of the Universal Credit changes become available, at present there is still no detailed migration plan. Officers are working with the DWP on the Local Services Support Framework which may result in an ongoing role for local authorities under Universal Credit, meetings will be taking place on this during the Spring / Summer.</li> <li>Digital inclusion training and banking support is ongoing and the success of this will be monitored during the year</li> <li>Additional resource has been agreed for supporting tenants with the Universal Credit changes and staff are being recruited to assist with this.</li> <li>Work has been undertaken to cost the potential risks of Universal Credit and this will continue to be updated as the more information is known.</li> <li>Size restriction for social tenants and the Benefit Cap remains a significant risk with potential increased arrears and homelessness, procedures are being kept under review to identify any further action that can be taken, including more support for those wishing to exchange. Regular meetings are held with social housing providers to monitor and improve processes. The DHP fund is reducing during 2015/16 and it will be necessary to review the support available to those affected by these changes during the year.</li> </ul>	Sarah McGill (Jane Thomas)
<p><b>Waste Management</b></p> <p>Failure to achieve targets for Landfill allowance, specifically for Biodegradable Municipal Waste and WG statutory Recycling Targets. Ineffective delivery of recycling targets and residual waste treatment.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Environmental / Community</p> <ul style="list-style-type: none"> <li>Significant financial penalties for failure at up to £200/tonne.</li> <li>Procure landfill elsewhere with additional costs.</li> <li>Reputation damage</li> <li>Increased costs of landfill and alternative treatment markets</li> <li>Risk to grant funding currently £7.25m 2013/14</li> <li>No MTFP for future grant funds or capital confirmed by WG</li> </ul>	B	1	High Priority	<p><b>Policies / Strategy</b></p> <ul style="list-style-type: none"> <li>Previous updates contain the policy position improvements between 2008-2013.</li> <li>Waste Management Strategy 2011-2016 was approved on 13th Jan 2011 and remains current however is due for review.</li> <li>Several progress reports have been made to Cabinet and Environmental Scrutiny in that period.</li> <li>Monthly performance tracking of recycling has been established to help predict the end of year position.</li> <li>Steps taken to improve MRF processing rates in Qtr 3 means less waste to landfill.</li> <li>Commercial recycling centre opened march 2014.</li> <li>Focus on pre-sort on the HWRCs is showing improvements in site recycling.</li> </ul> <p><b>Contracts / Projects</b></p> <ul style="list-style-type: none"> <li>Several Contracts have been put in place for additional materials to be recycled from the HWRC's.</li> <li>Interim contract in place for disposal of biodegradable green/food waste</li> <li>A flexible Interim Disposal Contract in place with Biffa for 2-10 years; commenced April 2009.</li> <li>Aggregate recycling is now in place.</li> <li>Recycling litter bins are in place in the city centre.</li> <li>New initiatives such a charging for bulky waste, commercial recycling centre, sweepings, mattress and carpet recycling schemes are all underway.</li> <li>New HWRC delivery model has been implemented from November 13.</li> </ul>	B	2	High Priority	<p><b>Risk of Fines</b></p> <p>The minister still has yet to determine whether the council will be fined for the 13/14 failings. Therefore, the risk rating remains high.</p> <p><b>Policy / Strategy</b></p> <ul style="list-style-type: none"> <li>The outline waste strategy has been approved by Cabinet and work continues on the detailed planning. A future waste strategy options consultation was undertaken in 2013 and the next wave of consultation will be in Qtr 3. Future collection option modelling has begun and is being supported by WRAP.</li> <li>Flats Strategy to improve waste and recycling collections from flats is designed to enable greater recycling and food waste form hard to capture areas</li> <li>Stockpiling of sweepings until a suitable recycling contract can be procured.</li> <li>Exploring reuse partners.</li> <li>Working with other Local Authorities to explore TEEP business cases and/or exploring joint working options</li> </ul> <p><b>Contracts / Projects</b></p> <ul style="list-style-type: none"> <li>Progress the Organic procurement is to timescale to SCD of 01/04/16. Interim contracts remain valid.</li> <li>An interim Contract for residual treatment is in place for when the landfill closes and to ensure LAS targets are met and tax avoided wherever possible.</li> </ul>	Jane Forshaw

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					<p>This year, placing the focus on pre sort high quality recycling and removing the reliance on post sorting of waste.</p> <p><b>Prosiect Gwyrdd</b> Financial Close occurred December 2013 Viridor are the appointed contractor which commences Sept 2015.</p> <p><b>Organic procurement</b> IAA drafted and reports have been completed to both Cardiff and the Vale of Glamorgan Cabinets who took a decision in October to continue with the current procurement process and governance arrangements, delegate to officers all aspects of the procurement up to preferred bidder stage, the decision to appoint will be a full Council decision and approved that the Council enters in to a Inter Authority Agreement with the Vale of Glamorgan Council.</p> <p><b>Household &amp; Commercial Waste Collections</b> Household Waste collections were changed further towards the WG recycling blueprint in 2011 by changing to: fortnightly black (with accompanying hygiene services and weekly food and dry recycling and fortnightly green. National government discussions on comingled recycling remain an issue.</p> <p><b>Collaboration work</b> Working and engaging with Welsh Government on legal and policy changes.</p>				<ul style="list-style-type: none"> <li>• <b>Project Gwyrdd</b> - Financial Close occurred December 2013 Viridor are the appointed contractor which commenced Sept 2015. Planning transitional management &amp; contractual commencement arrangements</li> <li>• <b>Collections</b> <ul style="list-style-type: none"> <li>• Commercial waste operations have refined the marketing package for recycling in the commercial sector to increase recycling from commercial waste collected by the Waste Collection Authority that is included in the total MSW (and therefore relevant to statutory targets).</li> <li>• Set and achieve new commercial recycling opportunities for new materials and new income opportunities – targeting food collections and schools.</li> <li>• Risk remains high that recycling performance and weather impacts on green waste could lead to a status quo in recycling performance or at worse a drop in performance form below 52%.</li> </ul> </li> </ul>	
<p><b>Preparation of Local Development Plan</b></p> <p>Preparing a plan that is considered 'sound' by the Inspector, within the proposed timetable.</p>	<p>Service delivery / Reputation / Legal / Financial / Partnership / Community &amp; Environment &amp; Stakeholder</p> <ul style="list-style-type: none"> <li>• Preparing a plan which the independent Inspector considers 'unsound' and therefore cannot be adopted.</li> <li>• Reputational issues for the Council.</li> <li>• No adopted plan in place would mean the Council would not be in a position to effectively manage and control development- its ability would be significantly reduced.</li> <li>• Failure to achieve corporate priorities which the LDP would help deliver relating to economic, social and environmental objectives.</li> <li>• Possible breakdown of key strategic partnerships and with stakeholder groups.</li> <li>• Delays in preparation.</li> <li>• Possibility of planning applications being submitted in advance of plan adoption.</li> <li>• Possible negative publicity on delay.</li> <li>• Stakeholder concern at delay to timetable.</li> <li>• Potentially significant objections raised by objectors and / or legal challenge submitted against Council impacting on timetable and plan content.</li> <li>• Infraction proceedings against the Council resulting in significant financial penalties.</li> <li>• Insufficient resources.</li> <li>• Staff resource and monies required to undertake technical studies and other specialist advice considered necessary.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>• Use of project management techniques to effectively manage process and regular update meetings between Senior Officers and Members.</li> <li>• Monitor emerging legislation/guidance/evidence and respond early to changes.</li> <li>• Monitor budget spend and consider additional resources when required. A medium term financial bid has been agreed for 2013/14.</li> <li>• Undertake Scrutiny process together with wider Member Briefing to raise awareness.</li> <li>• Build in effective consultation and engagement into process to ensure stakeholders are informed at all stages.</li> <li>• Close liaison with the Welsh Government Planning Division and Planning Inspectorate to: <ul style="list-style-type: none"> <li>• Ensure early warning of any problems (e.g. Consultation on LDP)</li> <li>• Ensure LDP is sound, founded on a robust evidence base with sustainability appraisal and well audited community and stakeholder engagement. Undertake tests of soundness 'self assessment' at all stages of LDP preparation as recommended in national guidance</li> <li>• Ensure procedures, Act, Regulations etc, are complied with and no undue risks taken</li> </ul> </li> <li>• LDP Corporate Officers Working Group</li> <li>• A revised timetable for preparation of the LDP has been agreed by Executive and Council in November 2011. The revised timetable for the Delivery Agreement was agreed by WG in December 2011</li> <li>• Initiated schedule of meetings with Authorities within South East Wales and other stakeholders to discuss cross border and consistency issues to meet the tests of soundness</li> <li>• Meetings held with Authorities within South East Wales and other stakeholders to discuss cross border and consistency issues to meet the tests of soundness. Report of Findings agreed and forms a background paper to the Preferred Strategy.