

Corporate Risk Register – Mid Year Position 2014/15

AGENDA ITEM: 7.2

Reason for this Report

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

Background

2. To support the arrangements for good corporate governance it is necessary for the Council to have a clear statement of its overall position in relation to corporate risks and to review them on a regular basis.
3. Sections 81 to 87 of the Local Government (Wales) Measure 2011 sets out provisions for Audit Committees. One of the key roles of the Committee is to review, scrutinise and issue reports and recommendations on the appropriateness of the authority's risk management, internal control and corporate governance arrangements.
4. The CRR should identify the main risks facing the Council so that elected Members and senior management can make informed decisions and prioritise actions, with these high level risks in mind. The process followed is to identify the risk and then to address it through the control environment and mitigations in place or planned within the Council. This exercise results in a residual risk score which should demonstrate the effectiveness of the controls in place to manage the risk.
5. The Audit Committee last sighted the CRR on 25 June 2014 which reflected the year end position 2013/14. The register continues to be updated quarterly and presented to the Senior Management Team to ensure their collective ownership of the strategic risks facing the Council. On this occasion the register has been updated to reflect the mid year position 2014/15.

Issues

6. The CRR is currently made up of twenty four risks all of which are assigned to members of the Senior Management Team to ensure the most senior level of ownership and accountability by officers.
7. The mid year review of the register reflects the collective view of the Senior Management Team who considered the matter at their meeting on 28 October 2014.

Risk owners updated their risks in advance of the meeting in order for the group to collectively approve the corporate risks. The updates have strengthened the mitigating actions against the risks currently identified. The review resulted in a number of changes which are outlined below.

8. The Audit Committee last sighted the register in June 2014 which reflected the year end position 2013/14, at that time twenty seven risks formed the CRR. The current review has resulted in the 'Food Safety Management' risk closing. Senior Management Team agreed that sufficient action has been taken to address the risk, which reduced the residual risk score. The risk will continue to be managed and monitored through the Environment Directorate Risk Register.
9. The Risk Management Steering Group met in July and considered the Council's Corporate Risk Register themes in comparison to the registers of the English Core Cities group. There were many similarities in the risks identified but also some differences which lead the Steering Group to challenge Cardiff's corporate risks. Following discussion with risk owners it was agreed that four of the corporate risks be amalgamated to two. Firstly, the 'Climate Change' and 'Energy Security' risks were merged given the synergies between the two risks. Secondly, the 'Education Consortium' and 'Educational Attainment' risks were combined given the dependencies and linkages of the two risks.
10. Previously the Education Directorate had four corporate risks, which following review has reduced to three given the above mentioned amalgamation. The Directorate acknowledged that given the efforts that have taken place within Education over the past twelve months it was considered timely to reflect on these efforts by reducing the residual risks scores from high priority (red) risks to medium priority (red / amber) risks. Efforts will remain in place to continue to mitigate the corporate risks and provide updates through the quarterly review process.
11. Overall the risk scores in some instances indicate that the risk priority may have remained constant, but the efforts of the mitigating actions have had some affect i.e. A1 to A2 which remains a high priority risk e.g. Information Governance.
12. It is important to note that risks are liable to change as circumstances alter and the CRR presents the position at a point in time; the appendices to this report reflect the mid year position 2014/15. The register will continue to be refreshed quarterly and the identified risk owners have a responsibility to ensure the register remains focused and relevant.
13. There are some areas, such as Health & Social Care, Children's Services and Health & Safety, where there will always be an element of unpredictability which merits a high priority score irrespective of how well the service is managed. For these, the important aspect is to continue to be able to demonstrate sound management, a proactive approach to mitigating the risks and a robust monitoring process.
14. Since the Committee last considered the register Councillor Graham Hinchey has taken on the role of Member Risk Champion. The Audit & Risk Manager has met with Councillor Hinchey to provide information on the role of the Member Risk Champion which includes; raising the profile of risk management and promoting the benefits to Members, as well as promoting the accountability and responsibility of all staff within the Council as set out in Cardiff Council's Risk Strategy. The Member

Champion will bring forward ideas from the Members to the Risk Management Steering Group which they consider relevant for the Corporate Risk Register.

15. In order to recognise the fundamental importance of the CRR, in the governance of the Council, the Audit Committee will continue to consider reports on a biannual basis prior to Cabinet. On this occasion the register will be presented to Cabinet on 11 December 2014.
16. It is appreciated that there is considerable detail in the full register and therefore two appendices are attached; Appendix A is a summarised version of the CRR, while the complete register is included at Appendix B.

Legal Implications

17. There are no direct legal implications arising from this report. However, one of the benefits of identifying risk is that mitigation measures may be taken if appropriate and consequently successful claims against the Council may be avoided altogether or reduced.

Financial Implications

18. There are no direct financial implications arising from this report. The Corporate Risk register will be used to guide the Internal Audit Plan and the Council's resource planning processes and forms an important part of the governance arrangements for the Council.

RECOMMENDATION

19. The Audit Committee is recommended to note the content of the Corporate Risk Register and to have regard to its content when considering its Work Programme.

CHRISTINE SALTER
CORPORATE DIRECTOR RESOURCES

The following Appendices are attached:

Appendix A – Corporate Risk Register – Mid Year Review 2014/15 (Summarised)
Appendix B – Corporate Risk Register – Mid Year Review 2014/15 (Detailed)

Risk Description	Inherent Risk	Residual Risk	Risk Owner	Cabinet Member
EVENT DRIVEN RISKS				
Social Services and Wellbeing (Wales) Act The implementation of the Social Services and Wellbeing (Wales) Act will place new duties and responsibilities upon already pressured services.	High Priority B1	High Priority B1	Tony Young & Siân Walker	Councillor Sue Lent, Deputy Leader - Early Years, Children & Families & Councillor Susan Elsmore Health, Housing & Wellbeing
Hostile Vehicle Mitigation in Cardiff Vehicle Borne Improvised Explosive Device (VBIED) detonating in an area identified as a high risk crowded place, as a result of the inappropriate boundary treatments and access control processes protecting and managing it.	High Priority B1	High Priority B1	Andrew Gregory	Councillor Ramesh Patel Transport, Planning & Sustainability
Welfare Reform That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform Bill 2011, Universal Tax Credit, localisation of Council Tax Benefits, Social Fund reform, Introduction of the Benefit Cap and size restrictions for social tenants. Lack of information, short timescales for implementation and the large number of citizens affected makes this a significant risk.	High Priority A2	High Priority B2	Sarah McGill (Jane Thomas)	Councillor Susan Elsmore Health, Housing & Wellbeing
Waste Management Failure to achieve targets for Landfill allowance, specifically for Biodegradable Municipal Waste and WG statutory Recycling Targets. Ineffective delivery of recycling targets and residual waste treatment.	High Priority B1	High Priority B2	Jane Forshaw	Councillor Bob Derbyshire Environment
Preparation of Local Development Plan Preparing a plan that is considered 'sound' by the Inspector, within the proposed timetable.	High Priority B1	Medium Priority (Red/Amber) C1	Andrew Gregory	Councillor Ramesh Patel Transport, Planning & Sustainability
Education – Schools - SOP Very ambitious timescales for project delivery, by a lean team, with restricted capital allocations to support reorganisation, improvement and expansion of school provision to meet growing pupil population.	High Priority B1	Medium Priority (Red / Amber) C2	Nick Batchelar (Janine Nightingale)	Councillor Julia Magill Education & Skills
Education Consortium & Attainment The current inconsistency in the quality, intelligence, data and related actions by CSC Challenge Advisers hinders the rate of improvement in educational attainment	High Priority B1	Medium Priority (Red / Amber) C2	Nick Batchelar (Angela Kent)	Councillor Julia Magill Education & Skills
ICT Platforms Unsuitable/ Outdated 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.	High Priority A2	Medium Priority (Red/Amber) C2	Christine Salter (Phil Bear)	Councillor Graham Hinchey Corporate Services & Performance
ONGOING RISKS				
Budget prioritisation 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.	High Priority A1	High Priority A1	Christine Salter (Marcia Sinfield)	Councillor Graham Hinchey Corporate Services & Performance
Budget Monitoring 2014/15 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.	High Priority A1	High Priority B1	Christine Salter (Allan Evans)	Councillor Graham Hinchey Corporate Services & Performance
Health and Safety Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.	High Priority A1	High Priority B1	Christine Salter (Christina Lloyd)	Councillor Graham Hinchey Corporate Services & Performance
Climate Change & Energy Security Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.	High Priority B1	High Priority B1	Jane Forshaw	Councillor Bob Derbyshire Environment
Information Governance Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools	High Priority A1	High Priority A2	Christine Salter (Vivienne Pearson)	Councillor Graham Hinchey Corporate Services & Performance
Children's Potential for mismatch between children's needs and capacity to meet them if current trends continue, for example in children needing to be safeguarded, looked after and/or receive other services to support families and carers to care for them.	High Priority B1	High Priority B2	Tony Young	Councillor Sue Lent, Deputy Leader - Early Years, Children & Families
Health & Social Care Changing demographics and increasing expectations of vulnerable people put more pressure on services, increasing risk of budget overspend.	High Priority B1	High Priority B2	Siân Walker	Councillor Susan Elsmore Health, Housing & Wellbeing
Safeguarding - Health & Social Care Failure to safeguard vulnerable people.	High Priority B1	High Priority B2	Siân Walker	Councillor Susan Elsmore Health, Housing & Wellbeing
Performance Management A performance management culture is not embedded within the Council leaving the Council exposed to intervention by Welsh Government in line with the Local Government (Wales) Measure 2009 and associated requirements	High Priority B2	High Priority B2	Christine Salter (Martin Hamilton)	Councillor Graham Hinchey Corporate Services & Performance
Organisation Development OD projects fail to deliver the radical change required to deliver efficiency savings and service changes, due to service and resource pressures.	High Priority B1	High Priority B2	Christine Salter (Martin Hamilton)	Councillor Graham Hinchey Corporate Services & Performance
Business Continuity Large scale incident/loss affecting the delivery of services.	High Priority B1	Medium Priority (Red/Amber) C1	Martin Hamilton	Councillor Phil Bale, Leader – Economic Development & Partnerships
Education – Schools Delegated Budgets Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.	High Priority A2	Medium Priority (Red/Amber) C2	Nick Batchelar (Neil Hardee)	Councillor Julia Magill Education & Skills
Legal Compliance Changes in services and staff roles across the Council resulting in: 1) Gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate; 2) Inability to deliver the services in accordance with all duties and responsibilities due to lack of resource in each case leading to increased risk of challenges. Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.	High Priority B2	Medium Priority (Red/Amber) C2	Christine Salter (Shaun Jamieson)	Councillor Graham Hinchey Corporate Services & Performance
Fraud Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.	High Priority B2	Medium Priority (Red/Amber) B3	Christine Salter	Councillor Graham Hinchey Corporate Services & Performance
Asset Management Ineffective management and use of Council assets and lack of corporate recognition.	High Priority B2	Medium Priority (Red/Amber) C2	Neil Hanratty	Councillor Phil Bale, Leader – Economic Development & Partnerships
Workforce Planning Importance of forecasting and planning to building capability and capacity is not recognised and is not fully embedded.	Medium Priority (Red/Amber) B3	Medium Priority (Red/Amber) B3	Christine Salter (Philip Lenz)	Councillor Graham Hinchey Corporate Services & Performance

