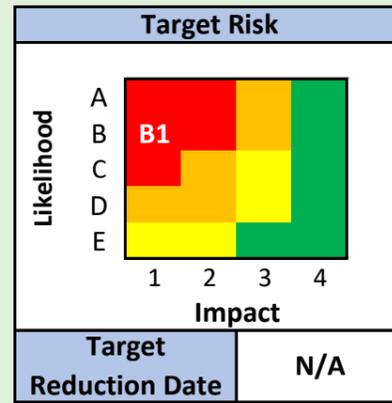
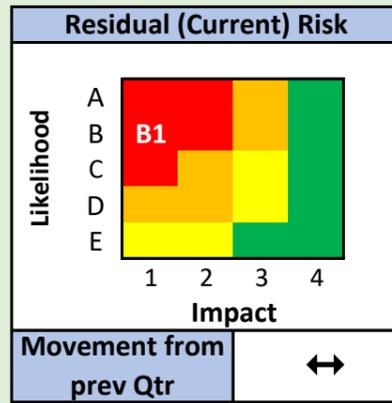
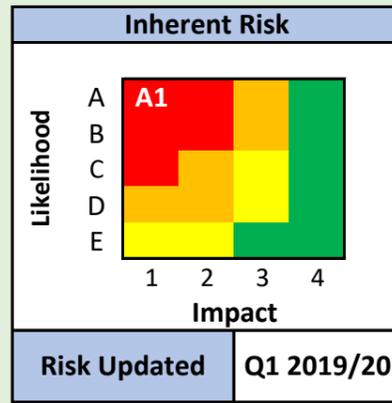


# City Security

**Description**

Major security-related incident in 'crowded places' 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
- 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'
- 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
- Protected as at Q1 2019/20**  
- Principality Stadium, St Mary Street, Queen Street, St David's Dewi Sant, Cardiff Bay
- 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
- 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 an incident occurring to help themselves manage and recover from its impacts.

**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
- 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
- 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.
- The security strategy will allow partners to be more responsive to emerging funding opportunities
- Identify any potential routes for further funding to enable us to continue the Hostile Vehicle Mitigation (HVM) programme of delivery. Cost estimate to complete City Centre and Bay is £2.5-£3.0M. This will complete the recommended improvements indicated as high risk identified by CONTEST Protect/Prepare group.

**Potential Impact(s)**

**Immediate / Short-Term**

- Large numbers of fatalities, injuries to public
- Extensive structural damage and/or collapse of buildings
- Closure of roads having impact on transport network and access to businesses and properties.
- Damage/disruption to utilities (gas, electricity, water etc.)
- Immediate impact to core business, retail and sporting district in the centre of Cardiff

**Ongoing / Longer Term**

- Reputational risk due to a public perception Cardiff is an unsafe place
- Area 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"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>	<ul style="list-style-type: none"> <li>Health &amp; Safety</li> <li>Partnership</li> <li>Community &amp; Environment</li> <li>Stakeholder</li> </ul>
--	--

**Linked Risks**

**Key Indicators / Measures used to monitor the risk**

- National Threat Level and period at level
- No of 'Crowded Places' not protected to PAS 68/69 level