</li> <li>• A Flood Study Report to investigate fluvial food risk from reens in the Wentloog Levels has been completed and evidence presented in the report has informed the assessed candidate sites and inclusion of an additional strategic site.</li> <li>• The LDP Preferred Strategy was approved by Cabinet on 18<sup>th</sup> October 2012 and Council on 25<sup>th</sup> October 2012.</li> <li>• A consultation on the Preferred Strategy was completed on 14th December and over 1000 responses have been received.</li> <li>• Final report has been completed on population and household projections as part of the evidence base to support the Deposit Plan. Report recommends reducing the overall level of housing growth in the Plan by approximately 4,000 dwellings.</li> <li>• Final draft Gypsy and Traveller study investigating potential new sites has been completed and circulated for Member agreement.</li> <li>• Report on Masterplanning general principles was approved by Cabinet on 16th May. These principles inform the preparation of the schematic Masterplans.</li> <li>• Workshops held with officers to help inform the development of the strategic sites specific frameworks.</li> <li>• A Masterplanning Framework Document has been prepared as a background paper to the Deposit Plan.</li> <li>• The Deposit Plan was approved by Cabinet on 12<sup>th</sup> September 2013 and Council on 26<sup>th</sup> September 2013 for consultation purposes.</li> <li>• Consultation on the Deposit Plan was completed on 26th November 2013 and over 400 responses have been received.</li> <li>• Consultation on the Alternative Sites was undertaken between 11<sup>th</sup> February and 4<sup>th</sup> April 2014.</li> </ul>	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• To ensure effective partnership with service areas across the Council and seek to respond to the 187 Action Points raised by the Inspectors at the LDP Hearing Sessions by the end of April 2015 to support the LDP at examination.</li> <li>• Additional funding over the financial year 2015/16 will be needed to meet statutory requirements and support the ongoing examination of the LDP and commitments made in the LDP Delivery Agreement, which sets out a timetable agreed with Welsh Government for preparation of the LDP. Main expenditure headings over this year include the cost of the ongoing examination including planning Inspectorate costs, legal costs and other independent advice costs and publicity and printing costs relating to the Matters Arising Changes Schedule and adoption of the final version of the LDP following the publication of the Inspectors Report.</li> <li>• Key dates remaining in the process are consultation on the Matters Arising Schedule, publication of the Inspectors Report in August 2015 and adoption of the Plan in October 2015.</li> </ul>	Andrew Gregory

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					<ul style="list-style-type: none"> <li>Following approval by Council on 26<sup>th</sup> June, 2014 the Deposit Plan and supporting information was submitted to the Welsh Government and Planning Inspectorate for examination on 14<sup>th</sup> August 2014.</li> <li>Following commencement of the examination, the Council submitted Statements relating to the "Matters and Issues" raised by the Inspectors and the LDP Examination Hearing Sessions were held in January and February 2015. These Statements included Statements of Common Ground agreed with key stakeholders.</li> </ul>					
<p><b>Education – Schools - SOP</b></p> <p>Very ambitious timescales for project delivery, by a lean team, with restricted capital allocations to support reorganisation, improvement and expansion of school provision to meet growing pupil population.</p>	<p>Reputational / Legal / Financial / Social / Stakeholder / Health &amp; safety.</p> <ul style="list-style-type: none"> <li>Insufficient primary places in some areas of the City.</li> <li>Further degeneration of school buildings</li> <li>Reducing educational standards.</li> <li>Project cost and time overruns</li> <li>Risk that Welsh Government do not support the revised strategy and associated capital bid incl agreement to the additional funds requested and/or withhold individual project funding if not satisfied with Business Cases.</li> <li>Difficulties associated with data source and production could undermine proposals and stakeholder trust in the SOP change process</li> </ul>	B	1	High Priority	<p>Proposals to balance supply and demand at primary level to reduce risk of insufficiency incl:</p> <ul style="list-style-type: none"> <li>Consultation in the autumn term included a proposal to establish a new build 2FE English-medium community primary school on the Howardian site from September 2015. A statutory notice was published on 24 February and objections have been received. The Cabinet at its meeting on 28 May will consider whether to implement the proposal for implementation in September 2015.</li> <li>Consultation in the spring term included the proposed consolidation of Gabalfa Primary school at 1FE from September 2017, the permanent establishment of Ysgol Glan Ceubal at 1FE from September 2016 with the establishment of nursery provision from January 2016 on its existing site and the transfer of Glyn Derw High School onto the Michaelston Community College from January 2016. Reports on the outcome of the consultations are due to go to the May Cabinet meeting.</li> <li>Consultation on the provision of additional Welsh-medium and English-medium primary school places in and around Butetown, Canton, Grangetown and Riverside and options which respond to the rising demand for English-medium and Welsh-medium primary school places in the Adamsdown and Splott wards will be undertaken in the Summer term.</li> <li>Realigned 21<sup>st</sup> Century Schools Programme of a greater value was approved by Cabinet on 19 March. Approval in principle of the realigned strategy the Welsh Government is required including the additional grant funding requested. Funds to target reduction of asset liabilities as part of the overall consideration in prioritisation of projects to go forward and options for resolving issues in place.</li> <li>Capital bid submitted to meet suitability and sufficiency issues - suitability and sufficiency was approved as £500k per year, 2015/16 to 2019/20.</li> <li>Assets being considered corporately to maximise the opportunity to focus funds realised within the Council and through other sources on fewer high quality buildings.</li> <li>Alternative models of design, procurement and construction in the initial stages of implementation with a view to reducing likelihood of cost overruns and reduce time required to complete the whole process. For example the Eastern High two stage tender process and incorporation of standardised design approaches.</li> <li>Extensive work on the 21<sup>st</sup> Century Schools realignment undertaken in conjunction with the Welsh Assembly to ensure the bid is consistent with their aims and expectations prior to submission.</li> <li>All training specific to 5 case business training has been undertaken by several member so the team and close contact with the Welsh Government officers during preparation of bids is improving quality and resulting in good outcomes on detailed business case approvals.</li> <li>New member of SOP staff employed to support data refinement and processes</li> </ul>	B	2	High Priority	<p>All risks being monitored and reported to Schools Programme Board.</p> <ul style="list-style-type: none"> <li>Pursue 'Turn Key solution' i.e. one contract, single point of management and responsibility</li> <li>Two step procurement methods being trialled</li> <li>Standardised design methods being pursued</li> <li>Continued active dialogue with Welsh Government and other professional parties to support progress and development</li> <li>Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward</li> </ul>	Nick Batchelar (Janine Nightingale)
<p><b>Education Consortium &amp; Attainment</b></p> <p>The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> <li>Budget implications.</li> <li>Educational standards falling behind other LA's.</li> <li>Potential impact on Estyn judgement for LA.</li> <li>Intervention from WG</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The new Director of Education and Lifelong Learning continues to be part of the officer governance arrangements at CSC and the Cabinet Member for Education is part of the Joint Committee governance arrangement for the JES. The Director of Education and Lifelong Learning also continues to work alongside colleagues at ADEW and the WLGA to work through a consistent response from an All Wales perspective.</li> <li>A strengthened challenge and support framework is becoming embedded and the performance management of Challenge Advisors has been prioritised to provide consistency in the quality of service received.</li> <li>Officers from Education work with the Central South Consortium to provide challenge and support to Head teachers and Governing Bodies.</li> <li>Schools identified as requiring additional support are required to meet with the Cabinet Member for Education and Lifelong Learning and the Director of Education and Lifelong Learning.</li> <li>Council make full use, if necessary, of formal warnings and powers of intervention.</li> <li>Actions to improve challenge and support arrangements for schools and to raise standards are being closely monitored via the Estyn Action Plan by EMT and EIG, which includes the Chief Executive and Corporate Services.</li> <li>School performance is now being tracked In Year via the regular collection of currently secure results from schools.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Officers will continue to monitor risks and report to corporate management, EIG and the Cabinet.</li> <li>Establish a clearer commissioning relationship between the Council and CSC, to more robustly hold the consortium to account.</li> <li>Respond to Improvement actions identified by the Estyn March 2015 monitoring visit.</li> <li>Development of a refreshed directorate delivery plan with clear accountabilities and performance measures.</li> </ul>	Nick Batchelar (Angela Kent)