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
EVENT DRIVEN RISKS										
<p>Social Services and Wellbeing (Wales) Act</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> <p>Consequences arising from Bill are well documented and the subject of updates and progress reports from the WLGA and elsewhere</p> <p>The Directors of CS and H&SC and Cabinet members continue to contribute to the national debate through various forums at each stage of the Bill's progress.</p> <p>WG has presented the Bill as a nil cost policy intervention that is designed to transform adult and children's social care to include:-</p> <ul style="list-style-type: none"> Adults safeguarding to be put on a statutory footing. All safeguarding governance to be based on a new National Safeguarding Board and regional Safeguarding Boards based on Health Board footprints Enhanced equity of eligibility and access to services across Wales to end postcode provision. Web based citizen portal to enhance direct self-service access Individuals to have the right to an assessment of need New holistic concept of services for 'people' (not children and adults separately) Refocus of services on early intervention To extend the right of access to carers an assessment of their need Increase take up of direct payments across an extended range of services A duty to understand the needs of the local population To promote new models of service delivery with a particular emphasis on social enterprises - councils expected to initiate and facilitate Collaborative working with Health and other partners Enhanced focus on Directors as leaders and innovators A strong professional workforce A single national specification for a social services client database capable of linking to community health New National Adoption Service supported by regionalised delivery functions Stronger collaboration Stronger emphasis on social work as a profession Simpler systems and reduced bureaucracy 	B	1	High Priority	<p>The Health and Social Care and Children's Services Directorates have made progress on responding to key areas of the Bill as follows:-</p> <ul style="list-style-type: none"> Successful implementation of new service models such as reablement and delivery of joint Community Resource Teams, which maximises people's independence and reduces the level of need for on-going care. The establishment of a single council safeguarding function combining adult and child protection and education safeguarding. Safeguarding OM appointment imminent. The Cardiff & VoG Local Safeguarding Adults' Board is constituted and meeting regularly with a developing work plan In CS, Regional working group established to deliver regional adoption service. Integrated Health and Social Care work streams are being delivered through shared C&V funding from the RCF, ICF and Transformation grants from Welsh Government Proposals to introduce a Social Impact Bond in CS to enable reinvestment in prevention well advanced and pioneer in Wales. The Cardiff Social Care Development Workforce Partnership is undertaking strategic review in partnership with the VoG 	B	1	High Priority	<ul style="list-style-type: none"> The Director of Social Services Annual Report for 2013/14 has been prepared by the Directors of CS and H&SC has been completed and sent to CSSIW and reviewed by the Joint CASSC and CS Scrutiny Committees. This has taken account of the outcomes recommendations of the ACRF Report and CSSIW annual letter from 2012/13 ACRF. CSSIW have prepared the draft report and we await the final report to place before Members in December 2014 Reference to delivery of the Act and continuing consultation programmes will be delivered within the 2014/15 Directorate Business/ Service Delivery Plans Joint approaches to developing opportunities across Cardiff, the Vale of Glamorgan and UHB are closely monitored through the H&SC Service Development Programme Board and the IHSC Strategic Implementation Group, Leadership Group & Governance Group involving senior Directors, Chief Executives, Cabinet Members and Leaders of both Council's and the UHB Continued strong engagement with Welsh Government on all aspects of new service delivery being proposed as the Act develops its pathway Strategic review of Social Care Development Workforce Partnership initiated Strong engagement of Directors through ADSS Cymru /SSIA work streams to ensure effective implementation of the Act, within set timeframes. Cabinet approved proposed arrangements for regionalising the delivery arm of the National Adoption Service and Cardiff awarded hosting role for the central elements of the National Adoption Service 	<p>Tony Young</p> <p>Councillor Sue Lent, Deputy Leader - Early Years, Children & Families</p> <p>&</p> <p>Siân Walker</p> <p>Councillor Susan Elsmore – Health, Housing & Wellbeing</p>
<p>Hostile Vehicle Mitigation in Cardiff</p> <p>Vehicle Borne Improvised Explosive Device (VBIED) detonating in an area identified as a high risk crowded place, as a result of the inappropriate boundary treatments and access control processes protecting and managing it.</p>	<p>Service Delivery / Reputation / Legal / Financial / Health & Safety / Financial / Partnership / Community & Environment / Stakeholders</p> <p>Potential for:-</p> <ul style="list-style-type: none"> Large no's of fatalities, injuries to public in crowded place. Extensive structural damage and/or collapse of surrounding buildings. Major fire. Damage/disruption to utilities (gas, electricity, water etc.) Immediate impact to businesses in the Cardiff area. Media coverage affecting public perception, leading to a loss of public confidence directly resulting in reduced business, retail and tourism revenues generated in the city. Area to be viewed as a risk for potential future business investment. Inability to attract major future national and international events (political, sporting etc.) Increase in demand for council services/support for all affected. Current economic climate to reduce the effectiveness of any recovery/regeneration of the area 	B	1	High Priority	<ul style="list-style-type: none"> All existing identified high risk; crowded places have been formally assessed. Most crowded places have an extremely limited an in some cases 'third party managed' access control process to operate them; providing little/no challenge. Most crowded places have varying standards of boundary treatments protecting them; providing a limited/cursory visual deterrent but little/no protection from a hostile vehicle. CONTEST Protect/Prepare Task & Finish Group has developed a City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'. 20 (40%) of the identified 'gateways' into the crowded places already benefit from PAS 68/69 mitigation in place, implemented as a direct result of Home Office (Crowded Places) and Olympic Legacy funding. Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services & Cardiff Council provide Project Argus and EVAC/Griffin training across the city to raise awareness for likely impacts associated with major incidents and in particular, terrorist attacks. The sessions also cover the support likely to be immediately available from the emergency services and Cardiff Council, the practical and simple preparations people/organisations can make prior to incident occurring to help themselves manage and recover from its impacts. 	B	1	High Priority	<ul style="list-style-type: none"> WECTU CTSA's, the Emergency Services & Cardiff Council continue to promote and provide Project Argus and EVAC/Griffin training across the city. Revised products will be launched nationally on 24th November and rolled out in South Wales shortly afterwards. 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. 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. Additional funding must be secured to procure and install the PAS 68/69 mitigation at the remaining 30 gateways. The Cardiff City Centre Access Control Protocol which was developed by the CONTEST Protect/Prepare Group has now been introduced. It reflects the commitment from the South Wales Police and Cardiff Council to jointly managing the safe operation of the Access Control System permitting vehicles onto the pedestrianised areas within Cardiff City Centre, using strict parameters that link to the current threat levels. Two training events were held on 17th April and 1st May 2014 for UTC staff. Following the raising of the National Threat 	<p>Andrew Gregory</p> <p>Councillor Ramesh Patel – Transport, Planning & Sustainability</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
									Level at the beginning of September; the protocol is now operating at the 'Heightened Level' as described, providing enhanced surveillance across the city centre. Strategic, Planning, Highways, Traffic & Transportation (SPHTT) have also recently upgraded the access and egress detection equipment to improve reliability of the operation at key locations. • The CONTEST Protect/Prepare Group will continue to support SPHTT in the delivery of UTC staff training associated with the implementation of the protocol.	
<p>Welfare Reform</p> <p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform Bill 2011, Universal Tax Credit, localisation of Council Tax Benefits, Social Fund reform, Introduction of the Benefit Cap and size restrictions for social tenants. Lack of information, short timescales for implementation and the large number of citizens affected makes this a significant risk.</p>	<ul style="list-style-type: none"> Private landlords stop renting to benefit claimants Increased homelessness and demand for temporary accommodation Increased rent arrears Redeployment / Severance for 140 staff Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties. Funding issues with Council Tax Reduction Scheme Emergency help not available to those in need if Discretionary Assistance Fund (replacement for Social fund does not operate effectively. 	A	2	High Priority	<ul style="list-style-type: none"> Communities staff 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. Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help private tenants to move accommodation where necessary. Timely information is being given to claimants to help them respond to the changes. Council Tax Reduction scheme has been adopted for 2014/15 and the new scheme is working well. 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. Officers continue to work closely with the Welsh Government over this issue. A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move. While arrears have increased this increase was much lower than anticipated at below £100,000 which is significantly less than previously expected 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 <p>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 will be done to encourage exchanges rather than transfers as this will prevent properties becoming vacant as a result of the changes.</p> <p>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 is expected to improve in the coming year.</p> <p>The benefit cap is now fully in place. 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.</p> <ul style="list-style-type: none"> The communication plan is working well Factsheets have been developed and are constantly being updated as more is understood about the changes. Briefings are sent to external stakeholders updating them of any changes. The Welfare Reform Group is working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected. Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate. There is still no certainty about the date of the transition plan to Universal Credit, roll out of this is not expected in 2014/15, making planning for staff reductions impossible. However more is known about the scheme and its impact on citizens. Detailed action plans to mitigate the impact have been developed, tenant profiling to identify needs is ongoing and a digital inclusion and banking project is providing training across the city. The Advice Hub in Marland House is working well, providing comprehensive advice services for those affected by Welfare Reform. 	B	2	High Priority	<ul style="list-style-type: none"> Workforce plans will be developed once the exact details of the Universal Credit changes become available, at present there is still no migration plan. Officers are working with the DWP on the Local Services Support Framework which may result in an ongoing role for local authorities under Universal Credit. Cardiff was not selected to be part of the pilot projects but continues to work closely with the DWP by providing information and case studies . Digital inclusion training and banking support is ongoing and the success of this will be monitored during the year <p>A tenant profiling project has started as a pilot to identify tenants' needs ahead of Universal Credit. Tenant responses to the requests for information have been disappointing.</p> <p>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.</p> <ul style="list-style-type: none"> 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 being used proactively to mitigate risk, while lower than in 2013/14 the level of DHP grant in 2014/15 remains adequate for the key schemes to continue. Additional funding bids are being made when available 	<p>Sarah McGill (Jane Thomas)</p> <p>Councillor Susan Elsmore – Health, Housing & Wellbeing</p>
