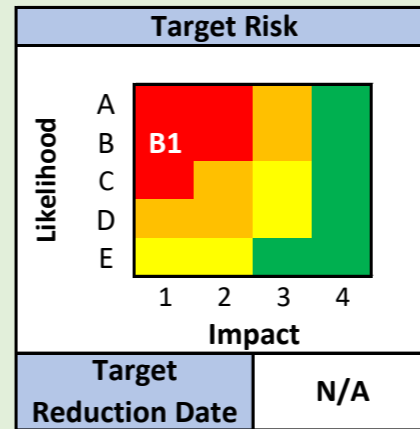
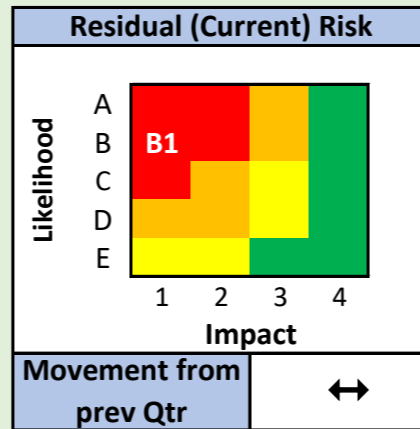
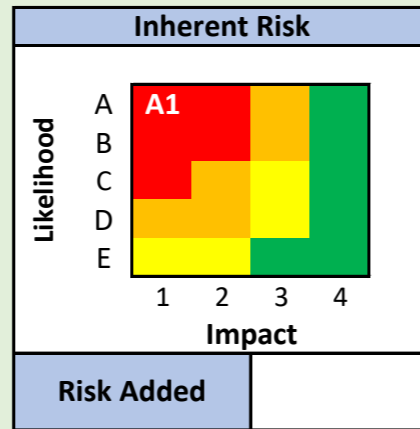


City Security

Description
Major security-related incident in the city as a result of international or domestic terrorism.



Risk Owner(s)

Chris Lee
(Isabelle Bignall)

Andrew Gregory

Councillor Huw Thomas
Leader

What we've done/are currently doing to achieve the Residual Risk Rating

- All existing identified high-risk, crowded places have been formally assessed.
- Some crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge.
- Crowded places have varying standards of boundary treatments protecting them; providing a limited/cursory visual deterrent but little/no protection from a hostile vehicle.
- CONTEST Protect/Prepare Task & Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'.
- 19 (38%) of the identified 'gateways' into the crowded places already benefit from PAS 68/69 mitigation in place, implemented as a direct result of Home Office (Crowded Places) and Olympic Legacy funding.
- The estimated cost for the procurement and installation of the PAS 68/69 mitigation and ancillary services is £3.6 Million.
- Work is ongoing with City Operations to advise developers across the city in relation to appropriate mitigation required.
- The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters.
- The Tabernacle Access Control Document is fully operational and sits and as an annex document to the main City Centre Access Control Protocol. It enables the Urban Traffic Control Officers to better manage Tabernacle 'users', covering their requirements whilst adhering to the existing Traffic Regulation Order.
- Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services & Cardiff Council provide Project Argus and EVAC/Griffin training across the city to raise awareness for likely impacts associated with major incidents and in particular, terrorist attacks. The sessions also cover the support likely to be immediately available from the emergency services and Cardiff Council, the practical and simple preparations people/organisations can make prior to incident occurring to help themselves manage and recover from its impacts.
- As the above shows, the work done in the city to address security concerns has been predominantly focused on the provision of physical assets to mitigate against the threat of hostile vehicles. Although this area remains important, a more holistic approach is needed to develop the city's response to and management of a wider range of potential threats.

What we plan to do to meet target

- The CONTEST Protect/Prepare Group will continue to monitor and review the city's Hostile Vehicle Mitigation scheme to ensure it is fit for purpose until it is fully installed.
- The CONTEST Protect/Prepare Group will give a status report to the Cardiff CONTEST Board
- The CONTEST Board will continue to try to identify external funding sources/opportunities from Welsh Government and UK Central Government to conclude scheme and appropriately mitigate the risk.
- The work that will be completed will improve the protection of the City Centre public realm but further funding will be required to conclude the protection of identified public realm.
- A holistic security strategy for the city is being developed through the city's CONTEST partnership mechanisms. This strategy will extend the perspective of the city's security beyond hostile vehicle mitigation to incorporate a range of security measures, including the continuing development and agglomeration of the city's CCTV and the deployment of new technological solutions
- Once the strategy has been completed it will provide a suite of costed business cases that will allow the continued incremental development of the city's security provision
- This in turn will allow partners to be more responsive to emerging funding opportunities

Potential Impact(s)

Immediate / Short-Term

- Large numbers of fatalities, injuries to public
- Extensive structural damage and/or collapse of buildings
- Major fire
- Damage/disruption to utilities (gas, electricity, water etc.)
- Immediate impact to businesses in the Cardiff area

Ongoing / Longer Term

- 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.

Type(s) of Impact

<ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial 	<ul style="list-style-type: none"> • Health & Safety • Partnership • Community & Environment • Stakeholder
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Linked Risks

Key Indicators / Measures used to monitor the risk

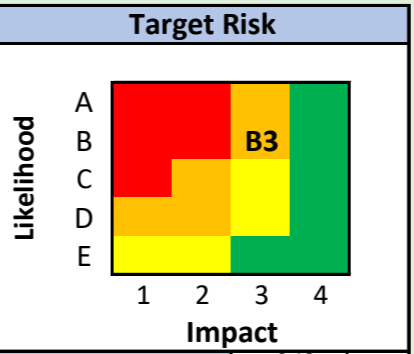
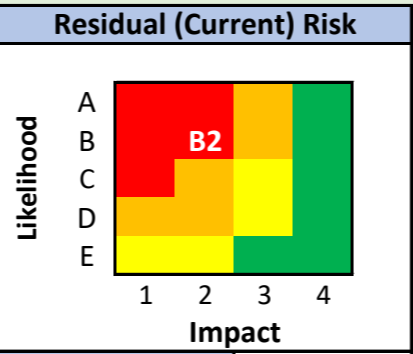
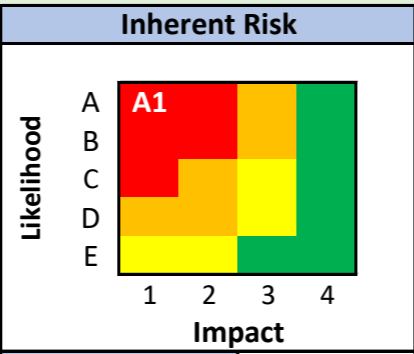
Air Quality & Clean Air Strategy

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>- Poor air quality is the most significant environmental determinant of health. UK Government has placed the improvement of Air Quality very high on their agenda and it has been made clear that they consider the responsibility for addressing the issue is at the door of Local Authorities.</p> <p>The UK and devolved Governments have a legal obligations to achieve nitrogen dioxide (NO2) annual average limit value (A5/m3 AA) as set out in the EU Ambient Air Quality Directive (2008/50/EC) in the shortest possible time, and their continued failure to meet this has been subject to a number of legal challenges. Cardiff does not comply with legal standards of NO2, and the primary source of the pollution is road transport emissions, particularly diesel vehicle emissions. Cardiff currently falls short of the required limits and although improvements are being seen, non-compliance of the legal limits is projected beyond 2020. Inability to secure funding to undertake full feasibility study through to implementation of mitigation measures</p> <p>- The timescale for completing the technical work on compliance of nitrogen dioxide limits required under the direction from Welsh Government is extremely challenging</p>				<p>Andrew Gregory (Gary Brown)</p>	<p>Councillor Caro Wild Strategic Planning & Transport</p>
	<p>Risk Added</p>	<p>Movement from prev Qtr ↔</p>	<p>Target Reduction Date 12 mths +</p>		
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target	
	<p>Monitoring - Cardiff have 4 existing declared 4 Air Quality Management Areas (AQMA's) all as a result of elevated NO2 concentrations resulting from road traffic emissions.</p> <p>Development of a Clean Air Strategy:</p> <p>A draft strategy has been developed which outlines the strategic measures required to address the air quality issues in Cardiff, summarised as follows:</p> <ul style="list-style-type: none"> - LDP Policies adhered to (KP18, EN13), Develop and finalise relevant SPG to improve AQA, additional relevant SPGs - Transport strategy- reducing congestion, Car clubs, 20mph zones, changing behaviours - Active Travel Improvements - increase Cycling and Walking - Public Transport Improvements - Buses, Metro, Trains, school travel plans, behaviours - Increase EV infrastructure, alt fuels (H2), fleet changes (CCC to lead), industry change, influence behavioural change. Non idling zones, parking permit reform, taxi policy review. <p>Cardiff's Transport & Clean Air Green Paper 'Changing how we move around a growing city' has also been developed and consulted on.</p> <p>WG Direction:</p> <p>Following the receipt of the Formal Direction from Welsh Government a Cabinet Report titled Air Quality – Welsh Government Direction was submitted and approved by Cabinet on 28th March 2018. The initial proposal setting out the case for change was submitted to Welsh Government on the 28th March 2018 to meet the requirement to submit before the 31st March 2018. This included the identification of governance, associated resource requirements, the scope of work, procurement approach, indicative costing's and timeline.</p> <p>A number of Active Travel and Transport mitigations have already been implemented:</p> <ul style="list-style-type: none"> - 20 mph zones in Cathays, Gabalfa, Canton and Riverside - Launch of bike hire scheme and installation of 250 Next Bikes in the city centre, with usage uptake extremely positive - Car free day to promote active and alternative travel - Active Travel improvement schemes at various locations, to enable and promote safe and sustainable travel to school etc - A4119 Ph 2b Bus priority measures at Cathedral Rd - Pilot of segregated cycle lane at Maes y Coed Rd 			<p>- ongoing development and implementation of programme of active travel and transport improvements</p> <p>- Outline business case has identified preferred options package of non-charging measures to be consulted on</p> <p>Consultation process is underway (ends May 15th) and following feedback, the preferred options will be refined (subject to cabinet and WG agreement) to enable the full business case to be submitted to WG by the end of June 2019.</p>	
	Type(s) of Impact		Linked Risks		Key Indicators / Measures used to monitor the risk
	<ul style="list-style-type: none"> • Service Delivery • Reputational • Financial • Strategic 		<ul style="list-style-type: none"> • Health & Safety 		<ul style="list-style-type: none"> • Interim plan by end Dec 2018 • Final plan by end Jun 2019

Brexit

Description

The risk that Brexit (and any subsequent decisions) will create severe disruption to the City and hinder its ability to continue to deliver effective services and maintain community cohesion.



Risk Owner(s)

Paul Orders (Senior Management Team)	Councillor Huw Thomas Leader (Brexit)
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Risk Added

Movement from prev Qtr ↔

Target Reduction Date 6-12 mths (dependent on ext factors)

What we've done/are currently doing to achieve the Residual Risk Rating

- Officers in regular contact with WLGA / Welsh Government and respective public partners
- Directorates reviewing / monitoring respective business continuity plans and making relevant adjustments where needed.
- Key suppliers identified / Resilience testing
- Lead officer in place for EU Settlement Scheme providing coordination and communication to internal and external stakeholders
- Business continuity Plans reviewed by Emergency Management Unit.

What we plan to do to meet target

- As Brexit outcome becomes clearer priority areas will become the main focus of attention.
- Longer term implications on areas such as workforce planning need to become clearer over the forthcoming period.