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<p><b>ICT Platforms Unsuitable/Outdated</b></p> <p>The ICT platforms (desktop, software, network, servers, and telephones) will not be able to support the technologies required by the corporate change programme and deliver effective service to the council, or will not provide a reliable service due to age and condition of equipment and systems.</p>	<ul style="list-style-type: none"> <li>Reputational / Financial / Stakeholder / Service delivery.</li> <li>Loss of PSN services.</li> <li>Service delivery impacts from unreliable/unavailable ICT systems.</li> <li>Cardiff seen as unable to deliver on aspirations.</li> <li>Poor morale from frustrations with inability to deliver services.</li> <li>Potential for income losses from revenue collection impacts.</li> <li>Unable to meet delivery deadlines on both business as usual and transformation projects.</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>Measurements put in place to track impact.</li> <li>Existing ICT budget spend focused on dealing with critical issues, capital and revenue budget resource provided in 2012-15 to address major issues, medium term financial plan investment programme in place for subsequent years.</li> <li>Spending complete for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth.</li> <li>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.</li> <li>New deliveries are all being designed for a 99.99% minimum uptime, with critical systems targeted at 99.999% (equating to less than 6 minutes per year).</li> <li>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.</li> <li>Corporate file storage systems replaced and new disk to disk backup option installed to improve performance and resilience.</li> <li>Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced to medium.</li> <li>Additional load balancers to be purchased for application resilience in key systems.</li> <li>All SAP hardware was replaced in 2014/15 and virtualised where possible</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Define a renewal programme for all desktop, software, network, servers, and telephones, appropriate to Cardiff's ambitions and resources.</li> <li>Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority.</li> <li>Refresh of existing SAP, thin client and virtual server farms.</li> <li>Development of lifecycle monitoring.</li> <li>Successful pilot leasing scheme within schools to be considered for corporate desktop estate.</li> </ul>	Christine Salter (Phil Bear)
<b>ONGOING RISKS</b>										
<p><b>Budget prioritisation</b></p> <p>The delivery of a balanced budget in February 2015 for 2015/16 remains a key concern alongside the deliverability of further significant savings over the life of the Medium Term Financial Plan.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Risk of failing to meet statutory budget setting deadlines</li> <li>Risk that service delivery impacted due to decreasing resources or failure to effectively prioritise spend inline with Corporate Plan Objectives</li> <li>Risk that savings identified as part of business as usual and efficiencies are not achieved as planned Risk that financial constraints lead to increased instances of non compliance and financial impropriety</li> <li>Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa</li> <li>Risk of unbalanced budget as savings required over the medium term become harder to achieve and their impact on service delivery more difficult to manage.</li> <li>Failure of financial organisations with whom the Council has invested money.</li> <li>Risk that organisational development does not align to the financial strategy in relation to budget reduction requirements.</li> </ul>	A	1	High Priority	<p><b>2015/16 Budget Setting</b> The 2015/16 Budget Report was set in February 2015 and included savings of £32.476M and savings from a capitalisation direction of £3.487M. The challenge now is in respect of delivery of these savings.</p> <p><b>2016/17 and Medium Term</b> The MTFP set out in the February 2015 Budget Report identifies a Budget Reduction Requirement of £51.1M for 2016/17 and a requirement over the 3 year period of £120.1M.</p>	A	1	High Priority	<p><b>2016/17 and Medium Term</b> Given the ongoing significant financial challenge the July Budget Strategy Report will include the updated Budget Reduction Requirement and a profile of savings targets over a 3 year period as well as consideration of a longer term funding outlook for the Council.</p> <ul style="list-style-type: none"> <li>Directorates will be asked to submitted savings, pressures and capital proposals.</li> <li>The Provisional Settlement for 2016/17 is due in early October.</li> </ul>	Christine Salter (Marcia Sinfield)
<p><b>Financial Resilience</b></p> <p>The financial resilience of the Council is likely to reduce over the medium term given the scale of the financial challenge ahead</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Risk that the financial position of the Council is not understood by key stakeholders</li> <li>Risk that relevant, timely action commensurate with the Council's financial challenges are not taken</li> <li>Risk that this leads to intervention and increasing issues in respect of financial resilience</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>The Council regularly reports in relation to its financial performance.</li> <li>The Budget Report brought together a number of key statements in respect of financial resilience and identified the further work that was to take place.</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>A financial snapshot is being developed in respect of the financial resilience of the Council at the point the budget was set.</li> <li>Key stakeholders will be briefed on this position.</li> <li>Financial triggers against this snapshot are being developed.</li> </ul>	Christine Salter (Marcia Sinfield)  PROPOSED RISK
<p><b>Budget Monitoring 2014/15</b></p> <p>The Council's 2014/15 Budget included budget savings of £48.6 million of which £43.8 million were identified by directorates with a further £4.8 million to be achieved via the imposition of a workforce package and other corporate savings. This level of in-year savings is significantly higher than in previous years and poses a significant risk to the budget monitoring and the achievement of a balanced spending position for</p>	<ul style="list-style-type: none"> <li>Inability to balance spend, against budget, for the financial year.</li> <li>Requirement to implement emergency measures to reduce spending during the financial year.</li> <li>Requirement to drawdown from General Reserves at the year end.</li> <li>Impact on the 2015/16 Budget where issues remain with achieving 2014/15 budget savings.</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Clear financial procedure rules setting out roles and responsibilities for budget management are in place.</li> <li>In recognition of the quantum of savings and the risks posed a £4 million General Contingency was allocated in the Budget.</li> <li>Full financial monitoring processes are in place for month 3 to 11 of the financial year including achievement of budget savings.</li> <li>Monthly meetings are held between service accountants, directors and Cabinet Members. An initial review of the budget savings took place in month 2 with full directorate / portfolio monitoring meetings having been undertaken for months 3 to 11.</li> <li>Availability of General Reserve should this be required.</li> <li>Full Council monitoring reports were presented to Cabinet in September, November and February. The February report was based on month 9 and projected a balanced position overall. Within the overall position</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The management actions implemented by the Chief Executive to reduce the level of spend across the Council will remain in place during the remainder of the year.</li> <li>The final outturn position will be reported to Cabinet in June.</li> <li>Any savings not achieved in-year during 2014/15 will be monitored during 2015/16 as part of the monitoring arrangements for that year.</li> </ul>	Christine Salter (Allan Evans)

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
the financial year.  At the time the budget was set the achievability risk ratings for the directorate savings identified that of the £43.8 million only £12.5 million was rated green with a further £20.9 million rated amber green. The balance of £10.4 million was rated red amber or red. In addition, the planning status of the savings indicated that whilst £35.2 million were in the detailed planning stage or already realised, £8.6 million had a higher degree of risk as only general planning had been undertaken at that date.					however, directorate budgets reported a projected overspend of £8.8 million including a projected shortfall against savings targets of £7.175 million. <ul style="list-style-type: none"> <li>The final outturn position will be presented to Cabinet in June.</li> <li>The Chief Executive has implemented a range of management actions to reduce the level of spend across the Council with a view to improving the overall position as the year progresses.</li> <li>The Cabinet Member for Corporate Services &amp; Performance and the Corporate Director Resources have held challenge meetings with cabinet members and directors in those areas where significant overspends are reported.</li> </ul>					