<p>Waste Management</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"> Significant financial penalties for failure at up to £200/tonne. Procure landfill elsewhere with additional costs. Reputation damage Increased costs of landfill and alternative treatment markets Risk to grant funding currently £7.25m 2013/14 No MTFP for future grant funds or capital confirmed by WG 	B	1	High Priority	<p>Policies / Strategy</p> <ul style="list-style-type: none"> Previous updates contain the policy position improvements between 2008-2013. Waste Management Strategy 2011-2016 was approved on 13th Jan 2011 and remains current however is due for review. Several progress reports have been made to Cabinet and Environmental Scrutiny in that period. Monthly performance tracking of recycling has been established to help predict the end of year position. Steps taken to improve MRF processing rates in Qtr 3 means less waste to landfill. Commercial recycling centre opened march 2014. Focus on pre-sort on the HWRCs is showing improvements in site recycling. 	B	2	High Priority	<p>Policy / Strategy</p> <ul style="list-style-type: none"> 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. Flats Strategy to improve waste and recycling collections from flats is designed to enable greater recycling and food waste form hard to capture areas Stockpiling of sweepings until a suitable recycling contract can be procured. Exploring reuse partners Working with other Local Authorities to explore TEEP business cases and/or exploring joint working options 	<p>Jane Forshaw</p> <p>Councillor Bob Derbyshire - Environment</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<p>Contracts / Projects</p> <ul style="list-style-type: none"> Several Contracts have been put in place for additional materials to be recycled from the HWRC's. Interim contract in place for disposal of biodegradable green/food waste A flexible Interim Disposal Contract in place with Biffa for 2-10 years; commenced April 2009. Aggregate recycling is now in place. Recycling litter bins are in place in the city centre. New initiatives such a charging for bulky waste, commercial recycling centre, sweepings, mattress and carpet recycling schemes are all underway. New HWRC delivery model has been implemented from November 13. <p>This year, placing the focus on pre sort high quality recycling and removing the reliance on post sorting of waste.</p> <p>Prosiect Gwyrdd</p> <p>Financial Close occurred December 2013 Viridor are the appointed contractor which commences Sept 2015.</p> <p>Organic procurement</p> <p>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>Household & Commercial Waste Collections</p> <p>Household Waste collections were changed further towards the WG recycling blueprint in 2011 by changing to: fortnightly black (with accompanying hygiene services and weekly food and dry recycling and fortnightly green. National government discussions on comingled recycling remains an issue.</p> <p>Collaboration work</p> <p>Working and engaging with Welsh Government on legal and policy changes.</p>				<p>Contracts / Projects</p> <ul style="list-style-type: none"> Progress the Organic procurement is to timescale to SCD of 01/04/16. Interim contracts remain valid. 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. <p>Project Gwyrdd - Financial Close occurred December 2013 Viridor are the appointed contractor which commenced Sept 2015. Planning transitional management & contractual commencement arrangements</p> <p>Collections</p> <ul style="list-style-type: none"> Commercial waste operations have refined the marketing package for recycling in the commercial sector to increase recycling from commercial waste collected by the Waste Collection Authority that is included in the total MSW (and therefore relevant to statutory targets). Set and achieve new commercial recycling opportunities for new materials and new income opportunities – targeting food collections and schools. Risk remains high that recycling performance and weather impacts on green waste could lead to a status quo in recycling performance or at worse a drop in performance form below 52%. 	
<p>Preparation of Local Development Plan</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 & Environment & Stakeholder</p> <p>Preparing a plan which the independent Inspector considers 'unsound' and therefore cannot be adopted.</p> <ul style="list-style-type: none"> Reputational issues for the Council. No adopted plan in place would mean the Council would not be in a position to effectively manage and control development- its ability would be significantly reduced. Failure to achieve corporate priorities which the LDP would help deliver relating to economic, social and environmental objectives. Possible breakdown of key strategic partnerships and with stakeholder groups. <p>Delays in preparation.</p> <ul style="list-style-type: none"> Possibility of planning applications being submitted in advance of plan adoption. Possible negative publicity on delay. Stakeholder concern at delay to timetable. Potentially significant objections raised by objectors and / or legal challenge submitted against Council impacting on timetable and plan content. Infraction proceedings against the Council resulting in significant financial penalties. <p>Insufficient resources.</p> <ul style="list-style-type: none"> Staff resource and monies required to undertake technical studies and other specialist advice considered necessary. 	B	1	High Priority	<ul style="list-style-type: none"> Use of project management techniques to effectively manage process and regular update meetings between Senior Officers and Members. Monitor emerging legislation/guidance/evidence and respond early to changes. Monitor budget spend and consider additional resources when required. A medium term financial bid has been agreed for 2013/14. Undertake Scrutiny process together with wider Member Briefing to raise awareness. Build in effective consultation and engagement into process to ensure stakeholders are informed at all stages. Close liaison with the Welsh Government Planning Division and Planning Inspectorate to: Ensure early warning of any problems (e.g. Consultation on LDP) Ensure LDP is sound, founded on a robust evidence base with sustainability appraisal and well audited community and stakeholder engagement. Undertake tests of soundness 'self assessment' at all stages of LDP preparation as recommended in national guidance Ensure procedures, Act, Regulations etc, are complied with and no undue risks taken LDP Corporate Officers Working Group A revised timetable for preparation of the LDP has been agreed by Executive and Council in November 2011. The revised timetable for the Delivery Agreement was agreed by WG in December 2011 Initiated schedule of meetings with Authorities within South East Wales and other stakeholders to discuss cross border and consistency issues to meet the tests of soundness Meetings held with Authorities within South East Wales and other stakeholders to discuss cross border and consistency issues to meet the tests of soundness. Report of Findings agreed and forms a background paper to the Preferred Strategy. A Flood Study Report to investigate fluvial food risk from reens in the Wentloog Levels has been completed and evidence presented in the report has informed the assessed candidate sites and inclusion of an additional strategic site. The LDP Preferred Strategy was approved by Cabinet on 18th October 2012 and Council on 25th October 2012. A consultation on the Preferred Strategy was completed on 14th December and over 1000 responses have been received. Final report has been completed on population and household projections as part of the evidence base to support the Deposit Plan. Report recommends reducing the overall level of housing growth in the Plan by approximately 4,000 dwellings. Final draft Gypsy and Traveller study investigating potential new sites has been completed and circulated for Member agreement. Report on Masterplanning general principles was approved by Cabinet on 16th May. These principles inform the preparation of the schematic Masterplans. Workshops held with officers to help inform the development of the 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> To ensure effective partnership with service areas across the Council and seek to agree statements of common ground with stakeholders on key issues to support the LDP at examination. Additional funding over the financial year 2015/16 will be needed to meet statutory requirements and support the 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 examination / planning Inspectorate costs, legal / other independent advice costs and publicity / printing costs. Key dates are examination hearing sessions in January/February 2015, Inspectors Report in August 2015 and adoption in October 2015. 	<p>Andrew Gregory</p> <p>Councillor Ramesh Patel - Transport, Planning & Sustainability</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner & Cabinet Member
					<p>strategic sites specific frameworks.</p> <ul style="list-style-type: none"> A Masterplanning Framework Document has been prepared as a background paper to the Deposit Plan. The Deposit Plan was approved by Cabinet on 12th September 2013 and Council on 26th September 2013 for consultation purposes. Consultation on the Deposit Plan was completed on 26th November 2013 and over 400 responses have been received. Consultation on the Alternative Sites was undertaken between 11th February and 4th April 2014. Following approval by Council on 26th June, 2014 the Deposit Plan and supporting information was submitted to the Welsh Government and Planning Inspectorate for examination on 14th August 2014. 					
<p>Education – Schools - SOP</p> <p>Very ambitious timescales for project delivery, by a lean team, with restricted capital allocations to support reorganisation, improvement and expansion of school provision to meet growing pupil population.</p>	<p>Reputational / Legal / Financial / Social / Stakeholder / Health & safety.</p> <ul style="list-style-type: none"> Insufficient primary places in some areas of the City. Further degeneration of school buildings. Reducing educational standards. Project cost and time overruns. Risk that Welsh Government withhold funding if not satisfied with Business Cases. 	B	1	High Priority	<p>Proposals approved –</p> <ul style="list-style-type: none"> Rumney High School officially closed in August 14. The new Eastern High will remain on the site until the new school building is ready. The CAVC site in Trowbridge has been selected as the site for the new school. Key risks are consultation with the community and challenging target completion date of September 2016. Work is ongoing with regards to 21st century programme and changing priorities. A re-profiling exercise is being undertaken and a report is expected to be considered by the Council Cabinet in January 2015. This means that some projects will be delayed as they cannot be consulted upon until after this time. The Welsh Government notified officers of the Minister's approval of the proposal to expand Adamsdown Primary School to 2FE. The proposal is to be implemented with effect from September 2015. The decision is on the condition that the local authority obtains planning permission by 31 December 2014 and on condition that a business case for funding under the 21st Century Schools Programme receives final approval by that date or the local authority confirms, by the same date, that it will fully fund the works needed to the school in the absence of such approval. Due to a delay in planning (project was removed from the last committee and improvements have been asked for) Nursery provision cannot be increased until September 2016. Pontpreannau Primary completion dates is very challenging due to issues evaluating tenders. The contractor is not willing to accelerate the programme as said programme is very challenging as it is. Proposals on the provision of additional Welsh-medium and English-medium primary school places in and around the Butetown, Canton, Grangetown and Riverside areas and the provision of additional primary school places in the Willows area have been delayed due to the need to re-profile the 21st Century Programme.. Statutory notices to increase English-medium and Welsh-medium primary school places in the Llanishen area have been published and are due to be determined by the Council Cabinet at their December meeting. 21st Century re-profile to determine funding gap for new build high school to replace Glyn Derw High and Michaelston Community College. Capital bid submitted to meet suitability and sufficiency issues. Review of SEN provision being undertaken / finalised. Consultation on the provision of additional English-medium primary school provision in Cyncoed, Penylan and parts of Plasnewydd being undertaken with a report on the outcome of the consultation due to be considered at the January 15 Cabinet meeting. Delayed completion date for Millbank Primary and planning move logistics for two options. 	C	2	Medium Priority (Red / Amber)	<ul style="list-style-type: none"> Establish consistent monitoring and reporting of all risks to Schools Programme Board Refresh 21st Century School Plan Turn Key solution i.e. one contract, single point of management and responsibility 	<p>Nick Batchelar</p> <p>(Janine Nightingale)</p> <p>Councillor Julia Magill - Education & Skills</p>
<p>Education Consortium & Attainment</p> <p>The current inconsistency in the quality, intelligence, data and related actions by CSC Challenge Advisers hinders the rate of improvement in educational attainment</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> Budget implications. Reducing educational standards. Intervention from WG 	B	1	High Priority	<ul style="list-style-type: none"> The Education Development Plan sets out a strategy for improvement in outcomes, provision and leadership to secure improvement in all schools. The Consortium arrangements, including structure, have now been changed and comply with the WG National Model for School Improvement Services. These include revised governance and commissioning arrangements. The Lead elected member is now the Cardiff Cabinet Member for Education and the Lead Chief Executive is the Cardiff Chief Executive. Along with the Director of Education these now provide a stronger link to the Central South Consortium. At an operational level the Head of School Improvement and Inclusion (HoSII) monitors the agreed commissioning arrangements between Cardiff and the Consortium which are now laid down in an Annex to the Consortium Business Plan. The HoSII meets with the CSC Challenge Advisers on a regular basis to identify those schools causing concern and the Council makes full use, if necessary, of formal warnings and powers of intervention. 	C	2	Medium Priority (Red / Amber)	<ul style="list-style-type: none"> Ensure the delivery of the Education Development Plan underpins the necessary systems and processes for both the Education Department and Central South Consortium. Ensure the agreed commissioning arrangements are delivered and make a positive impact on the performance of schools 	<p>Nick Batchelar</p> <p>(Angela Kent)</p> <p>Councillor Julia Magill - Education & Skills</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p>ICT Platforms Unsuitable/Outdated</p> <p>The ICT platforms (desktop, software, network, servers, and telephones) will not be able to support the technologies required by the corporate change programme and deliver effective service to the council, or will not provide a reliable service due to age and condition of equipment and systems.</p>	<ul style="list-style-type: none"> Reputational / Financial / Stakeholder / Service delivery. Loss of PSN services. Service delivery impacts from unreliable/unavailable ICT systems. Cardiff seen as unable to deliver on aspirations. Poor morale from frustrations with inability to deliver services. Potential for income losses from revenue collection impacts. Unable to meet delivery deadlines on both business as usual and transformation projects. 	A	2	High Priority	<ul style="list-style-type: none"> Measurements put in place to track impact. Existing ICT budget spend focused on dealing with critical issues, capital and revenue budget resource provided in 2012-15 to address major issues, medium term financial plan investment programme in place for subsequent years. Spending complete for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth. New system down analysis process in place to ensure that key pressure points are rapidly identified and fixed at minimum cost until full programme can be initiated. Recent issues with telephony have resulted in retargeting of some resources to focus on weak points now identified. New deliveries are all being designed for a 99.99% minimum uptime, with critical systems targeted at 99.999% (equating to less than 6 minutes per year). Active projects underway and the current aged file storage solution have been replaced and cloud based storage for additional resilience and flexibility is being assessed. Other projects underway to replace many of the core older back end servers. Corporate file storage systems replaced and new disk to disk backup option installed to improve performance and resilience. Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced to medium. Additional load balancers to be purchased for application resilience in key systems. 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Full renewal programme for all desktop, software, network, servers, and telephones, appropriate to Cardiff's ambitions and resources. Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority. Refresh of existing SAP, thin client and virtual server farms. Assessment of equipment required replacing to maintain PSN compliance. Further revenue and capital investment in 2014-16. Development of lifecycle monitoring. Pilot leasing scheme within schools to be considered for corporate desktop estate. 	<p>Christine Salter (Phil Bear)</p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>