# Air Quality & Clean Air Strategy

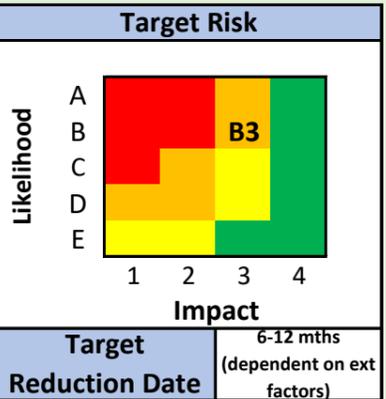
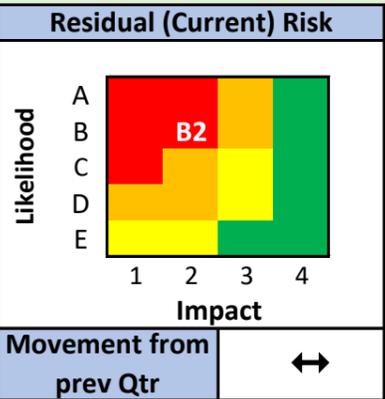
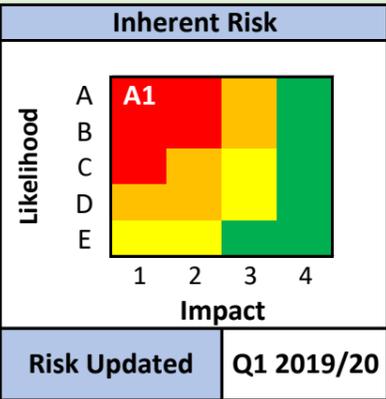
Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Air quality in Cardiff does not meet statutory requirements set by legislation and continues to have a detrimental impact on health for residents and visitors to Cardiff.</p>				<b>Andrew Gregory</b> (Gary Brown)	<b>Councillor Caro Wild</b> Strategic Planning & Transport
	<b>Risk Updated</b> Q1 2019/20	<b>Movement from prev Qtr</b> ↔	<b>Target Reduction Date</b> 12 mths +		
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>	
	<p><b>Monitoring:</b> There are currently 102 specifically allocated, non-automatic monitoring sites in Cardiff which monitor levels of nitrogen dioxide (NO2). Included in this data are 15 schools across the City. There are two live monitoring stations:</p> <ul style="list-style-type: none"> <li>• Cardiff Frederick Street: The site monitors on a 24/7 basis measuring levels of NO2, PM10 &amp; PM2.5, SO2, CO and O3.</li> <li>• Richard's Terrace, Newport Road: The newly commissioned site (April 2018) monitors on a 24/7 basis measuring levels of NO2 &amp; PM10</li> </ul> <p>The primary source of the pollution is road transport emissions, particularly diesel vehicle emissions. Although improvements are being seen, non-compliance of the NO2 limit values is projected beyond 2020. Cardiff has 4 existing declared 4 Air Quality Management Areas (AQMA's) all as a result of elevated NO2 concentrations resulting from road traffic emissions. Local modelling indicates that Castle Street will not be compliant with the NO2 limit value beyond 2020 if no addition interventions are implemented to reduce pollution levels.</p> <p><b>Clean Air Plan:</b> Following receipt of legal Direction from Welsh Gov in February 2018, the Council has developed a Clean Air Plan to deliver compliance with the EU limit value for NO2 under the obligations of the EU Ambient Air Quality Directive (2008/50/EC). Plan was approved by Cabinet on 13th June 2019 and submitted to WG on the 28th June. The plan sets out the Councils preferred option for deliver compliance in the shortest possible time. The measures include:</p> <ul style="list-style-type: none"> <li>• Implementation of Electric Buses;</li> <li>• Retrofitting of buses;</li> <li>• Taxi Licensing Policy and mitigation scheme;</li> <li>• City Centre Transport Improvement Schemes and active travel measures.</li> </ul> <p><b>The Council is currently awaiting the Ministerial decision on approval of the plan and any potential funding that will be awarded to support the delivery of the plan.</b></p>			<p><b>Implement Clean Air Plan:</b> Implement package of measures detailed in Final Plan, this is dependent on WG approving the plan.</p> <p><b>Clean Air Strategy and Action Plan:</b> In developing the Clean Air Plan the Council has further developed a wider Clean Air Strategy and Action Plan to satisfy the requirements of LAQM. This was approved by Cabinet on 13th June 2019. The strategy includes measures that will likely provide further AQ improvements including AQMAs such as:</p> <ul style="list-style-type: none"> <li>• Implementation of Non Idling Zones</li> <li>• Living Walls and other Green Infrastructure</li> <li>• EV Infrastructure and Council Fleet Measures</li> <li>• Car Clubs with Low Emission/ Zero Emission Vehicles</li> <li>• Air Quality Planning Guidance</li> <li>• Schools Active Travel</li> <li>• Behavioural Change Promotion, Car Free Day, Clean Air Day etc</li> <li>• Expansion of Real-time monitoring network and display/ sharing of data</li> </ul> <p><i>Some of these improvements have commenced and will continue to develop as part of the strategy.</i></p> <p><b>Evaluation of air quality improvements:</b> Ongoing monitoring and evaluation plan to include updated modelling and assessment following implementation of measures.</p> <p>Work with Public Health Wales to quantify future health benefits and improvements from reduced emissions/ NO2 concentrations</p> <p><b>Cardiff's Transport &amp; Clean Air Green Paper:</b></p> <ul style="list-style-type: none"> <li>• Green Paper 'Changing how we move around a growing city' has been developed and consulted on. This will be developed into a white paper explaining the broad principles of how Cardiff Council will improve air quality.</li> </ul>	
	<b>Type(s) of Impact</b>		<b>Linked Risks</b>	<b>Key Indicators / Measures used to monitor the risk</b>	
	<ul style="list-style-type: none"> <li>• Health</li> <li>• Regulatory</li> <li>• Financial</li> <li>• Strategic</li> </ul>			<ul style="list-style-type: none"> <li>• Implementation Plan for measures (funding dependent)</li> <li>• Monitoring and Evaluation Plan for Clean Air Plan</li> <li>• Ongoing monitoring and reporting under LAQM</li> </ul>	
	<p><b>Potential Impact(s)</b></p> <p><b>Health &amp; Safety</b></p> <ul style="list-style-type: none"> <li>- No improvement to health</li> <li>- Increased burden on health care</li> <li>- Further deterioration of related health conditions</li> </ul> <p><b>Legal &amp; Regulatory / Financial</b></p> <ul style="list-style-type: none"> <li>- Breach of legal / statutory requirements</li> <li>- Potential significant financial penalty</li> </ul>				