<b>Health and Safety</b>  Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.	Reputational / Legal / Financial / Service delivery <ul style="list-style-type: none"> <li>Fatalities</li> <li>Serious injuries</li> <li>Prosecution – fines for body corporate and/ or fines/imprisonment for individual</li> <li>Claims</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Dedicated team of competent Health and Safety Advisers providing specialist advice and guidance (Christina Lloyd).</li> <li>Implementation of the 'Framework for Managing Health and Safety' based on the HSE model for successful health and safety management as detailed in the Council's Health and Safety Policy (revised 2014).</li> <li>The five key elements of the management system model for occupational health and safety are:-</li> <li>Policy 2. Organising - Control, Co-operation, Communication, Competence 3. Planning 4. Measuring Performance and 5. Audit and Review. (These elements encompass a wide range of actions including development and implementation of relevant policies and procedures, risk assessing, Annual Directorate Health and Safety Action Plans, corporate health and safety objectives, Directorate and Council Annual Health and Safety Reports, monitoring by Directorates, training, consultation with trade unions through corporate and Directorate meetings, accident reporting and investigation and auditing).</li> <li>Directorates carry out suitable and sufficient risk assessments as appropriate and ensure any necessary control measures are implemented and monitored.</li> <li>Health and Safety Advisers carry out a programme of health and safety audits, focussing on high risk activities, and undertake other inspections / investigations as necessary.</li> <li>Annual Business Objectives for Health and Safety Advisers.</li> <li>Code of Guidance on Leading Health and Safety for Senior Managers and Headteachers included on CIS – Spring 2012.</li> <li>Health and Safety Leadership Action Plan 2012/13 for all senior managers OM and above.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Update Directorate Health and Safety Policies using 2014 Policy template ensuring more detail and cross referencing of operational documentation (All Directors / Chief Officers / Heads of Service).</li> <li>H&amp;S awareness sessions to Members (Christina Lloyd – ongoing).</li> <li>Address corporate H&amp;S objectives for 2014/15 (Christina Lloyd and All Directors / Chief Officers - to be completed by April 2015).</li> <li>Business objectives in Team Plan for H&amp;S Advisers for 2014/15.</li> <li>Implementation of Directorate H&amp;S Action Plans by Directorates (All Directors / Chief Officers).</li> <li>Operational Manager – Health and Safety met all new senior managers except the Chief Executive - this will be arranged in 2014. New senior managers to complete revised Senior Leadership Action Plan in 2014.</li> </ul>	Christine Salter (Christina Lloyd)
<b>Climate Change &amp; Energy Security</b>  Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.	Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health & Safety  Flooding & increased frequency and severity of storm events: <ul style="list-style-type: none"> <li>Loss of life and personal injury</li> <li>Direct damage to property, infrastructure and utilities</li> <li>Contamination and disease from flood and sewer water and flood on contaminated land</li> <li>Increased costs of insurance</li> <li>Break up of community and social cohesion</li> <li>Blight of land and development</li> </ul> Increased summer temperatures: <ul style="list-style-type: none"> <li>An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services</li> <li>An increase in demand for limited water supplies</li> <li>Damage to temperature sensitive infrastructure (transport systems, electrical systems).</li> <li>Migration of biodiversity.</li> </ul> Inconsistent energy supply and cost: <ul style="list-style-type: none"> <li>Inability to deliver public services</li> <li>Decrease in economic output</li> <li>Disruption to the supply of utilities</li> <li>Increased transport costs</li> <li>Increased costs for heating / providing services to buildings</li> <li>Increased fuel poverty</li> </ul>	B	1	High Priority	<b>Emergency Management Unit</b> <ul style="list-style-type: none"> <li>Cardiff Council Emergency Management Unit is working with Utility (including Dwr Cymru) and Telecom companies to ensure planning is carried out with consideration of flood risk.</li> <li>Cardiff Area Community Risk Register is developed by the Cardiff Area Risk Group (ongoing with added impetus of Olympics preparation).</li> <li>Cardiff Area flood group meet regularly to exchange information, this group consists of EAW, Met Office, Emergency Services and Council Departments with a response to flooding.</li> <li>Cardiff Council Emergency Management Unit are carrying out a large and long term communication strategy in Cardiff in conjunction with partner agencies, mainly the Environment Agency, highlighting flood awareness alongside other emergency eventualities and how residents, businesses and communities can be aware of the risks in their area and hence better prepare for them should that risk materialise.</li> <li>Emergency Management Unit maintain up to date flood warning information from the Environment Agency Wales on the Council C Maps and Map Info system.</li> <li>Climate change related issues are addressed in corporate and service area business plans.</li> </ul> <b>Energy Management Unit</b> <ul style="list-style-type: none"> <li>The Energy Management Team, in conjunction with Service Areas continues to promote initiatives to reduce energy consumption and carbon emissions, with the establishment of various loan funds, coupled with capital bids and allocations.</li> <li>The Council procures competitive energy contracts through the Welsh Purchasing Consortium.</li> <li>Key sites are fitted with back up generators for short term issues.</li> <li>Council Carbon Management Programme</li> <li>Renewables – October 2011 EBM considered Wind and Solar PV Opportunities in the Council Estate and approved the recommendations.</li> </ul> <b>Local Flood Risk Management Strategy</b> A Local Flood Risk Management Strategy was produced by the end of	B	1	High Priority	<ul style="list-style-type: none"> <li>A public and key stakeholder consultation exercise has been completed, and the Local Flood Risk Management Strategy drafted for cabinet approval.</li> <li>An officers flood working group has been established to improve internal and key stakeholder communications on flooding issues.</li> <li>The proposal to further progress Surface Water modelling further in line with national guidance and deadlines to inform the Cardiff Area Flood Plan awaits the next guidance from the Welsh Government</li> <li>Identify where flood risk information is in place for key social and civil infrastructure and identify where there are gaps (i.e. contaminated land). The Flood Regulations 2009 require Flood Hazard &amp; Risk Maps to be produced showing impact and extent of future significant flood events (City Services by June 2015)</li> <li>To consider flood risks recognised in the Community Risk Register in the Community Planning/Integrated Partnership process. Community resilience workshops continue in high risk areas</li> <li>Strategic climate change resilience action plan approved by Cabinet on 11th July as part of a wider One Planet Cardiff Cabinet Report. Actions and recommendations in the plan cover heat planning and flooding issues.</li> <li>Corporate PI on climate change resilience developed to ensure that the authority and its services are prepared for a changing climate, and to enable robust reporting to WG on this work (in line with the potential reporting requirements of the Climate Change Act and Well-being of Future Generations Bill). To focus on different aspects of climate change resilience annually - to enable Directorates to consider impacts from climate change to their assets, infrastructure, service delivery, strategy and partnerships, and to identify actions for improvement from this process. Meetings held with Performance to embed within corporate</li> </ul>	Jane Forshaw

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
				High Priority	<p>2012 based on WG's Flood &amp; Coastal Risk Strategy guidance. Which integrates; the PFRA, a coastal protection strategy, stakeholder communications and set a clear corporate approach to flood management and risk was presented to the Environmental Scrutiny on 2 Oct 2012. Public consultation was undertaken on the full strategy between January and March.</p> <p><b>Planning</b></p> <ul style="list-style-type: none"> <li>Flood Consequence Assessment to inform LDP process (ongoing).</li> <li>A Flood Study Report to investigate fluvial food risk from reens in the Wentloog Levels completed to inform the assessed candidate sites.</li> <li>Compliance with WAG TAN 15 (Development &amp; Flood Risk - 2004) is already part of the planning process.</li> </ul> <p><b>Sustainable Development Unit</b></p> <ul style="list-style-type: none"> <li>Carbon Lite Cardiff Vision Forum project - Carbon Lite Cardiff Action Plan</li> <li>Changing Climate, Changing Places pilot project.</li> <li>Further guidance to be disseminated to service areas on climate change issues as and when new information becomes available.</li> <li>Share learning experiences of climate change related risks with Integrated Strategy partners as and when information becomes available.</li> </ul>			High Priority	<p>processes. Guidance and training for directorates developed and briefed to Sustainability Advocates and Improvement Officers. PI came into force 2014/15. Issue of compliance from Directorates.</p> <ul style="list-style-type: none"> <li>To consider the long term planning implications for coastal protection owned/managed by the Council (will be considered under the Local Flood Risk Management Strategy). An initial coastline survey has been completed and added to the strategy report, which indicates high levels of coastal erosion in south east Cardiff, further study is required into the high priority sites identified consideration of strategic defences is required alongside Welsh Government.</li> <li>A new energy policy and carbon reduction map has been developed which focuses on electricity and gas. This will be implemented from 2015/16 and run through until 2022 and will set an overall carbon target as well as site specific including a project programme.</li> <li>Progress has been made to establish up to date energy budgets. These budgets are currently paid centrally which provided little incentive for Directorates to reduce their consumption. These budgets are scheduled to be disaggregated to Directorate level by 2015/16 in order to put the onus of energy reduction on the energy consumer.</li> <li>Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, deliver the fuel Poverty strategy through measures such as Cyd Cymru, ECO and Green Deal opportunities, provide supplementary planning guidance on passive and renewal heating systems to new build and retrofit schemes.</li> <li>Energy security related issues to inform corporate financial systems revised buying and power consumption monitoring arrangements to save money and reduce demand and provide corporate &amp; community planning for Energy City Wide to Business and public sector.</li> <li>Further guidance to be disseminated to service areas on energy security and energy savings opportunities such as implementation of Carbon Culture, delivering extensive energy invest to save programmes on the Council Estate.</li> <li>Delivering renewables within larger properties to lower dependency to grid supply.</li> <li>Energy Performance certificates undertaken to Council owned stock to improve understanding along with a variety of energy efficiency measures (cavity / loft / external wall insulation and boiler upgrades) funded via ARBED, ECO and Green Deal.</li> </ul>	