ONGOING RISKS										
<p>Budget prioritisation</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"> Risk of failing to meet statutory budget setting deadlines Risk that service delivery impacted due to decreasing resources or failure to effectively prioritise spend inline with Corporate Plan Objectives Risk that savings identified as part of business as usual and efficiencies are not achieved as planned Risk that financial constraints lead to increased instances of non compliance and financial impropriety Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa Risk of unbalanced budget as savings required over the medium term become harder to achieve and their impact on service delivery more difficult to manage. Failure of financial organisations with whom the Council has invested money. Risk that organisational development does not align to the financial strategy in relation to budget reduction requirements. 	A	1	High Priority	<p>2014/15 Budget Setting</p> <ul style="list-style-type: none"> Following the setting of the 2014/15 budget the monitoring of the achievement of the savings is identified in the budget monitoring risk below. <p>2015/16 Budget Setting</p> <ul style="list-style-type: none"> The 2014/15 Budget Report contained an indication of the Council's MTFP which included an indication of the Budget Reduction Requirement for 2015/16. The Budget Scrutiny Process for 2014/15 highlighted improvements required in the budget consultation process and associated timescale and these will be considered as part of the 2015/16 Budget Strategy Report. Budget Strategy Report went to Cabinet and Council in July and identified a Budget Reduction Requirement of £45 million in relation to 2015/16 and £124 million over the life of the Medium Term Financial Plan. This was predicated on known financial pressures at a point in time and also a 4.5% reduction in Welsh Government funding. 	A	1	High Priority	<p>2015/16 Budget Setting</p> <ul style="list-style-type: none"> Given the ongoing significant financial challenge resources are being deployed to develop further the Budget Strategy for the Council in the medium term. The July Budget Strategy Report included the updated Budget Reduction Requirement and a profile of savings targets over a 3 year period. Directorates submitted savings, pressures and capital proposals by the end of August which are in the process of being reviewed. The Provisional Settlement for 2015/16 is due in early October. 	<p>Christine Salter (Marcia Sinfield)</p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>
<p>Budget Monitoring 2014/15</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 the financial year.</p> <p>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</p>	<ul style="list-style-type: none"> Inability to balance spend against budget for the financial year. Requirement to implement emergency measures to reduce spending during the financial year. Requirement to drawdown from General Reserves at the year end. Impact on the 2015/16 Budget where issues remain with achieving 2014/15 budget savings. 	A	1	High Priority	<ul style="list-style-type: none"> Clear financial procedure rules setting out roles and responsibilities for budget management are in place. In recognition of the quantum of savings and the risks posed a £4 million General Contingency was allocated in the Budget. Full financial monitoring processes are in place for month 3 to 11 of the financial year including achievement of budget savings. 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 6. Further reporting will take place for months 7 to 11. Availability of General Reserve should this be required. A full Council monitoring report was presented to Cabinet in September. This was based on month 4 and showed a potential overspend of £1.0. Within the overall position however, directorate budgets reported a projected overspend of £7.1 million including a projected shortfall against savings targets of £4.963 million. Further reports will be presented to Cabinet in November (Month 6), February (Month 9) and June (Final Outturn). 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. The Cabinet Member for Corporate Services & Performance and the Corporate Director Resources have held challenge meetings with cabinet 	B	1	High Priority	<ul style="list-style-type: none"> Monthly meetings will continue to be held with service accountants, directors and Cabinet Members. Further reporting will take place for months 7 to 11. Further reports will be presented to Cabinet in November (Month 6), February (Month 9) and June (Final Outturn). The management actions implemented by the Chief Executive to reduce the level of spend across the Council will remain in place as necessary during the remainder of the year. The Cabinet Member for Corporate Services & Performance and the Corporate Director Resources will continue to hold regular challenge meetings with cabinet members and directors in those areas where significant overspends are reported. 	<p>Christine Salter (Allan Evans)</p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
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.					members and directors in those areas where significant overspends are reported.					
<p>Health and Safety</p> <p>Ineffective compliance of health and safety through poor application and embedding of the 'Framework for Managing Health and Safety in Cardiff Council.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> Fatalities Serious injuries Prosecution – fines for body corporate and/ or fines/imprisonment for individual Claims 	A	1	High Priority	<ul style="list-style-type: none"> Dedicated team of competent Health and Safety Advisers providing specialist advice and guidance (Christina Lloyd). Implementation of the 'Framework for Managing Health and Safety' based on the HSE model for successful health and safety management as detailed in the Council's Health and Safety Policy (revised 2014). The five key elements of the management system model for occupational health and safety are:- <ul style="list-style-type: none"> 1. 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.) Directorates / Service Areas carry out suitable and sufficient risk assessments as appropriate and ensure any necessary control measures are implemented and monitored. Health and Safety Advisers carry out a programme of health and safety audits, focussing on high risk activities, and undertake other inspections / investigations as necessary. Annual Business Objectives for Health and Safety Advisers. Code of Guidance on Leading Health and Safety for Senior Managers and Headteachers included on CIS – Spring 2012. Health and Safety Leadership Action Plan 2012/13 for all senior managers OM and above. 	B	1	High Priority	<ul style="list-style-type: none"> Update Directorate Health and Safety Policies using 2014 Policy template ensuring more detail and cross referencing of operational documentation (All Directors / Chief Officers / Heads of Service). H&S awareness sessions to Members (Christina Lloyd – ongoing). Address corporate H&S objectives for 2014/15 (Christina Lloyd and All Directors / Chief Officers - to be completed by April 2015). Business objectives in Team Plan for H&S Advisers for 2014/15. Implementation of Directorate H&S Action Plans by Directorates (All Directors / Chief Officers). 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. 	Christine Salter (Christina Lloyd) Councillor Graham Hinchey - Corporate Services & Performance
<p>Climate Change & Energy Security</p> <p>Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health & Safety</p> <p>Flooding & increased frequency and severity of storm events:</p> <ul style="list-style-type: none"> Loss of life and personal injury Direct damage to property, infrastructure and utilities Contamination and disease from flood and sewer water and flood on contaminated land Increased costs of insurance Break up of community and social cohesion Blight of land and development <p>Increased summer temperatures:</p> <ul style="list-style-type: none"> An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services An increase in demand for limited water supplies Damage to temperature sensitive infrastructure (transport systems, electrical systems). Migration of biodiversity. <p>Inconsistent energy supply and cost:</p> <ul style="list-style-type: none"> Inability to deliver public services Decrease in economic output Disruption to the supply of utilities Increased transport costs Increased costs for heating / providing services to buildings Increased fuel poverty 	B	1	High Priority	<p>Emergency Management Unit</p> <ul style="list-style-type: none"> Cardiff Council Emergency Management Unit is working with Utility (including Dwr Cymru) and Telecom companies to ensure planning is carried out with consideration of flood risk. Cardiff Area Community Risk Register is developed by the Cardiff Area Risk Group (ongoing with added impetus of Olympics preparation). Cardiff Area flood group meet regularly to exchange information, this group consists of EAW, Met Office, Emergency Services and Council Departments with a response to flooding. Cardiff Council Emergency Management Unit are carrying out a large and long term communication strategy in Cardiff in conjunction with partner agencies, mainly the Environment Agency, highlighting flood awareness alongside other emergency eventualities and how residents, businesses and communities can be aware of the risks in their area and hence better prepare for them should that risk materialise. Emergency Management Unit maintain up to date flood warning information from the Environment Agency Wales on the Council C Maps and Map Info system. Climate change related issues are addressed in corporate and service area business plans. <p>Energy Management Unit</p> <ul style="list-style-type: none"> The Energy Management Team, in conjunction with Service Areas continues to promote initiatives to reduce energy consumption and carbon emissions, with the establishment of various loan funds, coupled with capital bids and allocations. The Council procures competitive energy contracts through the Welsh Purchasing Consortium. Key sites are fitted with back up generators for short term issues. Council Carbon Management Programme Renewables – October 2011 EBM considered Wind and Solar PV Opportunities in the Council Estate and approved the recommendations. <p>Local Flood Risk Management Strategy</p> <p>A Local Flood Risk Management Strategy was produced by the end of 2012 based on WG's Flood & Coastal Risk Strategy guidance. Which integrates; the PFRA, a coastal protection strategy, stakeholder communications and set a clear corporate approach to flood management and risk was presented to the Environmental Scrutiny on 2 Oct 2012. Public consultation was undertaken on the full strategy between January and March.</p> <p>Planning</p> <ul style="list-style-type: none"> Flood Consequence Assessment to inform LDP process (ongoing). A Flood Study Report to investigate fluvial food risk from reens in the 	B	1	High Priority	<ul style="list-style-type: none"> A public and key stakeholder consultation exercise has been completed, and the Local Flood Risk Management Strategy drafted for cabinet approval. An officers flood working group has been establish to improve internal and key stakeholder communications on flooding issues. The proposal to further progress Surface Water modelling further in line with national guidance and deadlines to inform the Cardiff Area Flood Plan awaits the next guidance from the Welsh Government Identify where flood risk information is in place for key social and civil infrastructure and identify where there are gaps (i.e. contaminated land).The Flood Regulations 2009 require Flood Hazard & Risk Maps to be produced showing impact and extent of future significant flood events (City Services by June 2015) To consider flood risks recognised in the Community Risk Register in the Community Planning/Integrated Partnership process. Community resilience workshops continue in high risk areas Strategic climate change resilience action plan approved by Cabinet on 11th July as part of a wider One Planet Cardiff Cabinet Report. Actions and recommendations in the plan cover heat planning and flooding issues. Corporate PI on climate change resilience developed to ensure that the authority and its services are prepared for a changing climate, and to enable robust reporting to WG on this work (in line with the potential reporting requirements of the Climate Change Act and 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 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. 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 	Jane Forshaw Councillor Bob Derbyshire - Environment