# Brexit

**Description**

The risk that the UK leaving the European Union will hinder the Council's ability to deliver services effectively, impact upon community cohesion and lead to a negative impact on the economy in both the immediate term and over the years ahead.

The UK Government have committed to leave the EU by the 31 October with or without a deal. This has substantially escalated the possibility of the UK leaving without a deal, and it is widely considered to be the form which requires a greater degree of preparation.



**Risk Owner(s)**

<b>Paul Orders</b> (Senior Management Team)	<b>Councillor Huw Thomas</b> Leader (Brexit)
--	--

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

**Cardiff Council's Framework for Response**

- Council Core Processes: Brexit Overlay Applied
  - Corporate and Directorate Risk Register Updated in response to Brexit
  - Business Continuity Plans reviewed in response to Brexit. Issues addressed include school meals, meals on wheels, fuel supply, social care, waste issues etc.
- PSB Brexit Strategic Response Group provides multi-agency view, reporting to the PSB

Ongoing engagement with Government, including:

- Liaison with WG through the WLGA Partnership Council
- CEX represents South Wales authorities on WG/WLGA Brexit Liaison Committee
- Regular officer liaison with the Home Office on EUSS and migration issues
- Leader has given evidence on behalf of Core Cities to the Brexit Parliamentary Select Committee (Oct 2018)
- Leader meeting with EU Chief Negotiator, Michel Barnier, with Core Cities (Oct 2018)

**Emergency Management** - In February 2019: Cardiff Council's Emergency Management Team led on a Business Continuity Review including an Assessment of Council Supply Chains. A second review in light of potential No Deal Brexit is currently underway.

**Citizens and Community Cohesion** - Detailed preparations and briefings for front line staff have been undertaken on the implementation of the EU Settlement Scheme. The Council has developed a Cardiff Community Engagement Action Plan (2019-2020) to support co-ordination of the EU Settlement Scheme locally, which reflects the recommended actions contained within UK Government guidance. Actions include, as an example, engagement events to promote the EUSS and available support to EU nationals living in Cardiff, with targeted engagement for vulnerable groups.

In terms of community cohesion, daily monitoring continues via the Council's community safety/ community cohesion/ counter-extremism/ Prevent networks, alongside through the use of open source data and local media.

**Impact on the Economy** - The Council has ongoing engagement with business on the impact of Brexit, including a workshop on the impact of Brexit on the city economy, hosted by the Council leader.