<p><b>Information Governance</b></p> <p>Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Leads to the Information Commissioner issuing notices of non compliance and implementing financial penalties</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Information Security Forum held monthly, and Information Security Board chaired by the SIRO held quarterly.</li> <li>Suite of Information Governance Policies in place.</li> <li>Processes for Information Requests, Data Loss in place.</li> <li>The Information Governance Training Strategy in place.</li> <li>Information Requests and Training compliance monitoring reports provided and reported to Information Security Forum/Board, SIRO, SMT and Cabinet.</li> <li>The processing of CCTV requests (section 35 requests) has been centralised to ensure that these are dealt with appropriately</li> <li>ICO Consensual Audit has determined that the Council is considered to have a 'reasonable level of assurance' in place</li> <li>Education Directorate Delivery Plan includes an action to investigate delivery of an Information Governance Service by the Council's Improvement and Information Team via a Service Level Agreement</li> <li>Procurement contracts to include a clause regarding 3<sup>rd</sup> Parties processing personal data</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>The Internal Annual Review completed end March 2015 and a review of the Information Security Board/Forum will be undertaken and revised as appropriate</li> <li>The Council's CCTV Policy was approved by Cabinet during 2014/15 and is now operational.</li> <li>The Improvement and Information Team who are responsible for the Governance of CCTV have compiled a register of all CCCTV devices owned by the Council. A review of the use of these devices is being undertaken through the council's Information Security Board and the nominated Directorate Information Asset Owners.</li> </ul>	<p style="text-align: center;"><b>Christine Salter</b> (Vivienne Pearson)</p>
<p><b>Children's</b></p> <p>Potential for mismatch between children's needs and capacity to meet them if current trends continue, for example in children needing to be safeguarded, looked after and/or receive other services to support families and carers to care for them.</p>	<p>Reputational / Social / Legal / Financial / Stakeholders / Service delivery</p> <ul style="list-style-type: none"> <li>Timeliness and quality of assessments and interventions to safeguard and promote children's welfare is compromised.</li> <li>Achievement of good outcomes for children is compromised.</li> <li>Shortage of appropriate services including placements.</li> <li>Inability to meet key objective and targets.</li> <li>Budget pressures.</li> <li>Increase in legal proceedings to safeguard children resulting in increased pressure on legal services.</li> <li>Statutory requirements not met (in relation to young</li> </ul>	B	1	High Priority	<p>Children's Services Improvement Board established chaired by CX with strong focus on performance improvement including the following:-</p> <ul style="list-style-type: none"> <li>A new 'Legal Surgery' based on national best practice established.</li> <li>Increased social worker capacity</li> <li>Workforce – recruitment and retention</li> <li>The development of a preventative strategy</li> <li>Identification of change capacity</li> <li>Remodelling of front door on integrated basis with police and health (MASH)</li> </ul> <p>Vulnerable Families Partnership Board - new board established and agreed priorities to ensure better alignment of commitments and capacity to deliver key changes</p>	B	2	High Priority	<ul style="list-style-type: none"> <li>Children's Services Improvement Plan and programme together with effective corporate governance arrangements in Q1.</li> <li>External expert review of the effectiveness of the current multi agency Strategy for Disabled Children and Young People commissioned and draft report produced. Next steps agreed and include joint funded Change Manager to deliver implementation of new model.</li> <li>New model under development (UHB led) to redesign services for children with early emotional, behavioural or mental health difficulties.</li> <li>Independent research commissioned to ascertain the factors driving the growth in the LAC population. New Placement Strategy to be developed in light of research evidence.</li> </ul>	<p style="text-align: center;"><b>Tony Young</b></p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
	<p>people remanded to custody).</p> <ul style="list-style-type: none"> <li>Representations from carers in receipt of Special Guardianship Order and Residence Order allowances.</li> </ul>				<ul style="list-style-type: none"> <li>Local Safeguarding Board Executive - now leading key areas of improvement and development to mitigate risks e.g MASH</li> </ul>				<ul style="list-style-type: none"> <li>Improving quality and range of family support interventions in collaboration with partners.</li> </ul>	
<p><b>Health &amp; Social Care</b></p> <p>Changing demographics and increasing expectations of vulnerable people put more pressure on services, increasing risk of budget overspend.</p>	<p>Reputational / Legal /Financial / Social / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> <li>Increased pressures from partners, especially Health – to reduce Delayed Transfers of Care (DToC).</li> <li>Increased demand on future services including POVA referrals</li> <li>Increase in number of adults waiting for an assessment &amp; risk of individuals deteriorating whilst they are waiting.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Close scrutiny of budgetary information for all aspects of the service to ensure effective budgetary control and take mitigating actions.</li> <li>Proactive weekly and monthly monitoring of service performance key indicators.</li> <li>Continued progression on integration with Health, Partnership / Governance arrangements for Mental Health, Learning Disabilities and frail older people. Development of integrated complex hospital discharge team across Cardiff, The VOG and the UHB.</li> <li>Commissioning Strategies in place for Physical Disabilities and Sensory Impairment, Older People and Day Opportunities for people with Learning Disabilities.</li> <li>Progression of integrated delivery of MH Commissioning Plan. Market position statements across the service areas being drafted.</li> <li>Joint work with UHB and Housing/Communities to improve the gateway access to services and expand reablement/rehabilitation service to improve outcomes for citizens.</li> <li>Planned improvements show monthly increases in offer of Direct Payments to service users</li> <li>Brokerage support to reablement and Dom Care Providers, together with the new Dynamic Purchasing (Matrix) system on line for commissioning domiciliary care.</li> <li>Regular review meetings instituted with CSSIW to ensure open and robust framework for demonstrating service improvements within H&amp;SC.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Continued proactive engagement with Health for stronger collaborative working in relation to performance on DTOC with weekly monitoring and reporting to the Director H&amp;SC on DTOC.</li> <li>Creation of combined Health &amp; Social Care Locality Community Resource Teams to increase efficiency and effectiveness.</li> <li>Current case management system is being reviewed and case quality audit advanced.</li> <li>We are progressing a whole systems review and remodelling of services for disabled children and young adults and as part of that will review and improve our database.</li> <li>Internal Review team within Assessment &amp; Care management continues to focus on delivery of targeted reviews and “right-sizing” packages of domiciliary care for individuals tracking and achieving savings on a weekly basis</li> <li>Strategic feasibility exercise and report completed to assess the potential for a VoG, Cardiff Council and UHB integrated service for disabled children 0-25 years. Next steps to be managed through the OD work stream – Services to Vulnerable Children Board.</li> <li>Changes to Care First (social care records database) and business solution procured and to be implemented by April 2015 which will impact on ability to track demand and performance</li> <li>Assessment &amp; Case Management Business Process Review has commenced with corporate resources to deliver</li> <li>On-line procurement systems implemented for residential and nursing home placements for Domiciliary care</li> <li>Development of tender for external Supported Living Services for People with learning disabilities, will deliver on time (July 2015).</li> </ul>	Siân Walker
<p><b>Safeguarding - Health &amp; Social Care</b></p> <p>Failure to safeguard vulnerable people.</p>	<p>Reputational / Legal /Financial / Social / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> <li>Increased pressures from partners, especially Health – to reduce Delayed Transfers of Care (DToC)</li> <li>increased demand on future services</li> <li>Risk of external intervention</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>POVA reviews are carried out to ensure compliance with national standards</li> <li>Senior management involvement at OM level in governance and quality audit as well as management involvement throughout the operational structure</li> <li>Good working relationships across other partners e.g. All Health Boards, Police, Probation, Fire Service and Providers.</li> <li>Good system of sharing learning across the department from safeguarding case management outcomes in partnership with Learning &amp; Development service (Training)</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The Regional (Cardiff &amp; VoG) Safeguarding adults Board and Safeguarding Childrens Board have been constituted for Council wide safeguarding responsibility</li> <li>Case management systems have been reviewed and case quality audit advanced.</li> <li>Current revision of operational processes and procedures to ensure robust attention to detail throughout the safeguarding process</li> <li>Implementation of different levels of POVA training for different staff grades (appropriate to their responsibility within the process)</li> <li>Escalating Concerns Policy has been implemented across H&amp;SC to manage quality and Provider performance concerns in H&amp;SC.</li> <li>POVA team now working as part of the All Social Services Safeguarding Service (based in Children’s Services)</li> </ul>	Siân Walker