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
				High	<p>Wentloog Levels completed to inform the assessed candidate sites.</p> <ul style="list-style-type: none"> Compliance with WAG TAN 15 (Development & Flood Risk - 2004) is already part of the planning process. <p>Sustainable Development Unit</p> <ul style="list-style-type: none"> Carbon Lite Cardiff Vision Forum project - Carbon Lite Cardiff Action Plan Changing Climate, Changing Places pilot project. Further guidance to be disseminated to service areas on climate change issues as and when new information becomes available. Share learning experiences of climate change related risks with Integrated Strategy partners as and when information becomes available. 			High	<p>priority sites identified consideration of strategic defences is required alongside Welsh Government.</p> <ul style="list-style-type: none"> 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. 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. Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, deliver the fuel Poverty strategy through measures such as Cyd Cymru, ECO and Green Deal opportunities, provide supplementary planning guidance on passive and renewal heating systems to new build and retrofit schemes. Energy security related issues to inform corporate financial systems revised buying and power consumption monitoring arrangements to save money and reduce demand and provide corporate & community planning for Energy City Wide to Business and public sector. Further guidance to be disseminated to service areas on energy security and energy savings opportunities such as implementation of Carbon Culture, delivering extensive energy invest to save programmes on the Council Estate. Delivering renewables within larger properties to lower dependency to grid supply. Energy Performance certificates undertaken to Council owned stock to improve understanding along with a variety of energy efficiency measures (cavity / loft / external wall insulation and boiler upgrades) funded via ARBED, ECO and Green Deal. 	
<p>Information Governance</p> <p>Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <p>Leads to the Information Commissioner issuing notices of non compliance and implementing financial penalties</p>	A	1	High Priority	<ul style="list-style-type: none"> Information Security Forum held monthly, and Information Security Board chaired by the SIRO held quarterly. Suite of Information Governance Policies in place. Processes for Information Requests, Data Loss in place. The Information Governance Training Strategy in place. Information Requests and Training compliance monitoring reports provided and reported to Information Security Forum/Board, SIRO, SMT and Cabinet. The processing of CCTV requests (section 35 requests) has been centralised to ensure that these are dealt with appropriately ICO Consensual Audit has determined that the Council is considered to have a 'reasonable level of assurance' in place 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 Procurement contracts to include a clause regarding 3rd Parties processing personal data 	A	2	High Priority	<ul style="list-style-type: none"> Roll out of the SharePoint technology platform firstly to pilot areas and then an Implementation Plan for the remainder of the Council Complete a CCTV inventory to establish the location, ownership and reason for deployment of each CCTV camera via Privacy Impact Assessments An improvement plan is in place to ensure that the accepted recommendations in the ICO Consensual Audit are delivered Finalise the deployment model of staff dealing with Information Requests Service Level Agreement with Schools to be discussed with Schools Services as part of a wider support mechanism to schools 	<p>Christine Salter <i>(Vivienne Pearson)</i></p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>
<p>Children's</p> <p>Potential for mismatch between children's needs and capacity to meet them if current trends continue, for example in children needing to be safeguarded, looked after and/or receive other services to support families and carers to care for them.</p>	<p>Reputational / Social / Legal / Financial / Stakeholders / Service delivery</p> <ul style="list-style-type: none"> Timeliness and quality of assessments and interventions to safeguard and promote children's welfare is compromised. Achievement of good outcomes for children is compromised. Shortage of appropriate services including placements. Inability to meet key objective and targets. Budget pressures. Increase in legal proceedings to safeguard children resulting in increased pressure on legal services. Statutory requirements not met (in relation to young people remanded to custody). Representations from carers in receipt of Special Guardianship Order and Residence Order allowances. 	B	1	High Priority	<ul style="list-style-type: none"> Introduction of weekly reporting of activity levels for intake and assessment and case management teams. Weekly meetings with legal services. Interagency out of area placement panel. Development Plan to improve timeliness of Adoption. Timely reviews of care plans for looked after children and children included on CPR. Engagement in new approaches to commissioning through collaborative work with other services / agencies / authorities, to ensure availability of services to meet needs and achieve value for money. Increased social worker capacity. Regular tracking of looked after children. Monitoring numbers of young people becoming looked after due to remands to custody. Integrated Family Support Services. Annual Council Reporting Framework self assessment and critical challenge process. 	B	2	High Priority	<ul style="list-style-type: none"> Prepare a Children's Services Improvement Plan and programme together with effective corporate governance arrangements in Q1. In collaboration with the WLGA, explore options for a development partnership with another city. Implementation of the new Recruitment and Retention Strategy (developed using Results Based Accountability methodology) which focuses on securing a stable workforce, choking off the growth in agency spend and minimising use of agency staff over the longer term. 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 for implementation of revised Strategy to be considered with partners. Audit of supervision arrangements. 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. Leeds City Council identified as a partner and initial work to design new front door arrangements on a multi agency basis will commence with partnership city colleagues early in Quarter 3. Improving quality and range of family support interventions in collaboration with partners. Development / implementation of inter-agency strategies for delivery of services for disabled children and children with autism. 	<p>Tony Young</p> <p>Councillor Sue Lent, Deputy Leader - Early Years, Children & Families</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
<p>Health & Social Care</p> <p>Changing demographics and increasing expectations of vulnerable people put more pressure on services, increasing risk of budget overspend.</p>	<p>Reputational / Legal /Financial / Social / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> - Increased pressures from partners, especially Health – to reduce DTOC - Increased demand on future services including POVA referrals - Increase in number of adults waiting for an assessment & risk of individuals deteriorating whilst they are waiting. 	B	1	High Priority	<ul style="list-style-type: none"> • Close scrutiny of budgetary information for all aspects of the service to ensure effective budgetary control and take mitigating actions. • Proactive weekly and monthly monitoring of service performance key indicators. • Continued progression on integration with Health, Partnership / Governance arrangements for Mental Health, Learning Disabilities and frail older people. Development of integrated complex hospital discharge team across Cardiff, The VOG and the UHB. • Commissioning Strategies in place for Physical Disabilities and Sensory Impairment and Strategy for Older People in draft. Progression of integrated delivery of MH Commissioning Plan. Market position statements across the service areas being drafted. • Joint work with UHB and Housing/ Communities to improve the gateway access to services and expand reablement/ rehabilitation service to improve outcomes for citizens. • Planned improvements in offer of Direct Payments to service users • Brokerage support to reablement and Dom Care Providers to ensure that on-going packages of care are transferred efficiently. • Regular review meetings instituted with CSSIW to ensure open and robust framework for demonstrating service improvements within H&SC. 	B	2	High Priority	<ul style="list-style-type: none"> • Continued proactive engagement with Health for stronger collaborative working in relation to performance on DTOC with weekly monitoring and reporting to the Director H&SC on DTOC. • Creation of combined Health & Social Care Locality Community Resource Teams to increase efficiency and effectiveness. • Current case management system is being reviewed and case quality audit advanced. • Internal Review team within Assessment & 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 • 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 include consideration of report by partners and decision-makers; identification of capacity to lead and manage programme of change; and development of implementation plan. • Changes to Care First (social care records database) and business solution procured and to be implemented by December 2014 which will impact on ability to track demand and performance • Assessment & Case Management Business Process Review has commenced with corporate resources to deliver • On-line procurement systems implemented for residential and nursing home placements and being implemented by November 2014 for Domiciliary care 	<p>Siân Walker</p> <p>Councillor Susan Elsmore - Health, Housing & Wellbeing</p>
<p>Safeguarding - Health & Social Care</p> <p>Failure to safeguard vulnerable people.</p>	<p>Reputational / Legal /Financial / Social / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> • Increased pressures from partners, especially Health – to reduce DTOC • Increased demand on future services • Risk of external intervention 	B	1	High Priority	<ul style="list-style-type: none"> • POVA reviews are carried out to ensure compliance with national standards • Senior management involvement at OM level in governance and quality audit as well as management involvement throughout the operational structure • Good working relationships across other partners e.g. Health, Police • Good system of sharing learning across the department from safeguarding case management outcomes in partnership with Learning & Development service (Training) 	B	2	High Priority	<ul style="list-style-type: none"> • Plans are in place to consolidate safeguarding arrangements across Cardiff & the Vale of Glamorgan and eventually with Children’s Services to form council wide safeguarding responsibility • Current case management system is being reviewed and case quality audit advanced. • Current revision of operational processes and procedures to ensure robust attention to detail throughout the safeguarding process • Implementation of different levels of POVA training for different staff grades (appropriate to their responsibility within the process • Escalating Concerns Policy has been implemented across H&SC to manage quality and Provider performance concerns in H&SC. 	<p>Siân Walker</p> <p>Councillor Susan Elsmore - Health, Housing & Wellbeing</p>