Potential Impact(s)

- Community Cohesion – Increase of tensions / hate crime
- Civil unrest – Protest / Disruptions to transport / City links
- Shortage of fuel, foods and medicines will impact on community
- Service Delivery is impacted by shortage / loss of key supplies
- EU Settlement Scheme is not managed effectively thus disrupting those affected
- Business Continuity Plans fail to be effective against the challenges posed by brexit.
- Key facilities not kept open such as schools and advice centres

Type(s) of Impact

<ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial 	<ul style="list-style-type: none"> • Health & Safety • Partnership • Community & Environment • Stakeholder
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Linked Risks

Key Indicators / Measures used to monitor the risk

Non-completion of Statutory Building Equipment Maintenance

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>RAMIS holds statutory obligations across the estate and is the central system for uploading of certificates and identifying and closing down remedial actions.</p> <p>The risk from statutory inspections lies with the cost of the remedial works which are required to maintain the premises, installation, equipment in a safe and legally compliant condition. However the visibility provided by RAMIS allows accurate evaluation of risk and targeting of funds available.</p>				Neil Hanratty	Councillor Russell Goodway Investment & Development
	Risk Added	Movement from prev Qtr ↔	Target Reduction Date	Q2 2019/20	
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target	
<p>Potential consequences of non-compliance with statutory maintenance:</p> <ul style="list-style-type: none"> • Fatalities or serious injuries • Closure of part or whole of facilities with major disruption to service delivery • HSE interventions and consequential actions including fines and prosecution; • Significant additional expenditure requiring realignment of Corporate budgets; • Temporary relocation of staff • Temporary loss of operational service • Invalidation of insurance policy • Serious adverse impact on reputation • Damage to fabric of building or other equipment 	<p>Contractor</p> <ul style="list-style-type: none"> • Statutory Planned Preventative Maintenance (PPM) undertaken by competent contractor. Consequential remedial work identified on test certificates. • Improved statutory maintenance contracting arrangements in place in Qtr 1 inc. use of SFG 20 as specification for statutory obligations testing and new risk based specification for legionella management supported by RAMIS. • FM competent person(s) review all test certificates, remedial work captured and communicated to client as necessary/applicable <p>- Statutory Obligations Team has been established within Building Services to improve monitoring and supervision of statutory obligations contractor. Contractors have been trained in the use of RAMIS in order for test certs to be uploaded directly to the system by contractors.</p> <p>RAMIS IT Software</p> <ul style="list-style-type: none"> • RAMIS implemented across the Council with bi-monthly reporting on statistics to SMT; • 200 Building Managers have received training in their responsibilities and use for the RAMIS system, including schools estates staff and Headteachers. • Full time officer Administrating RAMIS, providing training and issuing reports from the system to all service areas to push compliance ratings up to a minimum of 80% set by SMT. • RAMIS has been embraced by Service Areas and will ensure that the Council is aware of the compliance position on any given asset to avoid any risks to building users and the organisation. • Condition surveys have been completed which represents an extensive piece of work to improve our understanding and knowledge base of all the Council's land and property holdings. • Procurement of new Building Maintenance Framework arrangements to be utilised from April 2019. <p>Corporate Landlord Programme</p> <ul style="list-style-type: none"> • County Estates senior management structure established supporting - Strategic Asset Management, Capital Delivery and Property Services, to manage and deliver all the Council's non-domestic property functions within one portfolio. 			<p>Statutory Obligation Compliance</p> <ul style="list-style-type: none"> • Continue to commission investigations / work to complete required compliance testing (and works required) in respect of 'gaps' in compliance identified by reports from RAMIS. <p>Landlord / Occupancy Agreement</p> <ul style="list-style-type: none"> • Complete Landlord/Occupancy Agreement template and roll out in 2019/20. This will set out principle occupant and landlord permissions responsibilities and Permission for Works arrangements required. 	
Type(s) of Impact	Linked Risks		Key Indicators / Measures used to monitor the risk		
<ul style="list-style-type: none"> <li style="width: 50%;">• Service Delivery <li style="width: 50%;">• Health & Safety <li style="width: 50%;">• Reputational <li style="width: 50%;">• Partnership <li style="width: 50%;">• Legal <li style="width: 50%;">• Community & Environment <li style="width: 50%;">• Financial <li style="width: 50%;">• Stakeholder 			Compliance stats from the Corporate Health & Safety Team.		

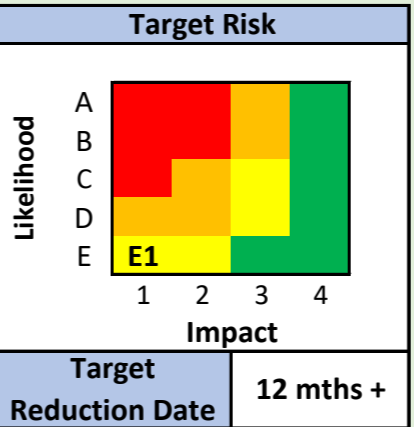
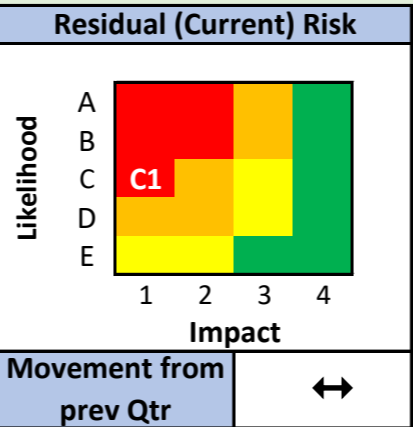
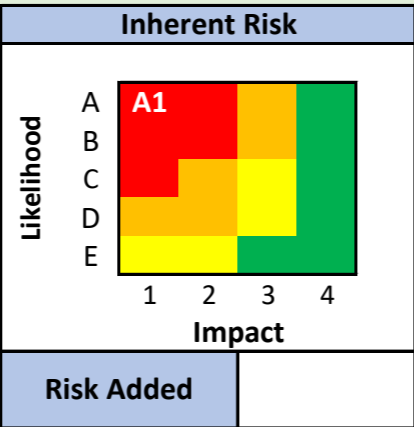
Cyber Security

Description

Two of the eleven areas of a Cyber Security assessment underpinning the corporate risk have been identified as high risk as follows:

Monitoring - inability to assess how and when systems are being used, leading to an ineffective response to deliberate attacks or accidental user activity.

Corporate Cloud Security - 2016 Internal Audit identified contract, SLA and service management weaknesses in externally hosted services.



Risk Owner(s)

Chris Lee
(Phil Bear)

Councillor Chris Weaver
Finance, Modernisation and Performance

What we've done/are currently doing to achieve the Residual Risk Rating

The principal controls for the high risk areas are as follows:

Monitoring - Minimal routine log analysis with incident reporting to ISB and discussed with IAO.

Corporate Cloud Security - Maturing PIA & CIA process used to assess risks to data and technology solutions.

What we plan to do to meet target

- ICT and Information Governance (IG) Teams to continue to liaise with FM for physical security assurances and to promote an incident reporting culture.
- To ensure strong ICT security, monitoring and cloud security controls:
 - ICT lifecycle and notification targets are being monitored and managed through the 'ICT Platforms' risk actions.
 - Collaboration between ICT and IG to develop and map current ICT system providers in phased development of an Information Asset Register.
 - Privacy Impact Assessment / Cloud Impact Assessments to be reviewed to ensure compliance with the requirements of the General Data Protection Regulation (GDPR) Action Plan being managed by the Information Governance Team.
 - Governance and management requirements to be formalised for periodic and systematic review of all ICT systems.
- SIRO to review / consider Cloud Infrastructure to ensure:
 - Assurance of effective governance and management.
 - Resource, risk appetite and outcomes required.
 - Education of business systems owners in risk and management of cloud based services.

Potential Impact(s)

The intent of cyber attackers includes, but is not limited to:

- financial fraud;
- information theft or misuse,
- activist causes to render computer systems intolerable and to disrupt critical infrastructure and vital services.

The impact of a cyber-attack / incident has the potential to involve the realisation of the risks associated with:

- An information governance breach (i.e. Stop Now Order, Information Notice, Enforcement Notice, Financial Penalty etc.)
- A business continuity incident – with a potential for major loss of service and legal, health and safety and financial implications.
- A financial / fraud related attack.

A malicious attack could result in loss of confidence from those transacting with the Council (reputation), as well as legal, asset, system, operational and financial implications.

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial
- Health & Safety
- Stakeholder

Linked Risks

Key Indicators / Measures used to monitor the risk

Financial Resilience

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Failure to deliver a balanced annual budget and a fully informed Medium Term Financial Plan which would significantly weaken the financial resilience of the Council.</p> <p>The current outlook is that there is a Budget Gap of £105 million for the period 2020/21 to 2023/24.</p>				Chris Lee (Ian Allwood)	Councillor Chris Weaver Finance, Modernisation and Performance
	Risk Added	Movement from prev Qtr ↔	Target Reduction Date	N/A	
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target	
<p>Potential Impact(s)</p> <ul style="list-style-type: none"> • Risk of failing to meet statutory obligations and that service delivery impacted due to uncertainty in the budget planning process. • Risk that settlement figures will not be as anticipated giving an element of uncertainty to any proposals from Cabinet during public consultation and beyond. • Risk that savings identified as part of business as usual and efficiencies have not been robustly reviewed for achievability and will not deliver as planned. • Risk that financial constraints and budget proposals result in unintended consequences such as increased instances of non-compliance and financial impropriety. • Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa. • Risk that Medium Term Savings are not identified in a coherent, strategic way which impacts on service delivery. • The risk that the Council will not be able to react to adverse situations through a combination of poor imprudent planning and significant challenges such as increasing demands for services such as social services, education, roads etc. 	<p>2019/20 and Medium Term</p> <ul style="list-style-type: none"> • The Council has agreed for 2019/20 a Financial Resilience Mechanism of £3.8m. This has been used for one off use initiatives in 2019/20. This £3.8m is retained for 2020/21 and will be put into operation in the event of the 20/21 Budget Settlement being 1% worse than expected. This mechanism avoids the need to identify additional directorate savings at short notice and allows time to be allocated for greater level of savings to be delivered. • The final 2019/20 Budget was underpinned by Directorate Savings of £19.157m, Use of earmarked Reserves £2.75m and Council Tax at 4.9%. Robust Monitoring mechanism will consider Month 3 position in order to inform the first Cabinet report in September 2019. • The MTFP set out in the 2019/20 Budget Report and now highlights an estimated Budget Reduction Requirement of £105m for the medium term (2020/21/-2023/24) • Further diligence in respect to the rating of risk of each saving proposal but the responsibility for detail and achievability remains with the directorate. • The Council regularly reports in relation to its financial performance and monitoring. • The Wales Audit Office identified that the Council has a transparent and effective savings approach which supports financial resilience being achieved. • A financial snapshot is used to report the financial resilience of the Council and is reviewed 3 times a year and reported at Budget Report (Feb 19), Budget Strategy (Jul) and to Audit Committee. 			<p>2019/20 and Medium Term</p> <ul style="list-style-type: none"> • Where needed, further work being undertaken to identify any areas of further action in respect to budget saving proposals put forward for 2019/20. These proposals will be closely monitored during the year. • Work will shortly commence in respect to 2020/ 21 budget proposals and a robust medium term financial plan taking into account internal and external challenges. This will include alignment with the Digital, Service Review, and Senior Management Team. • Continue to maintain close alignment with objectives of the Corporate Plan and the Capital Ambition Delivery Team in order to ensure resources are allocated appropriately and that longer term financial savings are developed in enough time to be realised in the medium term. • Continue to refresh assumptions at key stages as relevant information becomes available. 	
Type(s) of Impact	Linked Risks		Key Indicators / Measures used to monitor the risk		
<ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial 			Financial Snapshot which highlights historical and current performance on performance against budget, performance against savings against budget, level of borrowing, financial ratios Work being undertaken with SMT to consider the savings opportunities over the medium term 2020/21 - 2023/24		
<ul style="list-style-type: none"> • Stakeholder 					

Budget Monitoring (Control)