<p><b>Performance Management</b></p> <p>A performance management culture is not embedded within the Council leaving the Council exposed to intervention by Welsh Government in line with the Local Government (Wales) Measure 2009 and associated requirements</p>	<p>Reputational / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices.</li> <li>Council unable to accelerate performance improvement as planned/desired.</li> </ul> <p><u>Outcome Agreement 2013/16</u> Financial</p> <ul style="list-style-type: none"> <li>The WG guidance for the Outcome Agreement for 2013/16 means that there is a risk of not securing all or part of the £3.2m funding for 2013/14 and subsequent years</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The Council’s Corporate Plan sets the priorities of the Council and was approved alongside the budget in February 2014</li> <li>The content of the Outcome Agreement with the Welsh Government agreed which provides a number of priorities that the Council is required to deliver and monitor</li> <li>The Performance Management framework for the Council has been revitalised, involving much greater corporate challenge and member engagement than was previously the case, with service and financial performance being discussed together on a monthly basis. In addition, specific arrangements have been developed for areas targeted for specific improvement, involving peer challenge and support.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The commissioned external review of the Performance Culture has been concluded. The findings regarding the opportunity to improve the scrutiny of performance reports and performance more generally across the Council is being taken forward during 2015/16.</li> <li>Improved alignment of financial monitoring and performance reporting in the quarterly Performance and Delivery Reports is in place. The Proposals for Improvement the recent National Study by WAO will be reviewed to establish where best practice exists and bring this learning into the Council’s approach.</li> <li>The restructure of the Improvement Team based in the Improvement and Information Section will be fully operational from May 2015</li> <li>A regular programme of meetings of the Performance Leads is in place to ensure that these key staff across the Council work to deliver what is required at the right time and in line with the Council’s requirements.</li> <li>A new Corporate Plan for 2015 -17 has been approved which focuses on the priorities of the Council and the</li> </ul>	Christine Salter (Martin Hamilton)



Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
									<p>delivery of objectives. Balanced Scorecards are in draft and will be in place for Quarter 1 2015/16.</p> <ul style="list-style-type: none"> <li>Directorate Delivery Planning (second year) process will improve the connection with benchmarking and measurement. To supplement this process a draft Benchmarking Strategy which clearly sets out the Council's vision will be in place by the end of Quarter 1 2015/6</li> <li>Work continues to improve the alignment of objectives from the Corporate Plan / Service Plan into PPDRs of staff and a sampling exercise will be undertake post June 2015</li> </ul>	
<p><b>Organisation Development</b></p> <p>OD projects fail to deliver the radical change required to deliver efficiency savings and service changes, due to service and resource pressures.</p>	<ul style="list-style-type: none"> <li>The Council's budget constraints are so severe that the consequence of not delivering large-scale change could have a major impact on customer services.</li> <li>Radical changes to service delivery models may impact on the Council's reputation if not planned, co-ordinated and governed effectively.</li> <li>If change is not delivered, there could be unplanned reduction in staffing to achieve savings, which would result in loss of business knowledge and resources to implement change.</li> <li>Reputational impact if services do not meet increasing customer expectations.</li> <li>If change is not effectively planned, managed and implemented it may be delayed and subsequently impact on the Council's ability to achieve necessary savings and service improvements.</li> <li>With the increased budget pressures, the Council may not have sufficient capital and revenue to invest in technology which would achieve medium and long-term improvements and savings.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Governance arrangements established, led by the Chief Executive and Programme Boards, chaired by Directors to ensure change is delivered</li> <li>Disciplined approach, where risk assessment forms an integral part of the approach to change</li> <li>Programmes initiated with dedicated resources</li> <li>Experienced gained by managing programmes and projects over a number of years, building on lessons learned</li> <li>Building capacity and capability across the organisation through development opportunities and skills transfer</li> <li>Appropriate engagement and stakeholder management, including Business Change Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit</li> <li>Improving compliance to project and programme management governance standards by streamlining core processes and enhancing reporting, increasing transparency across change initiatives.</li> <li>Implementation of Programme &amp; Project Management Database to enhance management information and reporting. The database has replaced spreadsheets and double-handling of information and will support the enforcement of a standardised approach to corporate policies; improving governance and ensuring that PQA Programme &amp; Project management processes are being used across the Council.</li> <li>Audit of BCM Decision Making has determined a list of actions to improve information and support rapid decision making and issue resolution.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Investment Review Board initiated in April 2014 to provide additional challenge of Business Cases and prioritisation of resources</li> <li>Standardised approval process for Business Cases being implemented,</li> <li>Business change responsibilities to be written into the Job Description and PP&amp;DRs of senior managers</li> <li>New Programmes &amp; projects being initiated as part of Organisational Development – driving change from within Directorates, but Corporately governed.</li> <li>Organisational Development Board approved in October 14 the prioritisation of infrastructure Services, Children's Services and Health &amp; Social Care with appropriate resources.</li> <li>Enabling technologies to be realigned as appropriate to the priority areas.</li> <li>Implementation of the LERC approved Lean Competency System to develop in-house change capabilities.</li> <li>People &amp; Organisational Development Programme being initiated to improve the Council's capacity to manage risk within a change environment. This programme will include workforce planning &amp; engagement; performance management and stakeholder engagement &amp; communication.</li> <li>Strengthened governance arrangements put in place in February 2015;</li> </ul>	Christine Salter (Martin Hamilton)
<p><b>Business Continuity</b></p> <p>Large scale incident/loss affecting the delivery of services.</p>	<p>Reputational / Legal / Financial / Stakeholder / Service delivery / Health &amp; safety</p> <ul style="list-style-type: none"> <li>Inability to operate in a timely and efficient manner.</li> <li>Potential impact on health and safety.</li> <li>Impact on key services to the public.</li> <li>Inability to meet business obligations e.g. partnership arrangements.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The Council has a BCM Champion who sponsors BCM at a strategic level and is actively supporting the BCM Programme.</li> <li>We have an approved Business Continuity Policy which is aligned to ISO22301.</li> <li>BCM Intranet web page.</li> <li>BCM toolkit is now available on CIS allowing all service managers to develop an appropriate BCM response for their services allowing future effective maintenance and audit. BCM workshops are available from the BC Officer on request.</li> <li>The Council has employed a Business Continuity Officer (appointed October 2010). The officer is a qualified ISO22301 lead auditor.</li> <li>The Council worked with Marsh to complete a corporate exercise to identify and prioritise all activities. Marsh conducted a follow up BCM session at CMB on the 24<sup>th</sup> May 2011 which concluded the work on prioritising and classifying all of the Councils activities. This work to prioritise activities continues to be reviewed annually by the senior leadership team to keep the work live.</li> <li>The Red and Amber activities were last reviewed in July 2014. The BCM Champion presented a report to the SLT on the position on all the Red and Amber activities. Directors, Assistant Directors and Chief Officers were tasked with ensuring that their Red and Amber activities had business continuity plans produced and audited by the end of 2014/2015.</li> <li>A partnership approach between the Emergency Management Unit and the Corporate Risk Steering Group is helping to raise awareness and drive forward the BCM programme.</li> <li>58 % of our most time critical activities (Reds) now have Business Continuity plans which have met, or are going through, audit. Work on the remaining plans is ongoing to close gaps and bring them up to date and in line with the corporate audit requirement</li> <li>24 % of our Amber activities now have business continuity plans which meet the business continuity audit requirement.</li> <li>The Council now has a 24 hour Incident Management structure for Gold and Silver Officers. This structure was exercised in a corporate exercise OTAN run by the Emergency Management Unit in 6<sup>th</sup> and 9<sup>th</sup> of June 2014. This exercise also gave BC plan owners the opportunity to exercise their own BC arrangements.</li> <li>The existing and well tested corporate emergency management structure was successfully and extensively used in the preparation for and over the NATO summit period. This structure was ready to manage</li> </ul>	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>It was agreed by SLT in July 2014 that a target date for completion of effective up to date Red and Amber business continuity plans would be put in place and this would have a target date of the end of 2014/2015, individual Directorates are responsible for progressing this work.