<p>Performance Management</p> <p>A performance management culture is not embedded within the Council leaving the Council exposed to intervention by Welsh Government in line with the Local Government (Wales) Measure 2009 and associated requirements</p>	<p>Reputational / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> • The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices. • Council unable to accelerate performance improvement as planned/desired. <p><u>Outcome Agreement 2013/16</u> Financial</p> <ul style="list-style-type: none"> • The WG guidance for the Outcome Agreement for 2013/16 means that there is a risk of not securing all or part of the £3.2m funding for 2013/14 and subsequent years 	B	2	High Priority	<p>The Council’s Corporate Plan sets the priorities of the Council and was approved alongside the budget in February 2014</p> <p>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</p> <p>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.</p>	B	2	High Priority	<ul style="list-style-type: none"> • A commissioned external review of the Performance Culture is underway and is aligned to the preparation and reporting cycle for the Quarter 2 Performance Report. The findings of this review will help to identify a programme of improvements and feed into the Organisational Development Programme. • Further develop the element of financial monitoring and reporting in the quarterly Performance and Delivery Reports. • A restructure of the Improvement Team based in the Improvement and Information Section is underway with a planned implementation of the new service by 1st January 2015. • 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. • A new Corporate Plan is being drafted which will be focused on the priorities of the Council and the delivery of objectives. As part of the Plan’s development Balanced Scorecards will be put in place. • Directorate Delivery Planning (second year) process will improve the connection with benchmarking and measurement • Improve the alignment of objectives from the Corporate Plan / Service Plan into PPDRs of staff. 	<p>Christine Salter (Martin Hamilton)</p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>
<p>Organisation Development</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"> • The Council’s budget constraints are so severe that the consequence of not delivering large-scale change could have a major impact on customer services. • Radical changes to service delivery models may impact on the Council’s reputation if not planned, co-ordinated and governed effectively. • If change is not delivered, there could be unplanned reduction in staffing to achieve savings, which would result in loss of business knowledge and resources to implement change. • Reputational impact if services do not meet increasing customer expectations. • If change is not effectively planned, managed and 	B	1	High Priority	<ul style="list-style-type: none"> • Governance arrangements established, led by the Chief Executive and Programme Boards, chaired by Directors to ensure change is delivered • Disciplined approach, where risk assessment forms an integral part of the approach to change • Programmes initiated with dedicated resources • Experienced gained by managing programmes and projects over a number of years, building on lessons learned • Building capacity and capability across the organisation through development opportunities and skills transfer • Appropriate engagement and stakeholder management, including Business Change Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit • Improving compliance to project and programme management governance 	B	2	High Priority	<ul style="list-style-type: none"> • Investment Review Board initiated in April 2014 to provide additional challenge of Business Cases and prioritisation of resources • Standardised approval process for Business Cases being implemented, • Business change responsibilities to be written into the Job Description and PP&DRs of senior managers • New Programmes & projects being initiated as part of Organisational Development – driving change from within Directorates, but Corporately governed. • Organisational Development Board approved in October 14 the prioritisation of infrastructure Services, Children’s Services and Health & Social Care with appropriate resources. 	<p>Christine Salter (Martin Hamilton)</p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Improvement Action	Risk Owner
	implemented it may be delayed and subsequently impact on the Council's ability to achieve necessary savings and service improvements. • With the increased budget pressures, the Council may not have sufficient capital and revenue to invest in technology which would achieve medium and long-term improvements and savings.				standards by streamlining core processes and enhancing reporting, increasing transparency across change initiatives. • Implementation of Programme & Project Management Database to enhance management information and reporting. The database has replaced spreadsheets and double-handling of information and will support the enforcement of a standardised approach to corporate policies; improving governance and ensuring that PQA Programme & Project management processes are being used across the Council. • Audit of BCM Decision Making has determined a list of actions to improve information and support rapid decision making and issue resolution.				• Enabling technologies to be realigned as appropriate to the priority areas. • Implementation of the LERC approved Lean Competency System to develop in-house change capabilities. • People & Organisational Development Programme being initiated to improve the Council's capacity to manage risk within a change environment. This programme will include workforce planning & engagement; performance management and stakeholder engagement & communication.	
Business Continuity Large scale incident/loss affecting the delivery of services.	Reputational / Legal / Financial / Stakeholder / Service delivery / Health & safety • Inability to operate in a timely and efficient manner. • Potential impact on health and safety. • Impact on key services to the public. • Inability to meet business obligations e.g. partnership arrangements.	B	1	High Priority	<ul style="list-style-type: none"> The Council has a BCM Champion who sponsors BCM at a strategic level and is actively supporting the BCM Programme. We have an approved Business Continuity Policy, available on CIS. BCM Intranet web page. BCM toolkit is now available on CIS allowing all service managers to develop an appropriate BCM response for their services allowing future effective maintenance and audit. BCM workshops are available from the BC Officer on request. The Council has employed a Business Continuity Officer (appointed October 2010). The officer is a qualified BS25999 and ISO22301 lead auditor. 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 24th May 2011 which concluded the work on prioritising and classifying all of the Councils activities. This work to prioritise activities continues to be reviewed annually by the senior leadership team to keep the work live. The 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. The Business Continuity Officer sits on the Office Rationalisation project team to help the council manage the risk associated with the reduction in work space which will be the result of the project. A partnership approach between the Emergency Management Unit and the Corporate Risk Steering Group is helping to raise awareness and drive forward the BCM programme. 64.5 % 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 16.1 % of our Amber activities now have business continuity plans which meet the business continuity audit requirement. 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 6th and 9th of June 2014. This exercise also gave BC plan owners the opportunity to exercise their own BC arrangements. 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 a corporate response to any incident. 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. 	C	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> 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. 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) The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with ISO22301 this has been distributed to all Directorates. The BC Officer is working closely with Facilities Management to ensure they have effective plans in place to help manage possible business disruptions to our four core buildings. Continue to promote the need for the Office Rationalisation Project to incorporate a solution to manage the risk and impact of loss of work space effectively, to limit impact on the provision of council services should there be a business continuity incident. This would probably be best achieved through roll out of an effective mobile working solution. A solution has been identified and is available to staff. Internal services have been working to improve the resilience and capability of infrastructure to support the use of this solution. Work with 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. Work with the teams involved with looking at the potential of using alternative delivery models for council services. Identifying risks associated with alternative delivery models for specific services and recommend potential risk management solutions for implementation, to protect the delivery of our most critical services. The BC Officer, with ICT, has identified a single point of failure to the power supply protecting the Councils main server room. The main server room is connected to the emergency generator but the system used to keep the servers from over heating isn't on the emergency generator. This has been highlighted to Facilities Management who has agreed they will commission work to address this vulnerability and add the system to the emergency generator. A short corporate Training module is being developed with the improvement and information section using the well established "Bobs Business" model this should be rolled out by quarter 3 of 2014/2015. 	Martin Hamilton Councillor Phil Bale, Leader – Economic Development & Partnerships
Education – Schools Delegated Budgets Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.	Reputational / Legal / Financial. • Budget implications. • Reducing educational standards. • Intervention from WG	A	2	High Priority	<ul style="list-style-type: none"> 2014/15 Budget allocations have been issued to schools in early March 2014 and it is clear that there are significant challenges facing some schools particularly in respect of Secondary phase. Officers from Education and Financial Services continue to work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to balance individual school deficits within four financial years. It is clear that certain schools will require a longer period than four years in respect of achieving a balanced medium term plan. Officers from Education and Financial Services considering the financial implications of a significant number of redundancies planned for 2014/15. Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure. Officers from Education and Financial Services continue to work with colleagues from Legal Services to prepare potential intervention strategies should any individual schools not work with the Council through a MTFP. Officers continue to report the position on individual schools through to the School Budget Forum. Officers considering their response to any school that holds balances in excess of £50,000 on 31 March 2014 in light of budget challenge facing individual schools for 2014/15. 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Review the match of pupil numbers to school places as part of the 21 Century plan refresh Protocol for responding to schools in deficit has been revised, including exercising statutory powers of intervention Finance Officers now link with Challenge Advisers to discuss schools Each school in deficit now has a monitoring officer (additional to the LFM) to provide independent challenge 	Nick Batchelar (Neil Hardee) Councillor Julia Magill - Education & Skills