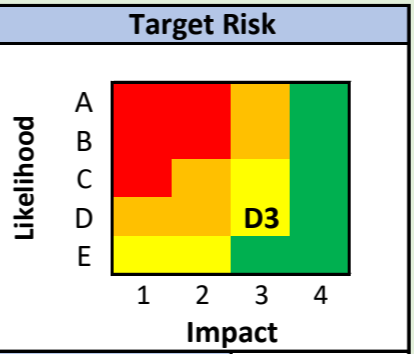
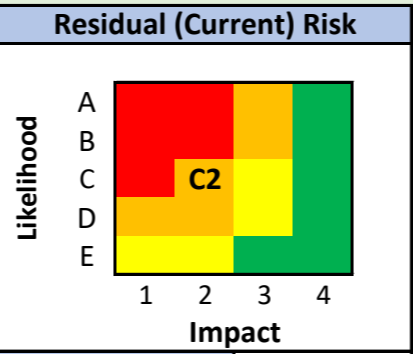
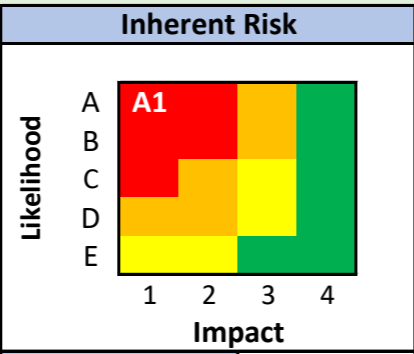
Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)							
<p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the drawdown of reserves.</p>	<p>A1</p>	<p>C2</p>	<p>C2</p>	<p>Chris Lee</p>	<p>Councillor Chris Weaver Finance, Modernisation and Performance</p>						
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Risk Added</td> <td style="width: 50%;"></td> </tr> </table>	Risk Added		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Movement from prev Qtr</td> <td style="width: 50%; text-align: center;">↔</td> </tr> </table>	Movement from prev Qtr	↔	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Target Reduction Date</td> <td style="width: 50%; text-align: center;">N/A</td> </tr> </table>	Target Reduction Date	N/A		
Risk Added											
Movement from prev Qtr	↔										
Target Reduction Date	N/A										
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target							
	<ul style="list-style-type: none"> Clear financial procedure rules setting out roles and responsibilities for budget management are in place. In recognition of the quantum of savings and the risks posed a £3 million General Contingency was allocated in the Budget. The 2018/19 Month 9 position highlights a significant directorate overspend but an overall balanced budget. The Corporate Director of Resources, Chief Executive and Cabinet Members continue to hold challenge meetings and these will continue for 2019/20. Full financial monitoring processes is in place for month 3 to 11 of the financial year including achievement of budget savings with months 3 to 10 completed. 			<ul style="list-style-type: none"> The outturn position will be used to inform the key risk areas for budget monitoring in 19/20. 							
Potential Impact(s)	Linked Risks		Key Indicators / Measures used to monitor the risk								
<ul style="list-style-type: none"> Inability to balance spend, against budget, for the financial year. Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet corporate plan objectives. Requirement to drawdown from General Reserves at the year end. 			<p>Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted.</p>								
Type(s) of Impact											
<ul style="list-style-type: none"> Service Delivery Reputational Legal Financial 	<ul style="list-style-type: none"> Stakeholder 										

Schools Organisation Programme (Band B)

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Very large scale Capital Programme – Band B (£284m) with tight timescales for delivery, in context of very rapidly growing primary age school population.</p>				<p>Nick Batchelar (Janine Nightingale)</p>	<p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>
	<p>Risk Added</p>	<p>Movement from prev Qtr ↔</p>	<p>Target Reduction Date</p>	<p>N/A</p>	
	<p>What we've done/are currently doing to achieve the Residual Risk Rating</p>			<p>What we plan to do to meet target</p>	
	<ul style="list-style-type: none"> 21st Century Schools Band B funding bid was submitted to Welsh Government in July 2017 and the Strategic Outline Case for £284m was approved in November 2017. Two Cabinet Reports in October and December 2018 outlined the priorities for this second phase of funding. Robust governance model, in line with Corporate Landlord being agreed. Arup report commissioned to look at Governance & capacity issues within the SOP team, with recommendations reported to Cabinet in May 2018. Head Teachers & Chairs of Governors of those schools involved in Band B briefed on process and timescales. Band B Delivery Group and School Development group formed internally to look corporately at issues including legal title, highways & transportation and planning. Technical feasibility and design work underway with assistance from Mott McDonald and Stride Treglown architects. Finance preparing the capital profiles for submission to Welsh Government and to monitor draw down and spends. Strategic Estates Department commissioned to achieve capital receipts of £25m to assist in funding the capital programme. Developing an enhanced asset management regime for the three “D” category High Schools, Fitzalan, Cantonian and Willows, in order to ensure that they remain as safe teaching and learning environments until such time as the buildings are replaced. Developing a robust procurement strategy for this large scale programme. 			<ul style="list-style-type: none"> Formal Governance via the Schools Programme Board. Strengthening of the capacity of the SOP team critical to ensuring effective delivery of the programme. This includes ensuring that corporate colleagues in departments including legal, strategic estates, ICT, planning and highways and transportation are available. Continued active dialogue with Welsh Government and other professional parties to support progress and development. Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward. Ensure consistent monitoring and reporting of all risks to Schools Programme Board. 	
<p>Potential Impact(s)</p>					
<ul style="list-style-type: none"> Insufficient secondary places in some central area of the City. Insufficient places in ALN settings across the City, leading to costly placement in out of county & private settings. School Buildings that are not suitable for teaching and learning Further degeneration of school buildings & rise in asset management backlog Three category “D” condition buildings, that are classed as end of life failing & being closed with hundreds of displaced students across the City. Reducing educational standards. Risk that insufficient capacity in team to deliver the very large programme. Project cost and time overruns Risk that Welsh Government do not approve individual project funding if not satisfied with Business Cases. 					
<p>Type(s) of Impact</p>	<p>Linked Risks</p>			<p>Key Indicators / Measures used to monitor the risk</p>	
<ul style="list-style-type: none"> Reputational Legal Financial Social 	<ul style="list-style-type: none"> Health & Safety Stakeholder 				

Health & Safety

Description
Improved corporate health and safety arrangements for key risks across the Council – require imbedding and ongoing monitoring.



Risk Owner(s)

Chris Lee
(Donna Jones)

Councillor Chris Weaver
Finance, Modernisation and Performance

Risk Added **Movement from prev Qtr** ↔ **Target Reduction Date** 6-12 mths

What we've done/are currently doing to achieve the Residual Risk Rating

- Corporate Health and Safety Structure in place - team reduced by one in Qtr 4, with one staff member allocated full time to Lamby Way for QTR3 & 4 - which has impacted on resources available.
- Key Health and Safety Policy and Guidance reviewed and updated.
- RAMIS fully implemented covering statutory risk on Council Premises - H&S Lead on administration to ensure consistent approach to management of building risk.
- Health and Safety Support Service for schools in place, completed first term of support - all urgent work requirements completed at end of QTR 4.
- Corporate H&S manage risks from Asbestos, Fire & Legionella, A Strategic Review of Fire and legionella completed in QTR 4 - Update to SMT 5/19.
- RAMIS Status reported to SMT bi-monthly providing compliance statistics on Phase 2 of implementation – Remedial tasks arising from statutory inspections for high risk disciplines.
- Corporate Asbestos Team implemented in QTR 4 - The team will manage all asbestos surveying for Council Premises including management surveys, provision of local sampling and updating of RAMIS. The team will also provide all asbestos training for the Council.
- Implementation of the following digital services in Q4:-

ALERT – PACD Replacement rolled out across the Council.
RAMIS – Asbestos module implemented.
RAMIS – Risk Assessment Library - piloted in QTR 4
RAMIS – Accident reporting module implemented
- Asbestos Management – Revised Policy and procedures implemented across the Council.
- UKATA accreditation gained for Asbestos Awareness Training to Council employees and contractors.
- Programme of Asbestos Surveying commenced in QTR4.

What we plan to do to meet target

- Management of the risk from Legionella bacteria in water systems must be improved across the council. In order to maintain efficiency and ownership of risk controls caretaking staff trained in legionella management and temperature controls. further work required to embed this process which will improve overall management of the risk from Legionella in Council premises.
- Establish a UKATA training centre for delivery of CAT B Asbestos training to Council employees and contractors - urgent requirement as currently no training provider in place.
- Programme of Asbestos Surveying to be delivered in 2019/20.
- Risk Assessment Library to be rolled out in 19/20 Qtr1 & 2.
- Improvement action - Waste Services following HSE Improvement Notice.
- Share Point to be implemented for H&S in 19/20 QTR 1
- Intranet Page to be established for H&S with A to Z facility.

Potential Impact(s)

- Fatalities
- Serious injuries
- Prosecution – fines for corporate body and/ or fines/imprisonment for individual
- Civil Claims
- Negative Publicity

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

RAMIS is used to monitor statutory risk in relation to premises safety, bi-monthly reporting to SMT, quarterly reporting to Health and Safety Forum.
Compliance against annual Corporate H&S Objectives, used to monitor improvement secured in Service Areas, reported to Health and Safety Forum.

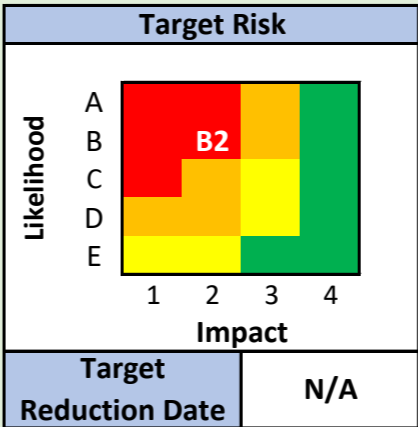
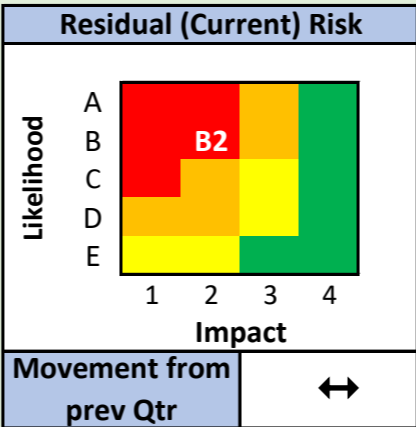
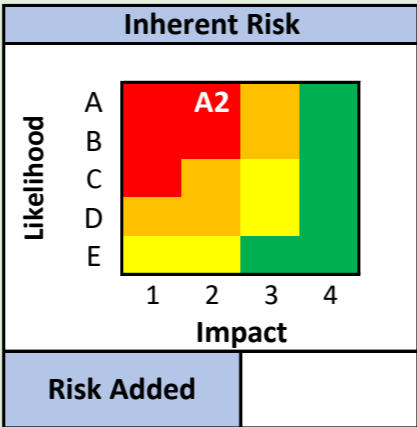
Information Governance