**Impact on Public Services** - The Cardiff Public Service Board published a report that identifies the opportunities and risks of Brexit for Cardiff and its public services. The PSB has considered Brexit regularly, with an Extraordinary meeting of the PSB called in January 2019 to ensure that an appropriate multi-agency response was in place. A multi-agency Brexit Response Group has been established, reporting to the PSB.

**What we plan to do to meet target**

**Emergency Management**  
Cardiff Council's Emergency Management Team are leading on a second review of the Council's Business Continuity Plans and the development of Assurance Statements (by Directorate). This includes assurance from identified suppliers where there may be risk and mitigated act where necessary (for example, through sourcing alternative suppliers/ stockpiling). This is due to be completed by September 2019.

**Citizens and Community Cohesion**  
The Council will be holding a series of engagement sessions on the EU Settlement Scheme in communities with high levels of EU migrants. Information on the scheme is being provided to community groups and venues in relevant community languages. Engagement is ongoing with Welsh and UK Governments to ensure an alignment of messaging and of advice on support pathways available.

**Short-term economic contraction**  
The Council's Economic Development are producing an assessment of the local economic implications of a no-deal Brexit, including a position as to what the Council can and cannot do to address local economic shocks (such as a recession).

**Preparedness of Local Businesses for a No Deal Brexit**  
In order to encourage dialogue with businesses to ensure that they are aware of the issues in terms of Brexit, Cardiff Council is planning to host two employer/ business engagement events in September/ October 2019, with one event being sector-specific (aimed at the hospitality sector given the predicted workforce shortage post-Brexit) and the other being generic, covering all sectors. The Council is also working separately to engage specifically with sectors in Cardiff who have a high EU national workforce.

**Ensuring a city-level Public Service Response**  
The Council will continue to work with public service partners to ensure a joined-up response to the impact of a No Deal Brexit. The Public Services Delivery Board will consider Brexit at its September meeting and the Public Services Board will consider the issue in October. Through the period the PSB Brexit Response Group, chaired by the Chief Executive of the Council, will continue to meet.

**Potential Impact(s)**

**Immediate Issues Identified:**

- Impact on Council supply chain
- Citizens and Community Cohesion
  - Implementing the EU Settlement Scheme
  - Increases of tension/ hate crime
- Emergency Management
  - Responding to civil contingencies/ major disruption (potential for protests, food shortages, disruption to water supply (infrastructure) and fuel shortages)
  - Shortage/ loss of key supplies
- Short-term economic contraction
- Preparedness of local businesses for a no-deal Brexit.

**Medium to Long-term Issues Identified:**

- Labour Market and Council Staff
- Impact on Public Finances – Central Government and Welsh Government Analysis suggests that Brexit will have a larger impact than economic downturn of 2008, with close to a 10% drop in GDP.
- The future of regional funding (the future UK Shared Prosperity Fund)
- Investment, Trade and Industrial Strategies (including regulations)

**Type(s) of Impact**

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

**Linked Risks**

**Key Indicators / Measures used to monitor the risk**

- High level economic indicators - GDP, GVA
- Unemployment levels, particularly in key services/sectors
- Hate Crime statistics
- Numbers enrolled in settlement scheme