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					<ul style="list-style-type: none"> Provisional Settlement for 2015/16 has now been received and early notice of Grant reductions albeit there remains detail missing. 					
<p>Legal Compliance</p> <p>Changes in services and staff roles across the Council resulting in:</p> <ul style="list-style-type: none"> - gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate; - inability to deliver the services in accordance with all duties and responsibilities due to lack of resource: <p>in each case leading to increased risk of challenges.</p> <p>Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.</p>	<ul style="list-style-type: none"> Reputational / Legal / Financial / Service delivery Increase in number of challenges with consequences in terms of already stretched resources and impact of adverse decisions Implementation of decisions delayed due to challenges and potentially fatally disrupted. Impact on projects if reputation for sound management and implementation of projects is damaged Major incident. Adverse press/media reaction Involvement from Welsh Government in terms of performance standards or measures. Increased costs on external legal support 	B	2	High Priority	<ul style="list-style-type: none"> Professional internal legal and financial advice provided to a high standard. Legal Services repositioned in the senior management structure. Maintaining robust decision making process with legal implications on all reports. Appropriate use of South Wales Legal Consortium external legal services and external barristers through separate framework to increase resilience. Dedicated teams in specialist areas e.g. equalities, FOI / DPA. Sharing training/publications received 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Prioritisation of work to make best use of internal expertise (including programme of projects in accordance with SMT decision) Continue efforts with exploration of collaboration with other legal services to see if there is the potential to increase resilience and / or efficiencies. 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 Increase training programme Council wide to cover legal, financial and regulatory matters but with sharing to develop knowledge within Directorates of specific statutory functions. Ensuring reports are discussed at preliminary stage in development to ensure all legal, financial and regulatory issues are addressed early 	<p>Christine Salter (Shaun Jamieson)</p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>
<p>Fraud</p> <p>Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> Increase in frauds and losses to the Council. Reputational risk as more frauds are reported. Increased time investigating suspected fraud cases. Reduction in resources to combat fraud following transfer of 4 experienced, professionally trained investigators and 1 admin assistant to the Department for Work & Pensions as part of the 'Single Fraud Investigation Service' (SFIS). 	B	2	High Priority	<ul style="list-style-type: none"> Financial Procedure Rules, Contract Procedure Rules for staff to follow. Proactive work of the Internal Audit team Professionally trained and experienced investigators to prevent, deter and detect fraud against the Council. Following the transfer of staff to the Single Fraud Investigation Service a small investigation team was retained dedicated to combat fraud and financial impropriety. Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority. Wales Audit Office Procurement team monitor spend and compliance with procedure rules Management awareness as voluntary severance business cases are constructed and restructures considered. Regular reports to the Audit Committee Regular review of Anti-Fraud, Anti Corruption and Bribery Policy and the Anti-Money Laundering Policy. Ongoing training sessions provided for Officers, Head Teachers and Governing Bodies on Financial Procedure Rules and Contract Standing Orders and Procurement Rules. Senior Management Assurance Statements. Briefing report to Senior Leadership Team (Dec 2012) on Internal Audit reports requiring a timely response from management and an assurance that recommendations will be implemented. Increased role and awareness now that the Discipline module is live in DigiGov. Compliance with Treasury Management practices and segregation of duties. 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Continued vigilance Continue to provide the Chief Executive with regular briefing notes Continue to produce regular reports for Audit Committee Continual assessment of training needs for 'Rules'. Considering forum for sharing investigation outcomes, raising profile of fraud work. Anti-Fraud, Anti-Corruption and Bribery Policy being updated to reflect 'zero tolerance' culture. Formalise a policy for Monitoring Employees at work to provide Managers with the tools to undertake effective investigations. Development of training programme for Senior Management regarding Fraud Awareness targeting disciplinary chairs and HR to help with (employee) fraud prevention. Review of induction material relating to Fraud. An e-learning tool for fraud and money laundering to be developed. 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. 	<p>Christine Salter (Bob Jones / Derek King)</p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>
<p>Asset Management</p> <p>Ineffective management and use of Council assets and lack of corporate recognition.</p>	<p>Reputational / Legal / Financial / Health & Safety / Stakeholders</p> <ul style="list-style-type: none"> Poor use of assets / VFM. Lost opportunity for capital receipts. Increased maintenance. Prosecutions / fines. 	B	2	High Priority	<ul style="list-style-type: none"> Asset management working methodology developed and Asset Management Board and Working Group now working to raise property profile and introduce more structured, disciplined approach to management of property. Property Condition Surveys – replaced by rolling programme of 'Fitness for Purpose' reviews of all council properties providing high level assessment of the current performance and value of buildings Carbon Management / Energy Efficiency - Certificates / General Awareness / Introduction of Energy Renewables Strategy. Work on the review of Strategic Property Management has been completed. Strategic Estates has, as from 1 June 2013 been transferred to the Economic Development Directorate. Asset / Infrastructure Programme Board will exercise an overview of the Office Accommodation Rationalisation Programme (formerly known as Our Space). 	C	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> Review of future County Hall HQ requirements in hand. Now into implementation which will be spread over the next three financial years, the plan is currently being refreshed and developed. Review of Non Operational Property – this report, completed in April 2012, has yet to be considered by Cabinet. A more detailed review of the Workshop Estate has commenced. High level Property Strategy Reports drafted for consideration in Spring 2014. A new Property Strategy will be presented to Cabinet in November. 	<p>Neil Hanratty</p> <p>Councillor Phil Bale, Leader – Economic Development & Partnerships</p>