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)							
<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>				Chris Lee	Councillor Chris Weaver Finance, Modernisation and Performance						
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Risk Added</td> <td style="width: 50%;"></td> </tr> </table>	Risk Added		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Movement from prev Qtr</td> <td style="width: 50%; text-align: center;">↔</td> </tr> </table>	Movement from prev Qtr	↔	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Target Reduction Date</td> <td style="width: 50%; text-align: center;">N/A</td> </tr> </table>	Target Reduction Date	N/A		
Risk Added											
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Target Reduction Date	N/A										
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target							
<p>Potential Impact(s)</p> <p>Leads to the Information Commissioner issuing notices of non-compliance</p> <p>These could consist of:</p> <ul style="list-style-type: none"> • a Stop Now Order which would mean that no personal data could be processed by the Council in its entirety • An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery • Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit • Enforcement Notice requires immediate improvement action to be put in place • Financial Penalty up to £17,500,000 for Higher Level Tier and £8,000,000 for Lower Level Tier breaches of the Data Protection Act 	<ul style="list-style-type: none"> • Information Security Board is provided with Information Requests and Training compliance monitoring reports quarterly. This is chaired by the SIRO. • Suite of Information Governance Policies and Strategies in place and annually updated. • Data Protection Officer in post in line with articles 37-39 of the GDPR • Information Governance/Data Protection Processes audited and gained assurance as part of Internal Audit in March 2019 and Cyber Security Plus ISAME Accreditation process in March 2019. This has built on the last ICO Consensual Audit determined that the Council is considered to have a 'reasonable level of assurance' in place • Processes established for corporate handling of all Freedom of Information and Individual Rights Requests • Data Security Incident processes in place and communicated to all staff together with formal reporting processes when required to the Information Commissioner • The Information Governance Training Strategy in place and training provided to staff with access to electronic personal data • Processes established through procurement and ICT acquisition processes for ensuring Data Protection Impact Assessments are completed if personal data is being processed, including Data Processing Agreement with third party contractors • All new standard Council contracts include a clause regarding 3rd Parties processing personal data and obligations in respect of Freedom of Information. • Standard Data Processing Agreements in place which services are required to complete and sign with any third parties who process personal data on behalf of their service. • A corporate Information Asset Register is held which details personal data assets held by each Council directorate • Service Level Agreements in place for contracted Data Protection Officer role to Rent Smart Wales, Cardiff Capital Region City Deal and the National Adoption Service as Cardiff Council is the Data Controller for these services • Advice and assistance provided to collaborative services of the Educational Consortium, Vale, Valleys and Cardiff Regional Adoption Service and Shared Regulatory Service where Cardiff is not the Data Controller • Advice, guidance support and the contracted role of the Data Protection Officer is provided to all Cardiff Schools to aid compliance within schools and governing bodies data controllership responsibilities. • Advice and guidance is available to Directors and Lead Officers on the Information Governance aspects of Capital Ambition Programme. • Corporate Retention schedule in place and updated annually in line with any legislative changes • Information Governance Maturity Model established to monitor risks against areas of information governance to feed into corporate risk status • The Digitalisation of Paper Records Strategy and associated business process changes is in place • A Corporate external pilot storage contract is in place to improve processes and financial spend on storage of paper records externally 			<ol style="list-style-type: none"> 1) Data Protection e-learning training to be released on a directorate basis by September 2019 with 100% compliance targeted within each directorate 2) Individual Rights request processes to be reviewed to consider any opportunities available to improve compliance and streamline the Council's ability to handle requests 3) As the result of new legal advice requires further work, building on the previous work, to issue a variance of contract for all existing contracts in place to be developed and provided to each directorate to issue to ensure compliance with the Data Protection Act 2018 and any adequacy decisions to be determined by the Information Commissioner post Brexit 4) A Record of Processing Activity to be developed with responsibilities for the personal data assets to be assigned to the responsible directorate Information Asset Owner 5) Following the pilot contract for Records Storage a formal contract to be put out for tender in quarter 2 of 2019/20 following conclusion of the pilot scheme 							
<p>Type(s) of Impact</p> <ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial 	<p>Linked Risks</p>		<p>Key Indicators / Measures used to monitor the risk</p>								
<ul style="list-style-type: none"> • Stakeholder 											

Welfare Reform

Description

That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants, removal of automatic entitlement to housing costs for under 21s and changes to funded for supported housing. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.



Risk Owner(s)

Sarah McGill
(Jane Thomas)

Councillor Lynda Thorne
Housing & Communities

What we've done/are currently doing to achieve the Residual Risk Rating

- Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit.
- Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help tenants to move accommodation where necessary.
- Timely information is being given to claimants to help them respond to the changes.
- A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move.
- The Welfare Liaison team within the housing service is in place to assist tenants affected by the changes. Work has been carried out to identify those affected by the reduced Benefit Cap and to advise them accordingly and to identify the most vulnerable families and award DHP.
- Universal Credit full service has commenced in Cardiff. Despite additional resources put in place rent arrears for council tenants have risen significantly since the change was implemented.
- The council is currently providing face-to-face services on behalf of the DWP including digital inclusion and budgeting advice, however funding for this is being cut from March 2019 and will transfer to CAB.
- The Advice Hub in Central Library is providing comprehensive advice services for those affected by Welfare Reform and this is being rolled out across the city in Community Hubs and foodbanks.
- The Inclusive Growth Board and subgroups are working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected.
- Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate.
- Digital inclusion training and banking support has been successfully implemented and will continue to be monitored.
- Into Work Services are providing services across the city and helping people get back to work with particular focus on those families affected by the benefit cap.

What we plan to do to meet target

- Further additional resource has been agreed for supporting council tenants following the implementation of Universal Credit Full Service as rent arrears have increased significantly, staff have been recruited to assist with this and the new team is working well. Rent arrears procedure has been reviewed to include a more preventative and flexible approach and more assistance for more vulnerable tenants. This will be monitored over the coming months.
- 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.
- Regular meetings are held with social housing providers to monitor and improve processes.
- DHP spend is being monitored carefully. Expenditure for 19/20 will continue focusing on the most vulnerable individuals, helping people with the transition into work and mitigating the risk of homelessness.
- Services for private landlords are being further developed to help prevent them withdrawing from the market.

Potential Impact(s)

- Private landlords stop renting to benefit claimants
- Social housing rents become unaffordable to some claimants, in particular those with large families
- Increased homelessness and demand for temporary accommodation
- Increased rent arrears, increased evictions
- Redeployment / Severance for 140 benefits staff
- Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties
- Barriers to building additional affordable housing
- Supported accommodation becomes unaffordable impacting on social services and vulnerable homeless clients

Type(s) of Impact

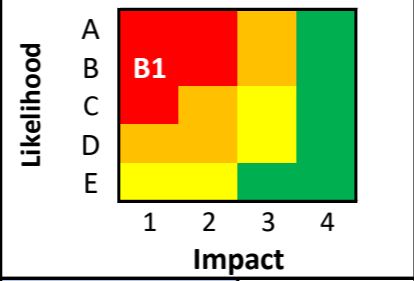
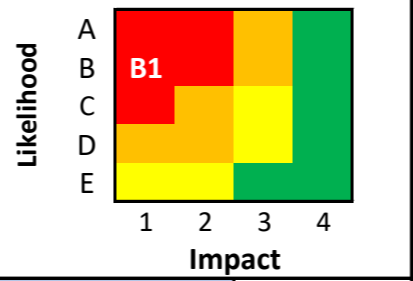
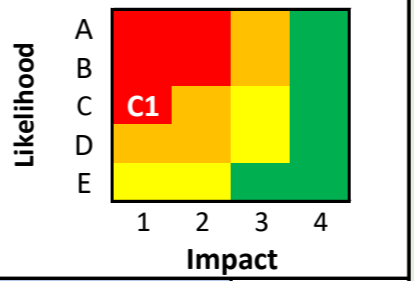
Linked Risks

Key Indicators / Measures used to monitor the risk

ICT Platforms Unsuitable / Outdated

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)							
<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>				Chris Lee (Phil Bear)	Councillor Chris Weaver Finance, Modernisation and Performance						
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Risk Added											
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Target Reduction Date	12 mths +										
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target							
	<ul style="list-style-type: none"> Spending for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth is under review. New system down analysis process in place to ensure that key pressure points are rapidly identified and fixed at minimum cost until full programme can be initiated. Recent issues with telephony have resulted in retargeting of some resources to focus on weak points now identified. New deliveries are all being designed for a 99.99% minimum uptime, with critical systems targeted at 99.999% (equating to less than 6 minutes per year) Active projects underway and the current aged file storage solution have been replaced and cloud based storage for additional resilience and flexibility is being assessed. Other projects underway to replace many of the core older back end servers. Corporate file storage systems replaced and new disk to disk backup option installed to improve performance and resilience. Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced. Additional load balancers to be purchased for application resilience in key systems. Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority Completed 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 2018-20. Completed migration of VM infrastructure over to Pure Storage. Completed migration of users from old remote access service to new solution. 			<ul style="list-style-type: none"> Development of lifecycle monitoring and clearer customer engagement. Pilot leasing scheme within schools to be considered for corporate desktop estate Breakdown of costs to remediate to be generated and reviewed. To include workstation replacement costs, supporting network infrastructure and server infrastructure. 							
Potential Impact(s)	Type(s) of Impact		Linked Risks		Key Indicators / Measures used to monitor the risk						
<ul style="list-style-type: none"> Loss of PSN services. Service delivery impacts from unreliable/unavailable ICT systems Cardiff seen as unable to deliver on aspirations Poor morale from frustrations with inability to deliver services. Potential for income losses from revenue collection impacts. Unable to meet delivery deadlines on both business as usual and transformation projects. 	<ul style="list-style-type: none"> Service Delivery Reputational Financial Stakeholder 				<ul style="list-style-type: none"> Annual independent testing of external and internal infrastructure via Information Technology Health Check (ITHC) for PSN compliance. 						

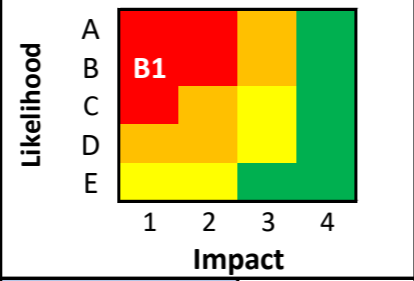
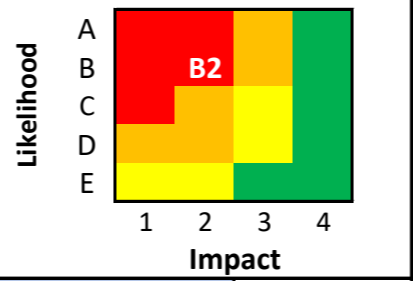
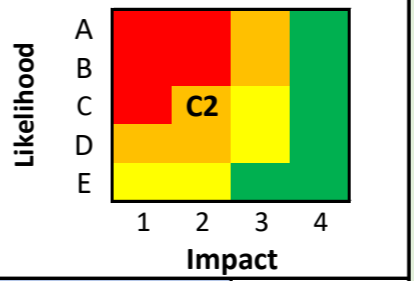
Coastal Erosion

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Breach of current defences resulting in widespread flooding.</p>				Andrew Gregory	Councillor Michael Michael Clean Streets, Recycling and Environment
	Risk Added	Movement from prev Qtr ↔	Target Reduction Date	12 mths +	
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target	
	<ul style="list-style-type: none"> There are no controls to avoid the flood and coastal erosion risk event occurring, however incident management arrangements are in place, which whilst not preventative, represent a level of control. The current adhoc defences along the area are in a very poor condition. The necessary works are holistic and cannot be phased, therefore the residual risk rate cannot be lowered until the completed construction of the coastal defence scheme in its entirety. An Outline Business Case (OBC) has been submitted to Welsh Government for review as part of the WG Coastal Risk Management Programme that provides a funding mechanism for 75% of onward capital costs. A 25% capital matchfunding bid for 18/19 has been submitted & approved subject to WG grant award Formal application for funding and approval from WG submitted A Cabinet Office Forward Plan was submitted for March 2018 Cabinet Meeting for funding approval. The total costs associated with the Design, Early Contractor Engagement and Construction phases have been estimated at £10.9m (WG 75% funding = £8.2m and CCC 25% funding = £2.7m) Following the approval by Cabinet in March 2018 to progress the delivery of the Rover Way to Lamby Way coastal defence scheme, £638,549 grant has been received from Welsh Government (WG) to develop the Design and Full Business Case for the coastal defence scheme, with WG funding agreed in principal for construction phase, subject to approval of the business case. Full Business Case and detailed design tendered and contract awarded to JBA. 			<p>Next steps:</p> <p>Completion date for FBC anticipated February 2020.</p> <p>Public/ stakeholder consultation events continue to be held to present the current risk and proposed options.</p> <p>Working with Emergency Management to formulate interim measures</p>	
	Potential Impact(s)				
<ul style="list-style-type: none"> Continued coastal erosion along the coast threatening the Rover Way Traveller site and critical infrastructure including Rover Way and the Rover Way/Lamby Way roundabout Erosion to two decommissioned land fill sites, with risk of releasing landfill material into the Severn Estuary and having significant environmental impacts Flood risk to 1,116 residential and 72 non-residential properties over 100 years, including risk to life, property, infrastructure and services N.B. the predicted rates of erosion threaten the Rover Way Travellers Site and the adjacent electrical substation within 5 years, and further release of large volumes of unknown tip material from the Frag Tip into the Seven Estuary. 					
Type(s) of Impact		Linked Risks		Key Indicators / Measures used to monitor the risk	
<ul style="list-style-type: none"> Service Delivery Reputational Financial Strategic 		<ul style="list-style-type: none"> Health & Safety 		<ul style="list-style-type: none"> Award of contract for FBC by Dec 2018 Key milestones TBC on award of FBC 	