</li> <li>The BC Officer has started working with Directorates to start building business continuity plans for the Councils 62 Amber activities (activities that need to be recovered between 1 hour and 24 hours following business disruption</li> <li>The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with ISO22301 this has been distributed to all Directorates.</li> <li>The BC Officer is working closely with Facilities Management to ensure they have effective plans in place to help manage possible business disruptions to our four core buildings.</li> <li>Continue to promote the need for the Office Rationalisation Project to incorporate a solution to manage the risk and impact of loss of work space effectively, to limit impact on the provision of council services should there be a business continuity incident. This would probably be best achieved through roll out of an effective mobile working solution. A solution has been identified and is available to staff. Internal services have been working to improve the resilience and capability of infrastructure to support the use of this solution.</li> <li>Work with ICT to ensure our core infrastructure is as resilient as practical to support a resilient and effective delivery of essential ICT services and the effective planning for recovery of critical IT services after an incident that affects our IT.</li> <li>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.</li> <li>Facilities Management have identified a vulnerability within one of our electrical emergency generator supplies which the BC Officer is working to support the closure of this</li> </ul>	Martin Hamilton

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					<p>a corporate response to any incident.</p> <ul style="list-style-type: none"> <li>Cardiff Council is a member of the Core Cities Business Continuity Group and has been for the last 4 years. This membership allows the sharing of best practice and joint initiatives between group members.</li> <li>The Business Continuity Officer has been working closely with the procurement section of Resources to ensure that the resilience of suppliers is considered carefully when procuring services which are important to our most time sensitive activities, our Red and Amber activities.</li> </ul>				<p>vulnerability.</p> <ul style="list-style-type: none"> <li>The BC Officer is actively supporting the development of an appropriate <i>Threat and Response Policy</i> to support council security arrangements.</li> </ul>	
<p><b>Education – Schools Delegated Budgets</b></p> <p>Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> <li>Budget implications.</li> <li>Reducing educational standards.</li> <li>Intervention from WG</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>2014/15 Budget allocations issued to schools in early March 2014 and monitoring arrangements put in place for those schools showing financial concern</li> <li>Officers from Education and Financial Services worked with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible. .</li> <li>The fall in pupil numbers for certain schools made it clear that a longer period than four years was needed in order to achieve a balanced medium term position</li> <li>2014/15 resulted in a significant number of redundancies which exceed budget by approximately £1.9 million. A combination of spreading the cost over five financial years and looking at alternative funding arrangements has ensured that the individual position for each secondary school was not disproportionately impacted.</li> <li>Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.</li> <li>The 2015/16 Budget process commenced in July 2014 and Budget Forum has been regularly updated with the difficult financial challenges facing the Council and the potential impact on schools. This has resulted in a school budget which exceeded WG protection levels albeit there was an acknowledgment that the financial pressures facing schools exceeded the additional funding.</li> <li>January 2015 letter written to all Chairs and Head Teachers providing a clear explanation of the financial challenges facing schools and the Council.</li> <li>Work ongoing with all schools but focussed targeting on specific secondary schools to continue to dampen the growth in deficits and ensure that those that do occur are recoverable.</li> <li>All Primary schools holding surplus over £50,000 were instructed to stay within WG levels but no surplus were reclaimed as there was a recognition by Council of difficult budget facing schools for 2014/15 and 2015/16. However, any sustained level of high surpluses will be recovered during 2015/16.</li> <li>2015/16 Budgets issued in early March 2015 with a focus on protecting or increasing the AWPU. This was an acknowledgment that schools with pupils needed some element of funding. The Grants are increasingly focussing on need thus the need to use any school funding formula for those with pupils.</li> <li>Medium term budgets have been produced for 2016/17 and 2017/18 at very cautious levels in the absence of any indicative budgets at WG level and the need to manage expectations of the Council budget in the absence of any decisions yet made for 2016/17 in respect of school budget. MTFP shows a potential £10 million financial pressure on school budgets but it is unclear whether this pressure can be relieved by additional funds. The pressures are both in terms of inflationary and demographic of nature.</li> <li>Officers from Education, HR, finance and legal looking at potential intervention strategies and developing a protocol for intervention.</li> <li>Reviewing closely with Education Management Team and SOP in particular as to the opportunities available to address short medium term fall in pupil numbers for certain secondary schools. Some schools are unviable in short term but the spaces will be required in the next five years so financial plans required to get over the next few years with low pupil numbers.</li> <li>For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school</li> <li>Individual school budget monitoring positions reported to Education Management Team on a quarterly basis</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Council make full use, if necessary, of formal warnings and powers of intervention.</li> <li>Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan, this may involve removing delegation from a Governing Body.</li> <li>Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula.</li> <li>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 2015/16 school budget letters and the 2015/16 Budget Report.</li> <li>Finance Officers continue to meet with System Leaders to discuss individual schools in respect of their financial and school standard performance.</li> <li>Draft 2015/16 budgets have been drawn up and several schools have been identified as requiring meeting with S151 officer and senior education officers. These meetings need to take place in April and early May.</li> <li>Continue to work with Budget Forum and consortium to ensure that the formula funding mechanism is transparent and remains fit for purpose whilst considering any interaction or impact of any grant allocation decisions.</li> <li>Maintaining the need for financial probity whilst ensuring that each school has the opportunity to improve school standards.</li> <li>Working with consortium to ensure that maximising value from constituent parts of Education Improvement Grant is secured and that there is clarity of allocation mechanism for 2016/17 and beyond.</li> <li>Developing the budget strategy for 2016/17 and providing early notification to budget forum and individual schools of likely impact of said strategy</li> </ul>	<p><b>Nick Batchelar</b> <b>(Neil Hardee)</b></p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p><b>Legal Compliance</b></p> <p>Changes in services and staff roles across the Council resulting in:</p> <ul style="list-style-type: none"> <li>- gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate;</li> <li>- inability to deliver the services in accordance with all duties and responsibilities due to lack of resource:</li> </ul> <p>in each case leading to increased risk of challenges.</p> <p>Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.</p>	<ul style="list-style-type: none"> <li>• Reputational / Legal / Financial / Service delivery</li> <li>• Increase in number of challenges with consequences in terms of already stretched resources and impact of adverse decisions</li> <li>• Implementation of decisions delayed due to challenges and potentially fatally disrupted.</li> <li>• Impact on projects if reputation for sound management and implementation of projects is damaged</li> <li>• Major incident.</li> <li>• Adverse press/media reaction</li> <li>• Involvement from Welsh Government in terms of performance standards or measures.</li> <li>• Increased costs on external legal support</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>• Professional internal legal and financial advice provided to a high standard.</li> <li>• Legal Services repositioned in the senior management structure.</li> <li>• Maintaining robust decision making process with legal implications on all reports.</li> <li>• Appropriate use of South Wales Legal Consortium external legal services and external barristers through separate framework to increase resilience.</li> <li>• Dedicated teams in specialist areas e.g. equalities, FOI / DPA.</li> <li>• Sharing training/publications received</li> </ul>	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Prioritisation of work to make best use of internal expertise (including programme of projects in accordance with SMT decision)</li> <li>• Continue efforts with exploration of collaboration with other legal services to see if there is the potential to increase resilience and / or efficiencies.</li> <li>• Development of toolkits (led by Corporate resources) for major projects to reduce repetitive work and standard precedents with guidance for use in case of low value/low risk matters</li> <li>• Increase training programme Council wide to cover legal, financial and regulatory matters but with sharing to develop knowledge within Directorates of specific statutory functions.</li> <li>• Ensuring reports are discussed at preliminary stage in development to ensure all legal, financial and regulatory issues are addressed early</li> </ul>	Christine Salter (Shaun Jamieson)