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<p>Workforce Planning</p> <p>Importance of forecasting and planning to building capability and capacity is not recognised and is not fully embedded.</p>	<p>Reputational / Financial / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> • Poor service delivery due to ineffective use of resources. • Loss of resources and recruitment problems. • Poor morale • Loss of experienced staff members including managers • Reduce the likelihood of attracting high calibre managers to Cardiff Council • Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care. 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> • Flexible retirement policy agreed and implemented • A Workforce Planning Project (PL04) forms one of the projects within the People and Leadership Programme: • Arrival of external expertise in mid-Feb 2011 to work with key stakeholders in the Authority to review, develop and implement the workforce planning project • Workforce planning Stage 1 Design is completed producing a number of key reports outlining required next steps for workforce planning in Cardiff • A number of required enablers have been outlined • Workforce planning Stage 2 Development and Implementation project brief and project plans have been developed to deliver the identified enablers • 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 in March • ific work packages have been identified outlining the key enablers for effective workforce planning and developments of some are underway. After consultation the Workforce Planning Project has implemented a Behavioural Competence Framework. The framework has 12 behavioural competencies set out in 4 levels. All roles within the Council will be described using the framework. This will be the first step in gaining consistency in the way in which the Council describes its people and jobs. • The Workforce Planning project continues to introduce consistent ways of describing people and jobs in the Council. All new and redesigned jobs are being described and advertised through role profiles. • A Competency Assessment Toolkit is being used to develop individual profiles which can then be mapped against role profiles. • Work is being carried out on linking processes that can be used for the identification and development of potential e.g. Recruitment & Selection, PPDR and Cardiff Academy and underpinning these with the Competency Frameworks. These processes will be used to determine the current knowledge and skills held within the Council and identify any areas where there are gaps. This will enable development opportunities to be prioritised in line with Corporate Objectives and the vision for the Council. • Development Opportunities within Cardiff Council Academy have been aligned with the Behavioural Competency Framework. • 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 • Managers' guide to WFP developed and disseminated to Directorates March 2014. • The Behavioural Competency Framework has been piloted. Stakeholder feedback is being collated to inform the revised approach. Anticipated roll out – May / June 2014. • Additional research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event. LGA/ Skills for Local Government hosted COP event. • HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda. • 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. 	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> • Draft workforce strategy developed and consultation commenced which will have workforce planning as a key component. • Research and benchmarking planned with core cities during Q3 to review the effectiveness of current workforce planning approach and toolkit • Developing a rationale for and resulting options appraisal to deliver a workforce planning IT solution this work to be done with HRPS/EA. • Support planned for directorates during Q4 to scenario plan and profile workforce requirements following confirmation of budget decisions. 	<p>Christine Salter (Philip Lenz)</p> <p>Councillor Graham Hinchey - Corporate Services & Performance</p>