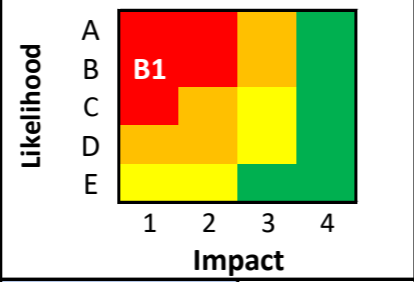
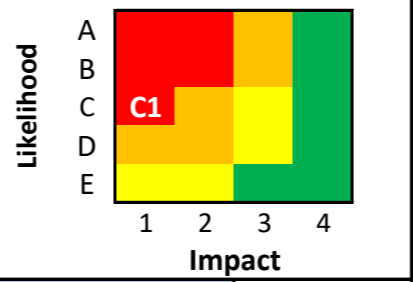
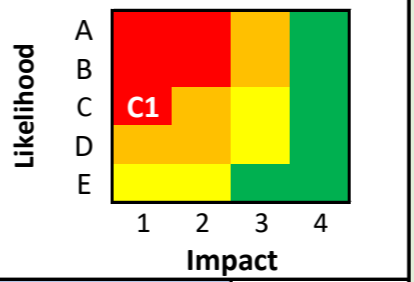
Education - Schools' Delegated Budgets

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans.</p>	<p>B1</p>	<p>B2</p>	<p>B3</p>	<p>Nick Batchelar (Neil Hardee)</p>	<p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>
	<p>Risk Added</p>	<p>Movement from prev Qtr</p> <p style="text-align: center;">↔</p>	<p>Target Reduction Date</p> <p style="text-align: center;">12 mths +</p>		
	<p>What we've done/are currently doing to achieve the Residual Risk Rating</p>			<p>What we plan to do to meet target</p>	
	<ul style="list-style-type: none"> The 2019/2020 delegated budget allocations were issued to schools in early March 2019 and monitoring arrangements put in place for those schools showing financial concern. Officers from Education and Financial Services have started to work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible. Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure. Reviewing closely with Education Management Team and SOP in particular as to the opportunities available to address short medium term fall in pupil numbers for certain secondary schools. For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school. Individual school budget monitoring positions reported to Education Management Team on a quarterly basis. School Budget Forum has agreed a revised protocol for responding to schools in deficit. Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance. The Council has been able to protect school delegated budgets over and above the Welsh Government threshold and a smaller number of schools than in 18/19 have been identified as requiring meeting with S151 officer and senior education officers. These meetings took place in April and early May. 			<ul style="list-style-type: none"> Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan, this may involve removing delegation from a Governing Body. Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula. Working with CSC to ensure that maximising value from constituent parts of Education Improvement Grant is secured and that there is clarity of allocation mechanism for 2019/20 and beyond. Following consultation with the School Budget Forum an audit of budget impact on individual schools was undertaken during the Summer Term 2018 and this will be undertaken again in the summer of 2019. A higher response rate than in the previous year is expected and will feed into the discussion regarding the medium term financial plan. A working group has been established to examine the medium term financial planning processes used by the LA and schools. 	
<p>Potential Impact(s)</p> <ul style="list-style-type: none"> Overall deficit arising from schools budgets will count against the funding available for the Council School balances have been subject to significant public scrutiny There has been an increasing awareness of school finances Deficits that are not managed early in the process have tendency to accumulate Deficit budgets are sometimes linked to other management challenges within schools 	<p>Type(s) of Impact</p>		<p>Linked Risks</p>		<p>Key Indicators / Measures used to monitor the risk</p>
<ul style="list-style-type: none"> Reputational Legal Financial 					

Waste Management

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)							
<p>Failure to meet statutory recycling targets and deliver cost effective compliance with waste management legislation.</p>				Andrew Gregory (Matt Wakelam)	Councillor Michael Michael Clean Streets, Recycling and Environment						
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		What we've done/are currently doing to achieve the Residual Risk Rating		What we plan to do to meet target							
		<p>The foundations of the current controls (as documented at Q4 17/18) are within the Recycling Waste Management Strategy 2015-2018, located on the council's website: https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Documents/CAB%20Appendix%201%20-%20Recycling%20Waste%20Management%20Strategy%202015%20Eng.pdf</p> <p>Current Controls as at 18/19:</p> <p>Recycling Development:</p> <ul style="list-style-type: none"> - Consultation of Waste & Recycling Strategy 2018-2021 has been completed and presented to Cabinet. - Implementation of In-Cab and tachograph system is partly complete, which will improve service delivery through real time technology, optimisation of routes and identification of waste contamination. - The newly installed Auto Sorter for mixed plastics/ fibre products became operational (July 2018) and will improve processing efficiency, reduce rejects and increase recycling. - Modelling has been undertaken on best option for managing co-mingled recycling issue, with twin stream concluded as best option - Ongoing mgt of Cardiff Organic Waste Treatment contracts (Kelda/ Dwr Cymru) for an Anaerobic Digestion (AD) facility and Open Windrow Composting (OWC) facility to treat source-separated food and green/garden wastes respectively, over a 15 year period - Education taking place across Cardiff with focus on key areas for recycling improvement. - intervention plan developed to move from 58-64% recycling - Glass trial pilot has been completed and reviewed, and funding approved for 19/20 rollout <p>Wider Governance & Compliance:</p> <ul style="list-style-type: none"> - Ongoing investigation in the Waste function has been robustly serviced, and is following a number of lines of enquiry, through which the governance process is being rigorously reviewed. - A prudent valuation for a contingent landfill tax liability together with other potential impacts on the Council's accounts are in the process of being quantified with the support of external consultants (PWC), senior and specialist officers in the Council's accountancy function. - Proiect Gwyrdd (Cardiff Council in partnership with other L.A's) - ongoing mgt of contract over 25 years with Viridor, who will produce energy from the remaining 'black bag' waste which historically has gone to landfill, providing the best environmental, cost effective and practical solution for waste after recycling/ composting has been maximised (22% recycling from bottom ash) - Senior Management have worked with WG on explaining the current position and the improvements being put in place - Introduction of improvements in weighbridge and data systems holding data on waste movements, to improve data management and ease collation of data. 		<p>Recycling Development:</p> <ul style="list-style-type: none"> - Actions from the Waste & Recycling Strategy 2018-2021 to be part of programme monitoring for meeting recycling targets. - Ongoing In-Cab technology implementation & training - Cabinet Report to consider the outcomes of the Glass pilot and support the recommendation to expand the separate glass collection service to all domestic households in Cardiff - <p>Wider Governance & Compliance:</p> <ul style="list-style-type: none"> - Work is ongoing to review the Waste Data Flow team resourcing to ensure it is sustainable and can provide information in a timely manner. Senior Management continue to work with WG on explaining the current position and the improvements being put in place - Work is ongoing in relation to the Governance of Waste Data Flow review and development of a senior management role within new structure, providing leadership in the area of Waste Data Flow. - Senior Management to have ongoing regular engagement and discussions with WG on Cardiff's Waste Strategy and compliance with the WG Blueprint. WRAP and CC developing a mandate - Ongoing commitment to working with PWC and senior and specialist officers in the Council's accountancy function in relation to landfill tax contingent liability 							
Potential Impact(s)		Linked Risks		Key Indicators / Measures used to monitor the risk							
<p>Financial</p> <ul style="list-style-type: none"> • penalties and loss of grant support • continuing financial costs to service due to ongoing investigation • accurate measuring, and meeting landfill tax contingent liability <p>Legal & Regulatory</p> <ul style="list-style-type: none"> • Failure to comply with EU recycling waste directive, leading to sanctions, penalties or interventions <p>Strategic/ Reputational</p> <ul style="list-style-type: none"> • reputational consequence with citizens and key stakeholders 				<ul style="list-style-type: none"> • Monthly monitoring recycling % from waste data flow 							
Type(s) of Impact											
<ul style="list-style-type: none"> • Reputational • Legal & Regulatory • Financial 											

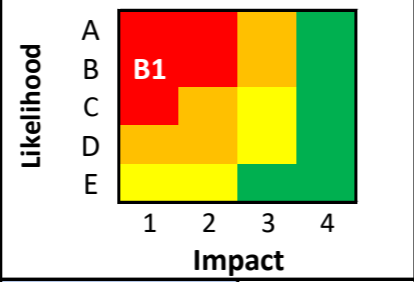
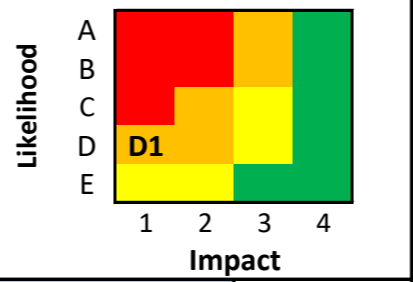
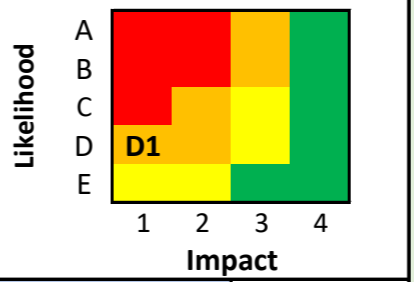
Increase in Demand (Children's Services)

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)							
<p>Failure to effectively manage demand resulting in increase in number of children looked after and the service and financial pressures this presents.</p>				<p>Sarah McGill</p> <p>Claire Marchant</p>	<p>Councillor Susan Elsmore Social Care, Health & Well-being</p> <p>Councillor Graham Hinchey Children & Families</p>						
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Risk Added</td> <td style="width: 50%;"></td> </tr> </table>	Risk Added		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Movement from prev Qtr</td> <td style="width: 50%; text-align: center;">↔</td> </tr> </table>	Movement from prev Qtr	↔	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Target Reduction Date</td> <td style="width: 50%; text-align: center;">N/A</td> </tr> </table>	Target Reduction Date	N/A		
Risk Added											
Movement from prev Qtr	↔										
Target Reduction Date	N/A										
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target							
	<ul style="list-style-type: none"> Early Help Strategy Cardiff Family Advice and Support Service Information, Advice and Assistance functions (including Dewis Cymru) Locality working Interface Protocol for Children's' Services with Children's Team Around Family (TAF) and Disability Team Around the Family (DTAF) agreed and implemented Families First / Team Around the Family Flying Start Rapid Response Service Adolescent Resource Centre Legal tracker Decision making panels established across the stages of the child's journey Direct Payments Young Carers Action Plan New Families First Services Families First Services recommissioned Signs of Safety implementation plan refreshed 			<ul style="list-style-type: none"> Children's Commissioning Strategy being developed to address placement quality and sufficiency. Fostering project and residential care projects supporting delivery of the emerging needs from the Commissioning Strategy Cardiff Family Advice and Support Service progressively implemented from April 2019. Transformation and ICF proposals developed to enhance services at the edge of care and support proactive improvement. Partnership arrangements for delivery of Child and Adolescent Mental Health Service (CAMHS) to be reviewed. Overarching strategy, Improving Outcomes for Children Programme Board and project groups beneath it. <p>DDP 2018/19:</p> <ul style="list-style-type: none"> Improve recruitment and retention of children's social workers, ensuring the Council achieves and maintains a vacancy rate below 18% by March 2019 to raise standards and drive the quality and competency levels of staff through effective workforce dev in order to enable those with care and support needs to achieve what matters to them (DP13-CS) Continue to implement a sustainable finance and service delivery strategy across Children's and Adult Services throughout 2018/19, where the commissioning and delivery of services is evidence based, outcome focussed and commercially sound (CP15 -SS) 							
Potential Impact(s)											
<ul style="list-style-type: none"> Family breakdown leading to children becoming looked after Growth in the number of children entering the looked after system and associated costs for the Authority Insufficient placements to meet need Children are less likely to achieve their potential and to be fully participating citizens Life chances for children are reduced Delays in issuing care proceedings because of existing capacity in both Children's' and Legal Services Challenges in 'improving outcomes for children 'Challenges in effectively managing Service and financial pressures Significant increase in demand for residential and foster care placements for LACr resulting in increase in numbers placed outside Cardiff 											
Type(s) of Impact	Linked Risks			Key Indicators / Measures used to monitor the risk							
<ul style="list-style-type: none"> Service Delivery Reputational Legal Financial 	<ul style="list-style-type: none"> Community & Environment Stakeholder 			<p>Children's Services:</p> <p>Contacts 1 Number of Contacts / Referrals Received</p> <p>SSWB 24 Percentage of assessments completed for children within statutory timescales</p> <p>CS LAC 3e Number of children looked after</p>							