# Non-completion of Statutory Building Equipment Maintenance

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Non completion of cyclical statutory inspections or the remedial works arising out of the inspections, required to maintain the premises and related installations in a safe and legally compliant condition.</p>				Neil Hanratty	Councillor Russell Goodway Investment & Development
	Risk Updated    Q1 2019/20	Movement from prev Qtr    ↔	Target Reduction Date    Q4 2019/20		
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>	
<p>Potential consequences of non-compliance with statutory maintenance:</p> <ul style="list-style-type: none"> <li>• Fatalities or serious injuries</li> <li>• Closure of part or whole of facilities with major disruption to service delivery</li> <li>• HSE interventions and consequential actions including fines and prosecution;</li> <li>• Significant additional expenditure requiring realignment of Corporate budgets;</li> <li>• Temporary relocation of staff</li> <li>• Temporary loss of operational service</li> <li>• Invalidation of insurance policy</li> <li>• Serious adverse impact on reputation</li> <li>• Damage to fabric of building or other equipment</li> </ul>	<p><b>Contractor</b></p> <ul style="list-style-type: none"> <li>• Statutory Planned Preventative Maintenance (PPM) undertaken by competent contractor. Consequential remedial work identified on test certificates.</li> <li>• 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.</li> <li>• FM competent person(s) review all test certificates, remedial work captured and communicated to client as necessary/applicable</li> <li>• 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.</li> </ul> <p><b>RAMIS IT Software</b></p> <ul style="list-style-type: none"> <li>• RAMIS implemented across the Council with bi-monthly reporting on statistics to SMT;</li> <li>• 200 Building Managers have received training in their responsibilities and use for the RAMIS system, including schools estates staff and Headteachers.</li> <li>• 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.</li> <li>• 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.</li> </ul> <p><b>Corporate Landlord Programme</b></p> <ul style="list-style-type: none"> <li>• 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.</li> </ul> <p><b>Statutory Obligation Compliance</b></p> <ul style="list-style-type: none"> <li>• Continue to commission work to undertake required compliance testing (and works required) where Building Services has responsibility to do so, as defined on RAMIS</li> <li>• The occupancy agreement (Memorandum of Agreement) for Schools was issued with the Schools Handbook and 'one front door' established to assist implementation. An occupancy agreement for non-schools properties has been drafted and is anticipated for roll out in 2019/20. Completion end of Q4.</li> </ul>			<p><b>Statutory Obligation Compliance</b></p> <ul style="list-style-type: none"> <li>• Continue to commission investigations / work to complete required compliance testing (and works required) in respect of 'gaps' in compliance identified by reports from RAMIS.</li> </ul> <p><b>Landlord / Occupancy Agreement</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Landlord occupancy principles established and included in draft non-schools handbook for review in Q2.</li> </ul>	
<b>Potential Impact(s)</b>	<b>Linked Risks</b>			<b>Key Indicators / Measures used to monitor the risk</b>	
<ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Legal</li> <li>• Financial</li> <li>• Health &amp; Safety</li> <li>• Partnership</li> <li>• Community &amp; Environment</li> <li>• Stakeholder</li> </ul>				Compliance stats from the Corporate Health & Safety Team.	

# Cyber Security

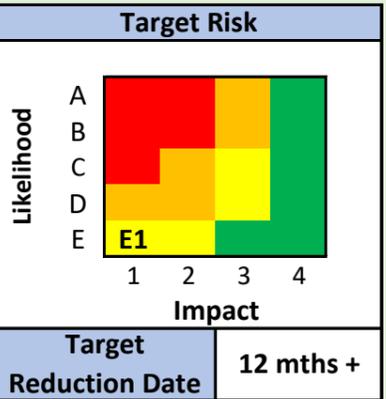
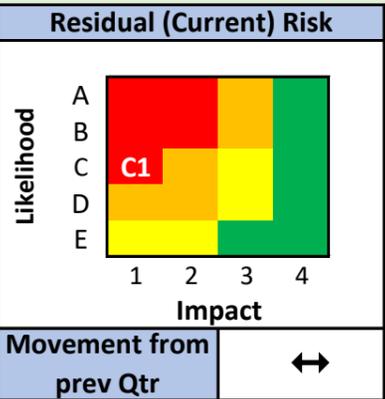
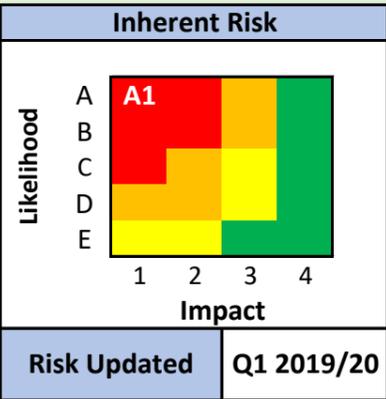
**Description**

There are 11 areas of potential risk within the National Cyber Security Centre cyber risk model. Of these, 9 are assessed as well controlled within the Council