<p><b>Fraud</b></p> <p>Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.</p>	<ul style="list-style-type: none"> <li>• Reputational / Financial / Legal / Service delivery / Stakeholder</li> <li>• Increase in frauds and losses to the Council.</li> <li>• Reputational risk as more frauds are reported.</li> <li>• Increased time investigating suspected fraud cases.</li> <li>• Reduction in resources to combat fraud following transfer of 4 experienced, professionally trained investigators and 1 admin assistant to the Department for Work &amp; Pensions as part of the 'Single Fraud Investigation Service' (SFIS).</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>• Financial Procedure Rules, Contract Procedure Rules for staff to follow.</li> <li>• Proactive work of the Internal Audit team</li> <li>• Professionally trained and experienced investigators to prevent, deter and detect fraud against the Council.</li> <li>• Following the transfer of staff to the Single Fraud Investigation Service a small investigation team was retained dedicated to combat fraud and financial impropriety.</li> <li>• Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority.</li> <li>• Wales Audit Office</li> <li>• Procurement team monitor spend and compliance with procedure rules</li> <li>• Management awareness as voluntary severance business cases are constructed and restructures considered.</li> <li>• Regular reports to the Audit Committee</li> <li>• Regular review of Anti Fraud policies and procedures e.g. the Anti-Money Laundering Policy; the Fraud, Corruption and Bribery Policy has recently been updated and presented on 23 March 2015 to Audit Committee.</li> <li>• Ongoing training sessions provided for Officers, Head Teachers and Governing Bodies on Financial Procedure Rules and Contract Standing Orders and Procurement Rules.</li> <li>• Senior Management Assurance Statements.</li> <li>• Increased role and awareness now that the Discipline module is live in DigiGov.</li> <li>• Compliance with Treasury Management practices and segregation of duties.</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Continued vigilance</li> <li>• Continue to provide the Chief Executive with regular briefing notes</li> <li>• Continue to produce regular reports for Audit Committee</li> <li>• Continual assessment of training needs for 'Rules'.</li> <li>• Considering forum for sharing investigation outcomes, raising profile of fraud work.</li> <li>• The revised Fraud, Corruption and Bribery Policy to be presented to Cabinet in May 2015 for approval.</li> <li>• Formalise a policy for Monitoring Employees at work to provide Managers with the tools to undertake effective investigations.</li> <li>• Development of training programme for Senior Management regarding Fraud Awareness targeting disciplinary chairs and HR to help with (employee) fraud prevention.</li> <li>• Review of induction material relating to Fraud.</li> <li>• An e-learning tool for fraud and money laundering to be developed.</li> <li>• Audit Committee have set up a sub Group to look at the robustness of the investigation process and seeking assurances on how investigations have followed proper processes.</li> <li>• Attendees of the Cardiff Manager Programme to receive specific training on the Council's Procedure Rules demonstrating the importance of compliance with the rules.</li> </ul>	Christine Salter (Derek King)
<p><b>Asset Management</b></p> <p>Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.</p>	<ul style="list-style-type: none"> <li>• Reputational / Legal / Financial / Health &amp; Safety / Stakeholders</li> <li>• Poor use of assets / VFM.</li> <li>• Lost opportunity for capital receipts.</li> <li>• Increased maintenance.</li> <li>• Prosecutions / fines.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>• Cabinet formally approved a new Property Strategy in November 2014.</li> <li>• Corporate Asset Management Board and supporting Working Group now set up to raise property profile and introduce more structured, disciplined approach to management of property and the Office Accommodation Rationalisation Programme.</li> <li>• Established rolling programme of 'Fitness for Purpose' reviews of all council properties providing high level assessment of the current performance and value of buildings.</li> <li>• Carbon Management / Energy Efficiency - Certificates / General Awareness / Introduction of Energy Renewables Strategy.</li> <li>• Established Implementation Plan for the new Property Strategy.</li> <li>• Determined governance and work programme updates for new Corporate Asset Management Board at meeting in January 2015.</li> </ul>	C	2	Medium Priority (Red/Amber)	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.	Neil Hanratty
<p><b>Workforce Planning</b></p> <p>Importance of forecasting and planning to building capability and capacity is not recognised and is not fully embedded.</p>	<ul style="list-style-type: none"> <li>• Reputational / Financial / Stakeholder / Service delivery</li> <li>• Poor service delivery due to ineffective use of resources.</li> <li>• Loss of resources and recruitment problems.</li> <li>• Poor morale</li> <li>• Loss of experienced staff members including managers</li> <li>• Reduce the likelihood of attracting high calibre managers to Cardiff Council</li> <li>• Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care.</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Flexible retirement policy agreed and implemented</li> <li>• A Workforce Planning Project (PL04) forms one of the projects within the People and Leadership Programme:</li> <li>• Arrival of external expertise in mid-Feb 2011 to work with key stakeholders in the Authority to review, develop and implement the workforce planning project</li> <li>• Workforce planning Stage 1 Design is completed producing a number of key reports outlining required next steps for workforce planning in Cardiff</li> <li>• A number of required enablers have been outlined</li> <li>• Workforce planning Stage 2 Development and Implementation project brief and project plans have been developed to deliver the identified enablers</li> <li>• Spec• HRPS provided the Workforce Planning data (within the Resources/Staff section of Directorate Delivery Plan) and commenced work with Directorates/Service Areas on the Workforce Planning agenda</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Draft workforce strategy developed and consultation commenced which will have workforce planning as a key component.</li> <li>• Research and benchmarking planned with core cities during Q3 to review the effectiveness of current workforce planning approach and toolkit</li> <li>• Need to revisit options appraisal to deliver a workforce planning IT solution.</li> <li>• Workforce Strategy consultation completed with key stakeholders – strategy and accompanying employee charter to be considered by Cabinet on 2<sup>nd</sup> of April. Workforce planning identified as a key priority.</li> <li>• Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development. The alignment of DDP's and</li> </ul>	Christine Salter (Philip Lenz)

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
					<p>in March ific work packages have been identified outlining the key enablers for effective workforce planning and developments of some are underway.</p> <ul style="list-style-type: none"> <li>• After consultation the Workforce Planning Project has implemented a Behavioural Competence Framework. The framework has 12 behavioural competencies set out in 4 levels. All roles within the Council will be described using the framework. This will be the first step in gaining consistency in the way in which the Council describes its people and jobs.</li> <li>• The Workforce Planning project continues to introduce consistent ways of describing people and jobs in the Council. All new and redesigned jobs are being described and advertised through role profiles.</li> <li>• A Competency Assessment Toolkit is being used to develop individual profiles which can then be mapped against role profiles.</li> <li>• Work is being carried out on linking processes that can be used for the identification and development of potential e.g. Recruitment &amp; Selection, PPDR and Cardiff Academy and underpinning these with the Competency Frameworks. These processes will be used to determine the current knowledge and skills held within the Council and identify any areas where there are gaps. This will enable development opportunities to be prioritised in line with Corporate Objectives and the vision for the Council.</li> <li>• Development Opportunities within Cardiff Council Academy have been aligned with the Behavioural Competency Framework.</li> <li>• The Workforce Planning approach for 2014/15 commenced with the roll out of the new tool and managers guide in March 2014. Whilst awaiting an IT solution, a new tool has been developed to enable the organisation to take a snapshot of where they are currently and to start to consider the 'skills' requirements piece</li> <li>• Managers' guide to WFP developed and disseminated to Directorates March 2014.</li> <li>• The Behavioural Competency Framework has been piloted. Stakeholder feedback is being collated to inform the revised approach. Anticipated roll out – May / June 2014.</li> <li>• Additional research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event. LGA/ Skills for Local Government hosted COP event.</li> <li>• HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda.</li> <li>• Options around the roll out of role profiles and other process efficiencies are also being considered and will be taken forward as part of the HR Delivery Plan for 2014/15.</li> </ul>				<p>the Workforce Strategy has been piloted within Children's Services. To be reviewed before role out a version of which will be incorporated into the Delivery Plans, integrating Workforce planning and business planning.</p> <ul style="list-style-type: none"> <li>• VSA (value stream analysis) route identified as potential alternative engagement approach to understand directorate's needs relating to workforce planning, prioritising Vulnerable Adults and Vulnerable Children. Service Area Review Toolkit also provides opportunity for workforce planning questions to be incorporated – discussions with relevant stakeholders to be held in Qtr 1 – 15/16.</li> </ul>	