Business Continuity

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Large scale incident/loss affecting the delivery of services.</p> <p>The potential risk is that our most time sensitive activities are not sufficiently resilient and fail, following an incident which impacts on their delivery and that our incident management structure, used in response to internal incidents and external emergencies, also fails in response to an incident.</p>				Chris Lee	Councillor Huw Thomas Leader
	Risk Added	Movement from prev Qtr	Target Reduction Date	N/A	
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target	
<p>Potential Impact(s)</p> <ul style="list-style-type: none"> • Health and Safety – potential impact on staff and on the public relying on our most, time sensitive, critical services. • Legal action -Failure of key services could lead to Legal action against the council. • Financial - Failure of key services could led to significant financial cost both in terms of Ombudsman action and Enforcement action from regulatory bodies as well as individual legal action against the corporate body where service failure leads to legal action against us from private claimants. • Reputational - Impact on key services to the public could lead to significant reputational damage to the organisation. • Stakeholder – Impact on key stakeholders as result of failure. • Service delivery – Potential significant impact on service delivery to the public, impact of key services could lead to significant impacts to the public and the corporate body un delivering its services. 	<ul style="list-style-type: none"> • The Council has a BCM Champion who sponsors BCM at a strategic level and is actively supporting the BCM Programme. • We have an approved Business Continuity Policy which is aligned to ISO22301. • BCM Intranet web page. • BCM toolkit is now available on CIS allowing all service managers to develop an appropriate BCM response for their services allowing future effective maintenance and audit. BCM workshops are available from the BC Officer on request. • The Council has employed a Business Continuity Officer (appointed October 2010). The officer is a qualified ISO22301 lead auditor. • The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with ISO22301 this has been distributed to all Directorates. • The Council has a 24 hour Incident Management structure for Gold and Silver Officers. • A partnership approach between the Emergency Management Unit and the Corporate Risk Steering Group is helping to raise awareness and drive forward the BCM programme. • 87 % of our most time sensitive activities (Reds) now have Business Continuity plans which have met, or are going through, audit. Work on the remaining plans is ongoing to close gaps and bring them up to date and in line with the corporate audit requirement • Cardiff Council is a member of the Core Cities Business Continuity Group and has been for the last 8 years. This membership allows the sharing of best practice and joint initiatives between group members. • The Business Continuity Officer has been working closely with the procurement section of Resources to ensure that the resilience of suppliers is considered carefully when procuring services which are important to our most time sensitive activities, our Red and Amber activities. • Internal Audit completed an audit of the Business Continuity Risk in September 2018 and the assurance statement was "Effective with opportunity for improvement". Three key actions were identified and an action plan has been agreed to address the improvement opportunities, all the improvement actions are now completed as planned. • The Corporate Incident Management structure and many individual team Business Continuity Plans were tested in the two extreme snow events of March 2018, the value of the incident management structure and the business continuity work was recognised in the outcomes of the structured debrief following the two snow incidents. • Targeted specific actions were undertaken successfully for winter 2018 in order to enhance resilience around our severe weather response capability. Additional actions are planned for winter 2019 to further enhance resilience. • The Business Continuity Officer supported our Directorates in preparing for the potential impacts around Brexit. 			<ul style="list-style-type: none"> • The BC Officer is working closely with Facilities Management to ensure they have effective plans in place to help manage possible business disruptions to our core buildings. • Work with ICT to ensure our core infrastructure is as resilient as practical to support a resilient and effective delivery of essential ICT services and the effective planning for recovery of critical IT services after an incident that affects our IT. • The Emergency Management Unit are planning a piece of partnership work with ICT to support areas that provide red activities in assessing the impact the loss of technical services, and ensuring suitable mitigation is in place to make our red services more resilient, where this is possible. • Work with the teams involved with looking at the potential of using alternative delivery models for council services. Identifying risks associated with alternative delivery models for specific services and recommend potential risk management solutions for implementation, to protect the delivery of our most critical services. • The Business Continuity Officer is working to develop and enhance individual Directorate response capability to ensure Directorates are in a stronger position to respond to incidents which could impact on the Council and our most time sensitive activities. • The Business Continuity Officer is proposing working closely with Education and Life Long Learning to support them in developing a school specific Business Continuity Plan template to enhance schools resilience capability. • The Emergency Management Unit propose enhancing our wider Business Continuity and Resilience work through the development of a separate but council hosted and developed EVAC Cardiff website, building on the strength of our existing EVAC Cardiff work which will support our main resilience work streams, building on the success of the EVAC Cardiff APP. This will complement our existing work with partner agencies in this area and aims to support the wider public in being more aware and empowered around their own and their community's resilience. This work should be complete by end of Quarter 1 2019/2020. • The BC officer is leading a review of 4x4 resources across the council to support our response capability to future winter storms. 	
<p>Type(s) of Impact</p> <ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial 	<p>Linked Risks</p>		<p>Key Indicators / Measures used to monitor the risk</p> <p>The Red activity BC plan status is reviewed on a quarterly basis via a report to SMT after the CRR submission. Additionally the risk is managed as part of the Corporate Risk Management process via the CRR returns and the BC risk is also audited by Internal Audit . The last Internal Audit of the Business Continuity Risk was in in 2018.</p>		
<ul style="list-style-type: none"> • Health & Safety • Stakeholder 					

Safeguarding

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners.</p>				<p>Sarah McGill</p> <p>Claire Marchant</p> <p>Davina Fiore</p>	<p>Councillor Huw Thomas Leader</p> <p>Councillor Susan Elsmore Social Care, Health & Well-being</p> <p>Councillor Graham Hinchey Children & Families</p> <p>Councillor Chris Weaver Finance, Modernisation and Performance</p>
	<p>Risk Added</p>	<p>Movement from prev Qtr ↔</p>	<p>Target Reduction Date</p>	<p>N/A</p>	
	<p>What we've done/are currently doing to achieve the Residual Risk Rating</p>			<p>What we plan to do to meet target</p>	
	<ul style="list-style-type: none"> Embedding the Social Services & Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding. Ongoing implementation of the Child Sexual Exploitation Strategy. Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with the Child Sexual Exploitation (CSE) Strategy. Review of adult safeguarding undertaken and management strengthened. Systems in place to learn lessons from and address recommendations from child practice reviews, adult practice reviews and multi agency practitioner forums Monthly quality and performance review across all areas of social services Annual Plan for Regional Adults / Childrens Safeguarding Board. SBAR system implementation to understand and address significant risks, including safeguarding risks, in social services Recruitment and retention strategy in place to address children's workforce issues Action plan being delivered to address high caseloads in Children's Services. Refreshed signs of safety action plan in place. Improving Outcomes for all our Children Steering Group chaired by Chief Executive established to oversee performance to improve outcomes for Cardiff's most vulnerable children. Cardiff local operational safeguarding group established to support effective multi-agency safeguarding arrangements across the City, reporting to the Regional Safeguarding Board. 			<ul style="list-style-type: none"> Implementation of revised Corporate Safeguarding Policy and action plan arising from internal audit of corporate safeguarding. Additional investment in corporate safeguarding to address recommendations from internal audit report. Cardiff and Vale Regional Safeguarding Board supporting the All Wales Adult and Child Protection Procedure due for completion by September 2019. Regular performance monitoring meetings with Children's Social Services have been arranged. Process and escalation procedures agreed for children's work, to be agreed with adults. Exploitation Strategy being developed to cover wider exploitation issues, including adults. CSE processes being adapted to address wider vulnerability issues, including exploitation, in a multi-agency way. Adult safeguarding improvement plan developed. <p>DDP 2018/19:</p> <ul style="list-style-type: none"> Ensure children and adults are protected from risk of harm and abuse by raising awareness among public and professionals of safeguarding issues for the duration of the plan (CP6 -SS) Ensure children and adults are protected from risk of harm and abuse by revising the Child Sexual Exploitation Strategy by March 2019 to encompass new and emerging themes of child and adult exploitation (CP7-SS) Renew the safeguarding vision and strategy across the Directorate by March 2019 in order to take account of new national policy and practice guidance currently under development (DP5-SS) Commission an independent review of the effectiveness of the Multi Agency Safeguarding Hub (MASH) in consultation with the Regional Safeguarding Boards and consider recommendations for change / improvement with a view to implementing changes by March 2020 (CP8-CS) Review and develop mechanisms to improve engagement with communities at large and faith communities in particular by March 2019 to improve the safeguarding of children across the various communities in Cardiff (CP6 -SS) Embed strengthened Adult Protection procedures in consultation with staff and partners by March 2019 to ensure that adults are protected from harm(CP7-AS) Ensure that the Council's Corporate Safeguarding Strategy is implemented (CP17-SS) 	
<p>Potential Impact(s)</p>					
<ul style="list-style-type: none"> A child/ren or adult/s suffers avoidable significant harm or death. Reputation of Council and partners. Severe adverse publicity. Potential regulator intervention. Loss of confidence by the community in the safety of children and adults. Loss of confidence of staff in the overall "safety" of the service, impacting on morale, recruitment and retention. Potential litigation with associated financial penalties Significant financial implications of formal intervention <p>In addition to the above:</p> <ul style="list-style-type: none"> Being held in contempt of court Imprisonment Unlawful detention of persons Payment of costs/damages Professional reputation of staff Recruitment problems 					
<p>Type(s) of Impact</p>					
<ul style="list-style-type: none"> Service Delivery Reputational Legal Financial 	<ul style="list-style-type: none"> Partnership Community & Environment Stakeholder 				
	<p>Linked Risks</p>			<p>Key Indicators / Measures used to monitor the risk</p>	
				<p>Adult Services: SSWB 18 Percentage of adult protection enquiries completed within 7 working days</p> <p>Children's Services: SSWB 24 Percentage of assessments completed for children within statutory timescales</p> <p>SCC.014 Percentage of initial child protection conferences due in the year which were held within 15 working days of the strategy discussion</p> <p>SCC.034 Percentage of child protection reviews carried out within statutory timescales during the year</p> <p>SSWB 27 Percentage of re-registrations of children on local authority Child Protection Registers</p> <p>SSWB 28 Average length of time for all children who were on the CPR during the year</p>	

Climate Change & Energy Security

Description
 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.

Potential Impact(s)

Climate change will result in more intense and frequent rainfall events causing flooding, impacting:

- Loss of life and personal injury;
- Direct damage to property, infrastructure and utilities;
- Contamination and disease from flood and sewer water and flood on contaminated land;
- Increased cost of insurance;
- Break up of community and social cohesion;
- Blight of land and development.

SHORT TERM RISKS
 Climate change is noted to already be affecting the frequency and intensity of rainfall events, making storm events flashier and increasing the rainfall volume. Our existing drainage network has not been designed to accommodate this increase in rainfall and in the short term, there will be an increase in flood events from urban drainage systems.

LONG TERM RISKS
 The influence of climate change will increase in the future and continue to have a growing influence on rainfall intensity and frequency. The urban drainage network in Cardiff will increasingly underperform and not be able to accommodate the increase in surface water runoff response time and volume from storm events. Storms will become flashier and carry higher rainfall.

Poor management of new development will exacerbate the potential flood risk by not reflecting natural drainage catchments and by not dealing with rainfall at source.

Fluvial Flooding
 There are 3 main rivers impacting the City - whilst main rivers are the responsibility of Natural Resource Wales, and as a Local Flood Authority we are not responsible for them, the affects of climate change will result in more flooding i.e. the same short term and long term risks will apply in relation to fluvial flooding.