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

**Monitoring** - the volumes of systems, applications and audit logs do not lend themselves to easily assess how and when systems are being used, leading to an ineffective response to deliberate attacks or accidental user activity

**Corporate Cloud Security** - 2018 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** - Log analysis is undertaken on a prioritised basis with incident reporting to ISB and discussed with IAO - risk of vulnerabilities could be further mitigated with additional resourcing for log monitoring - this is under continual review
- **Corporate Cloud Security** - Maturing PIA & CIA process used to assess risks to data and technology solutions
- Independent assessment and certification of the council's IT security posture via the National Cyber Security Centre (NCSC) Cyber Essentials Plus scheme
- Independent assessment and certification of the Council's Information Governance (GDPR/Data Protection) posture via the ISAME Governance scheme, awarded at the highest level of Gold
- Staff Cyber Security training programme rolled out to all staff to give guidance on threats and how to spot

**What we plan to do to meet target**

- ICT and Information Governance (IG) Teams 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.
  - ICT and IG have mapped our currently cloud hosted system - a process is being drafted to review the Information management and cyber security controls of these systems as well as any implications of Brexit in relation to where data is held
  - IM have created an Information Asset Register.
  - Governance and management requirements to be formalised for periodic and systematic review of all ICT systems once the prioritised cloud based systems are completed.
  - Education of business systems owners in risk and management of cloud based services needs to be created and processes put in place to ensure each cloud service has a defined responsible business owner.

**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.

**Linked Risks**

**Key Indicators / Measures used to monitor the risk**

- Threat intelligence from National Cyber Security Centre (NCSC), including national posture and guidance via the National Cyber Security Strategy/Programme
- Threats and risks highlighted by NCSC Cyber Security Information Sharing Partnership (CiSP), Cymru WARP (Warning, Advice and Reporting Point) and Welsh Government/WLGA
- General UK posture and issues raised in national and local media
- Number of compromises - breaches are monitored, investigated and reported back via Information Security Board and where applicable the ICO
- Monthly reporting of number of virus attacks via email blocked

**Type(s) of Impact**

<ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Legal</li> <li>• Financial</li> </ul>	<ul style="list-style-type: none"> <li>• Health &amp; Safety</li> <li>• Stakeholder</li> </ul>
--	--

# 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>				<b>Chris Lee</b> (Ian Allwood)	<b>Councillor Chris Weaver</b> Finance, Modernisation and Performance
	<b>Risk Updated</b> Q1 2019/20	<b>Movement from prev Qtr</b> ↔	<b>Target Reduction Date</b> 6-12 months		
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>	
	<p><b>2019/20 and Medium Term</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>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)</li> <li>Further diligence in respect to the rating of risk of each saving proposal but the responsibility for detail and achievability remains with the directorate.</li> <li>The Council regularly reports in relation to its financial performance and monitoring.</li> <li>The Wales Audit Office identified that the Council has a transparent and effective savings approach which supports financial resilience being achieved.</li> <li>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.</li> </ul>			<p><b>2019/20 and Medium Term</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>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 Board, Service Review board and Senior Management Team.</li> <li>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.</li> <li>Continue to refresh assumptions at key stages as relevant information becomes available.</li> </ul>	
	<b>Linked Risks</b>	<b>Key Indicators / Measures used to monitor the risk</b>			
		<p>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.</p> <ul style="list-style-type: none"> <li>Outturn vs Budget - Main budget lines under or overspend as a % of budgeted expenditure.</li> <li>Delivery of planned savings - Total (£) unachieved planned savings as a % of total (£) planned savings.</li> <li>Use of reserves – 1) Ratio of useable reserves to Net Revenue Budget (NRB) 2) Amount of useable reserves used to balance budget as % of NRB.</li> <li>Council tax – 1) Council tax and other income as % of NRB 2) Council tax collection rates (in-year actual).</li> <li>Borrowing – 1) Total commercial investment income as % of total net general fund budget 2) Total (£) commercial investments and (£ plus%) amount funded from borrowing 3) Borrowing related to commercial investments as % of General Fund total borrowing 4) Capital interest costs and MRP as a proportion of NRB. • Performance against Budget Timetable.</li> <li>Frequency / timeliness of engagement with SMT/Cabinet. • Proportion of Savings Proposals in realised or at Delivering stage.</li> </ul>			
	<b>Type(s) of Impact</b>				
<ul style="list-style-type: none"> <li>Risk of failing to meet statutory obligations and that service delivery impacted due to uncertainty in the budget planning process.</li> <li>Risk that settlement figures will not be as anticipated giving an element of uncertainty to any proposals from Cabinet during public consultation and beyond.</li> <li>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.</li> <li>Risk that financial constraints and budget proposals result in unintended consequences such as increased instances of non-compliance and financial impropriety.</li> <li>Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa.</li> <li>Risk that Medium Term Savings are not identified in a coherent, strategic way which impacts on service delivery.</li> <li>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.</li> </ul>	<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> <li>Stakeholder</li> </ul>				