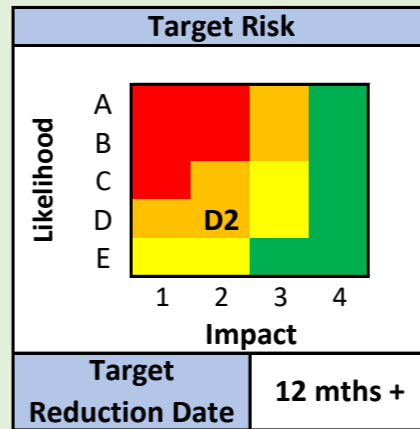
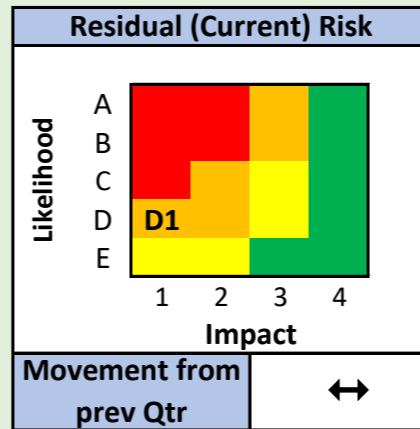
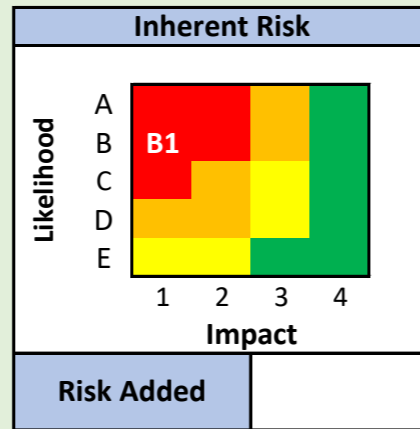
Increased summer temperatures:

- An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services
- An increase in demand for limited water supplies
- Damage to temperature sensitive infrastructure (transport systems, electrical systems).
- Migration of biodiversity.

Inconsistent energy supply and cost:

- Inability to deliver public services
- Decrease in economic output
- Disruption to the supply of utilities
- Increased transport costs
- Increased costs for heating / providing services to buildings
- Increased fuel poverty

Type(s) of Impact	
<ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial 	<ul style="list-style-type: none"> • Health & Safety • Partnership • Community & Environment • Stakeholder



Risk Owner(s)

Andrew Gregory

Councillor Michael Michael
 Clean Streets, Recycling and Environment

What we've done/are currently doing to achieve the Residual Risk Rating

Emergency Management Unit

- Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) structure to ensure planning is carried out with consideration of flood risk.
- Cardiff Area Community Risk Register is developed and reviewed on a regular basis by the Cardiff Area Risk Group. It takes into account changes in the national risk register and how those changes affect Cardiff.
- We are engaging internally with The Welfare of Future Generations Act to integrate the community work with the Councils strategy and externally with voluntary organisations such as C3SC to provide training to community groups across Cardiff
- Cardiff Council Emergency Management Unit have in place a long term communication strategy in Cardiff in conjunction with multi agency partners highlighting flood awareness alongside other emergency eventualities such as extreme temperatures and how residents, businesses and communities can be aware of the risks in their area and hence better prepare for them should that risk materialise. Cardiff has 5 active community flood plans with others in the planning stage. We have produced a 'Preparing for Emergencies – A Guide for Communities' document which is now available to all agencies and organisations. It provides information on how to prepare, respond and recover from an incident including flooding. The document can be found via the following link; <https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Emergency-Planning-and-Resilience/Pages/default.aspx>
- We have further developed our capability to communicate with the public with the development of the EVAC Cardiff App which is now available for both android and apple systems. Alongside the App we are developing a stand-alone website to offer further advice and information to back up the information available via the App.
- Parts of Cardiff now benefit from flood mitigation schemes, Rhiwbina village has a completed scheme providing flood protection to numerous properties that have been affected by flooding from Whitchurch Brook, Roath area of Cardiff around Waterloo Gardens has a scheme being built now which when complete will give flood protection to approx. 400 properties. This scheme has been developed and funded by Natural Resources Wales and Welsh Government. A coastal flood protection scheme is also being developed for future protection of the coast along Rover way. Emergency Management have been involved in all of these schemes alongside our Highways, Drainage and Water Management teams and the local communities.
- We also have procedures in place to alert relevant departments within the council to extreme temperatures and work with partner agencies in line with Welsh Governments Heatwave Plan, this can be found via the following link; <http://www.wales.nhs.uk/docopen/218909/>

Energy Management

- The Council procures competitive energy contracts through the Crown Commercial Services on a 6 monthly purchasing window for the following 12 month financial year.
- Key sites are fitted with back-up generators for emergency backup, specifically for IT systems.
- The Carbon reduction Strategy 2022 identifies projects and activities through 4 strands in order to achieve a 35%

What we plan to do to meet target

Emergency Management Unit

- To consider flood risks recognised in the Community Risk Register in the Community Planning/Integrated Partnership process. Community resilience workshops continue in high risk areas.

Energy Management

- Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, Deliver the Affordable Warmth Strategy through measures such as ECO3 and energy efficiency opportunities, provide supplementary planning guidance on passive and renewable 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.
- Submit grant application for heat network in Spring 2019 and implement energy efficiency works identified in Re:Fit and Salix projects (targeting June)
- Present Lamby Way Solar Farm Final Business Case for Cabinet approval in May 2019
- Present Heat Network Final Business Case for Cabinet approval in Autumn 2019

Flood Management Planning

- The Surface Water Supplementary Planning Guidance (SPG) is to be reviewed by Select consultants who have been chosen to provide feedback on the document. Comments will be formulated and document updated.

Evaluation of historic flood incidents to identify key areas for Flood Alleviation projects. Any proposed schemes will incorporate climate change allowance.

Sustainable Development Unit

- Climate Change is referenced in the Well-Being Assessment and an action included in the Well-Being Plan.
- Work to be undertaken with both the Covenant of Mayors and the Compact of Mayors (merging to become the Global Covenant of Mayors for Climate Change) to agree a consistent method of emissions reporting and action planning so as to not duplicate efforts and get maximum benefit from the commitments.

Linked Risks

Key Indicators / Measures used to monitor the risk

- Monthly monitoring recycling % from waste data flow

Delivering Capital Ambition Programme

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Projects within the Programme fail to deliver the change required to ensure the implementation of the Administration's agenda and to refocus services to meet the challenges faced by the Council and the city's wider public services.</p>				<p>Chris Lee (Dean Thomas)</p>	<p>Councillor Chris Weaver Finance, Modernisation and Performance</p>
	<p>Risk Added</p>	<p>Movement from prev Qtr ↔</p>	<p>Target Reduction Date 6-12 mths</p>		
	<p>What we've done/are currently doing to achieve the Residual Risk Rating</p> <ul style="list-style-type: none"> Governance arrangements established and led by the Chief Executive. The Modernisation component of the Capital Ambition Delivery Programme is led by the Corporate Director Resources; and the Resilient Services component is led by the Corporate Director People and Communities. Disciplined approach, where risk assessment forms an integral part of the approach to change. Programmes and projects initiated with dedicated resources. Experienced gained by managing programmes and projects over a number of years, building on lessons learned. An extensive training programme for the Capital Ambition Delivery Team was undertaken during 2017/18 to ensure both project management and business analyst's skills and knowledge are enhanced. Building capacity and capability across the organisation through development opportunities and skills transfer. Appropriate engagement and stakeholder management, including Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit. Continued implementation of Programme & Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources. SMT acts as the Sponsoring Group and receives regular updates on programme and project progress. All Programme Briefs are submitted to SMT for discussion prior to them being signed off at the relevant programme board. All Programme Briefs have been signed off by SMT and the relevant programme boards. Project briefs have been developed for a number of projects within the CADP. Effective governance arrangements are now in place for the CADP. These arrangements are continually monitored and refined as and when required. 			<p>What we plan to do to meet target</p> <p>Monthly meetings are also taking place between the relevant SRO and the Portfolio Manager from the CADT. Project executives are invited to these meetings, as and when required, to provide project updates. A review of the programme will be undertaken as part of the overall review of Delivering Capital Ambition.</p>	
<p>Potential Impact(s)</p> <ul style="list-style-type: none"> Failure to deliver the Administration's Capital Ambition statement. Failure to respond to the key financial and organisational challenges that dominate the medium term planning horizon of the Council. Vital services will not be protected if we fail to find more efficient ways of working. Reputational impact if services do not meet increasing customer expectations. Public services are not delivered efficiently or effectively and fail to deliver joined up services to the public. Lack of a programme management approach to the delivery of these significant projects will result in lack of governance and failure to report project progress to relevant stakeholders in a timely manner. Reputational risk with our external regulators if the CADP is not delivering on time and does not have robust governance arrangements in place. 					
<p>Type(s) of Impact</p> <ul style="list-style-type: none"> Service Delivery Reputational Legal Financial 	<p>Linked Risks</p>		<p>Key Indicators / Measures used to monitor the risk</p> <p>No key metrics/indicators but robust governance arrangements are in place to monitor the CADP.</p>		

Education Consortium & Attainment

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.</p>				<p>Nick Batchelar (Janine Nightingale)</p>	<p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>
	<p>Risk Added</p>	<p>Movement from prev Qtr ↔</p>	<p>Target Reduction Date 6-12 mths</p>		
	<p>What we've done/are currently doing to achieve the Residual Risk Rating</p>			<p>What we plan to do to meet target</p>	
	<ul style="list-style-type: none"> Results for 2017/18 show that Cardiff schools are performing well across a wide range of performance indicators at all Key Stages. Outcomes of Estyn inspections and Categorisation outcomes have also improved. The Council has ensured that the specific functions in relation to schools which are delivered by the Central South Consortium are closely integrated with the range of services and support provided to schools and to learners by the Council directly, recognising that school improvement is an outcome of many different activities, not a discrete activity delivered in isolation. The Local Authority has strong working relationships with the Senior Primary, Secondary and Special School Challenge Advisers, and systems and processes to secure improved joint service delivery have been put in place. The Schools Causing Concern processes have been revised. Cardiff Schools are working with CSC and partners to develop and implement the new curriculum. 			<p>The constituent Councils in the Central South Consortium (CSC) commissioned an external review of the CSC. This will report in May 2019. The Joint Committee of CSC will determine what follow up actions should be taken in light of any recommendations from the report.</p>	
<p>Potential Impact(s)</p>					
<ul style="list-style-type: none"> Budget implications Educational standards falling behind other LA's Potential impact on Estyn judgement for LA Intervention from WG 					
<p>Type(s) of Impact</p>	<p>Linked Risks</p>			<p>Key Indicators / Measures used to monitor the risk</p>	
<ul style="list-style-type: none"> Reputational Legal Financial 					

Legal Compliance

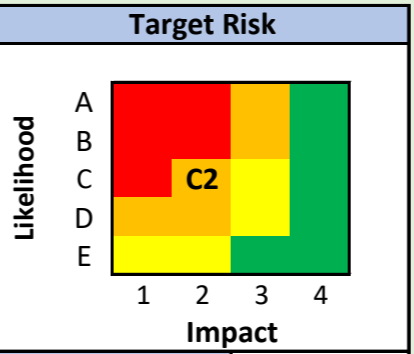
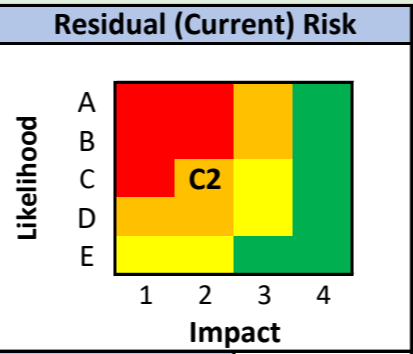
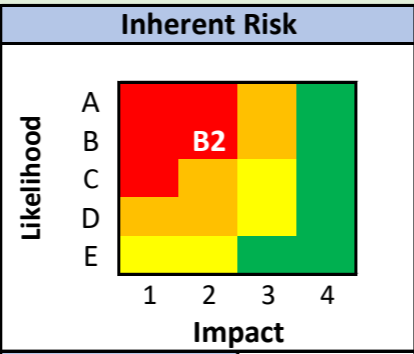
Description

Changes in services and staff roles across the Council resulting in:

- gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate;
- inability to deliver the services in accordance with all duties and responsibilities due to lack of resource:

In each case leading to increased risk of challenges.

Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.



Risk Owner(s)

Davina Fiore	Councillor Huw Thomas Leader
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Risk Added

Movement from prev Qtr ↔

Target Reduction Date N/A

What we've done/are currently doing to achieve the Residual Risk Rating

- Professional internal legal and financial advice provided to a high standard.
- Maintaining robust decision making process with legal implications on all Council, Cabinet and Committee reports and Officer Decision Reports at Director level.
- Appropriate use of NPS Legal Services by Solicitors Framework to increase resilience.
- Dedicated teams in specialist areas e.g. equalities, FOI / DPA.
- Sharing training/publications received.

What we plan to do to meet target

- Further development of standard precedents with guidance for use in cases of low value/low risk/repetitive matters
- Provide legal training to Directorates to develop knowledge within Directorates of specific statutory functions.
- Encourage Directorates to ensure reports are discussed at preliminary stage in development to ensure all legal issues are addressed early

Potential Impact(s)

- Increase in number of challenges and complaints with consequences in terms of already stretched resources and impact of adverse decisions
- Implementation of decisions delayed due to challenges and potentially fatally disrupted.
- Impact on projects if reputation for sound management and implementation of projects is damaged
- Major incident.
- Adverse press/media reaction
- Involvement from Welsh Government in terms of performance standards or measures.
- Increased costs
- Impact on capacity to deal with proactive legal work

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

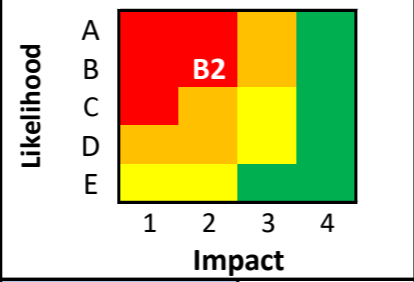
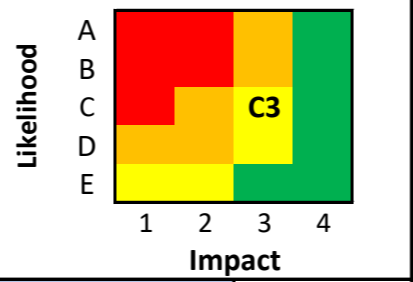
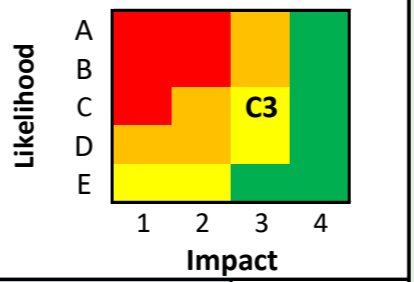
Performance Management

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)							
<p>After considerable progress in both developing the way the organisation manages performance and in actual performance improvement, there is a need to focus on ensuring Performance Management practices are mature, embedded and consistently applied as the organisation looks to continue improving outcomes in the face of significant financial pressures.</p>				<p>Chris Lee (Gareth Newell) <i>should this be Sarah?</i></p>	<p>Councillor Chris Weaver Finance, Modernisation and Performance</p>						
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Risk Added</td> <td style="width: 50%;"></td> </tr> </table>	Risk Added		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Movement from prev Qtr</td> <td style="width: 50%; text-align: center;">↔</td> </tr> </table>	Movement from prev Qtr	↔	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Target Reduction Date</td> <td style="width: 50%; text-align: center;">6-12 mths</td> </tr> </table>	Target Reduction Date	6-12 mths		
Risk Added											
Movement from prev Qtr	↔										
Target Reduction Date	6-12 mths										
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target							
	<ul style="list-style-type: none"> The Council's improved approach to the way it manages its performance was recognised by the Wales Audit Office's follow-on report, but it is also clear there is more work to be done to build on the success achieved so far. A Performance Management programme has been put in place to deliver the required change to address three key areas relating to Reporting, Planning and Challenge. The project teams have ensured their work incorporates the requirements of The Well-Being of Future Generations Act 2015, and the managed transitions between the Local Government (Wales) Measure 2009 and the requirements of the new legislation. The Self-Assessment process has been established and fed into the SMT Corporate Plan workshop which identified high level key themes that link the Wellbeing of Future Generations Act. Wellbeing objectives have been developed in line with the Corporate Plan development timeline and endorsed by SMT and presented to informal cabinet A reporting framework has been developed to allow the right audiences to focus on the right level of detail to better aid decision-making. Discussions took place with key representatives to further develop the self-assessment process which will contributed to the development of the Corporate Plan. Service Level scorecards were developed across the Council and combine planning and reporting elements. T Directorate Delivery Plans were developed and in use from April 2017.They are used and monitored throughout the year to ensure they represent a clear and up to date statement of what the directorate is aiming to deliver and the progress it is making A Members training session regarding the Performance Management Framework was developed and carried out at the end of the September The Performance Management Framework and Strategy has been finalised. A soft launch took place via the Corporate Performance Team's Public SharePoint Page. The Framework will ensure greater effectiveness of planning and reporting, with clearer accountabilities and enhanced 'line of sight'. A cascading matrix system of reporting has been developed through DDPs, Service Plan Scorecard and the reporting framework to demonstrate the golden thread. The high level Performance Management Framework documents are available on the Performance Team's Public SharePoint page The Self-assessment process from 2016-17 was further built on and was rolled out in September 2017. The outputs from this were used to develop the Corporate Plan and the Directorate Delivery Plans. Work was undertaken with Comms to align the PMF with the Capital Ambition Branding New governance structures have been put in place to ensure Performance Management continues to be embedded across the organisation, including regular meetings of SMT to look at Assurance matters, and the formation of a Cabinet-level group that will look at performance holistically. 			<ul style="list-style-type: none"> Ongoing work continues to launch and embed the Performance Management Framework Engagement work being undertaken with SMT regarding Performance Management 							
	Potential Impact(s)	Linked Risks			Key Indicators / Measures used to monitor the risk						
<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. 											
	Type(s) of Impact										
<ul style="list-style-type: none"> Service Delivery Reputational Stakeholder 											

Fraud, Bribery & Corruption

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.</p>				<p>Chris Lee</p>	<p>Councillor Chris Weaver Finance, Modernisation and Performance</p>
	<p>Risk Added</p>	<p>Movement from prev Qtr</p> <p style="text-align: center;">↔</p>	<p>Target Reduction Date</p> <p style="text-align: center;">N/A</p>		
	<p>What we've done/are currently doing to achieve the Residual Risk Rating</p>			<p>What we plan to do to meet target</p>	
	<ul style="list-style-type: none"> The Council communicates a zero tolerance approach to fraud, bribery and corruption Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, Money Laundering Policy and Disciplinary Policy Financial Procedure Rules and Contract Standing Orders and Procurement Rules and training Work on the National Fraud Initiative exercises in collaboration with the Cabinet Office and Wales Audit Office Receipt and dissemination of fraud intelligence alerts from law enforcement agencies Regular reports to the Section 151 Officer and Audit Committee and the Chief Executive Audit Committee review of the risk management, internal control and corporate governance arrangements of the authority Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control Ongoing delivery of briefings to Schools on fraud and control risks Cardiff Manager Programme includes session on risk management and compliance / control. Provision of disciplinary management information on DigiGov Mandatory disciplinary e-learning module for all managers to complete and a programme of mandatory e-learning modules and face-to-face training for Disciplinary Hearing Chairs, Investigating Officers and Presenting Officers A Fraud Publicity Strategy has been approved, to publicise the Council's approach to counter fraud work / sanction activity and explain the roles and responsibilities of key parties 			<p>Draft Counter-Fraud and Corruption Strategy for Cabinet in July, to be followed by:</p> <ul style="list-style-type: none"> participation in International Fraud Awareness week in November 2019 roll-out mandatory counter-fraud eLearning across the Council, to commence in July 2019 <p>Investigation Team to:</p> <ul style="list-style-type: none"> review the Council's Money Laundering Policy in quarter 1 2019 review the SMAS responses from senior management in respect of fraud assurance and provide advice and guidance to support strong assurance liaise with the Monitoring Officer and agree a policy for monitoring employees at work and a management framework for its enactment as well as undertaking online investigations review and use the management information produced by HR in respect to the Disciplinary Policy 	
	<p>Potential Impact(s)</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 impacting on capacity 					
<p>Type(s) of Impact</p>		<p>Linked Risks</p>			
<ul style="list-style-type: none"> Service Delivery Reputational Legal Financial 		<ul style="list-style-type: none"> Stakeholder 			
		<p>Key Indicators / Measures used to monitor the risk</p>			
		<ul style="list-style-type: none"> Adherence to the NFI Security Policy and annual completion of compliance forms Mandatory eLearning completion rates Delivery of Fraud Awareness week campaign Delivery of Policy updates Delivery of mandatory investigating officer training and the note taker training Criminal investigations conducted on behalf of Directorates Provision of timely investigation advice, guidance and support to Directorates as required 			

Workforce Planning

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Importance of forecasting and planning to build capability and capacity for the future is not fully recognised and embedded.</p>				<p>Chris Lee (Philip Lenz)</p>	<p>Councillor Chris Weaver Finance, Modernisation and Performance</p>
	<p>Risk Added</p>	<p>Movement from prev Qtr</p> <p style="text-align: center;">↓</p>	<p>Target Reduction Date</p> <p style="text-align: center;">N/A</p>		
	<p>What we've done/are currently doing to achieve the Residual Risk Rating</p>			<p>What we plan to do to meet target</p>	
	<ul style="list-style-type: none"> Workforce Strategy developed and agreed by Cabinet in April 2015 and programme developed to encompass a number of projects relating to the requirements around this risk, including Workforce planning, Learning & Development, PPDR review and Employee Voice. The Workforce planning project has a completed project brief identifying a number of key outputs Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development. Research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event - LGA/ Skills for Local Government hosted COP event. HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda. Children's Services have developed a Workforce Strategy for their area which is being reviewed on a regular basis. Resources have held a workshop which focussed on Professional and Technical areas to inform the key skills required for the Directorate going forward. Work has taken place with Cardiff and Vale College to roll out an Essential Skills diagnostic tool to frontline employees through Commercial Services A programme of NVQ study is been discussed with Cardiff & vale College and Commercial Services are coming forward with cohorts of employees to attend. Employee surveys carried out to identify areas where further employee engagement / development can be focused. Work has been carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local Authorities. Project brief for Workforce Planning provides full details of milestones and implementation dates. A review of the courses provided by the Cardiff Academy has taken place to ensure that these meet the skills requirements for the future. Workforce planning tool kit has been rolled out to pilot areas and workshops taking place between May and September 2017. Feedback from pilots has been received and allowed for the toolkit to be reviewed. Full rollout of Workforce planning toolkit took place in 2018/19. .All Directorates completed workforce plans by December 2018 and are now working on the actions therein. A corporate process is in place for workforce plans to be updated by end of June each year as part of the business planning process The workforce plans forecast and plan to build capacity and capability for future requirements and the process is now embedded into the corporate planning process 			<ul style="list-style-type: none"> The Council is reviewing its resourcing strategies to ensure that it is a considered employer for young people leaving school, college and universities. As part of the Workforce Strategy Cabinet report, recruitment advertising to be reviewed and processes put in place to ensure that adverts are reaching hard to reach groups Work is taking place to identify areas where the employee group is not representative of the communities and actions identified of what could be done to improve this Actions being taken to improve the accessibility to Welsh language either through the recruitment process or through the training and development of current employees Development to take place of a corporately agreed skills set for the future delivery of services so that all employees and posts can be measured against this skill set to identify learning and development gaps Workforce planning now embedded into the corporate planning process 	
	<p>Type(s) of Impact</p>		<p>Linked Risks</p>	<p>Key Indicators / Measures used to monitor the risk</p>	
<ul style="list-style-type: none"> Poor service delivery due to ineffective use of resources. Lack of resources with the knowledge and skills the Council requires for future delivery Loss of resources and recruitment problems. Poor morale Loss of experienced staff members including managers Reduce the likelihood of attracting high calibre managers to Cardiff Council Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care. Risk of workforce not representing the communities to which services are delivered. 					
<ul style="list-style-type: none"> Service Delivery Reputational Financial Stakeholder 					