## Budget Monitoring (Control)

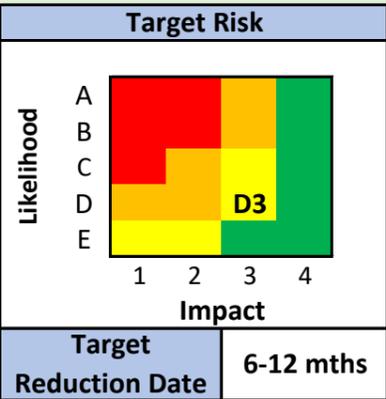
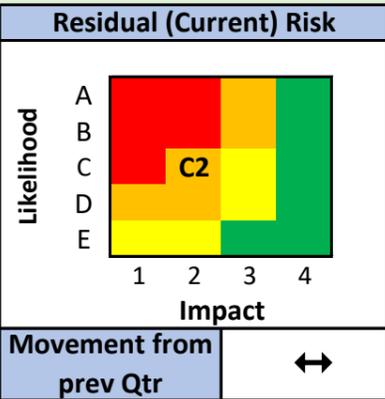
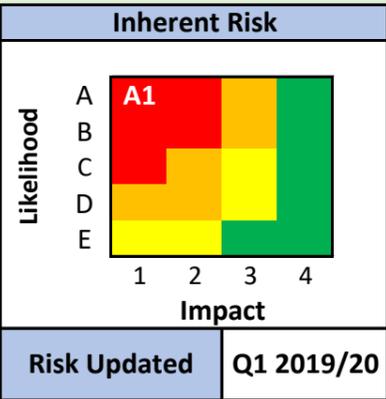
Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)							
<p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the drawdown of reserves.</p>				<p>Chris Lee (Ian Allwood)</p>	<p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>						
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><b>Risk Updated</b></td> <td>Q1 2019/20</td> </tr> </table>	<b>Risk Updated</b>	Q1 2019/20	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><b>Movement from prev Qtr</b></td> <td style="text-align: center;">↔</td> </tr> </table>	<b>Movement from prev Qtr</b>	↔	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><b>Target Reduction Date</b></td> <td>12 months +</td> </tr> </table>	<b>Target Reduction Date</b>	12 months +		
<b>Risk Updated</b>	Q1 2019/20										
<b>Movement from prev Qtr</b>	↔										
<b>Target Reduction Date</b>	12 months +										
	<p style="text-align: center;"><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p> <ul style="list-style-type: none"> <li>Clear financial procedure rules setting out roles and responsibilities for budget management are in place.</li> <li>In recognition of the quantum of savings and the risks posed a £3 million General Contingency was allocated in the Budget.</li> <li>The 2018/19 outturn position highlights a significant directorate overspend but an overall balanced budget.</li> <li>The Corporate Director of Resources, Chief Executive and Cabinet Members continue to hold challenge meetings and these will continue for 2019/20.</li> <li>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.</li> </ul>			<p style="text-align: center;"><b>What we plan to do to meet target</b></p> <p>Close scrutiny of Month 4 position and respond accordingly to both individual directorate positions and the overall Council position.</p>							
<p><b>Potential Impact(s)</b></p> <ul style="list-style-type: none"> <li>Inability to balance spend against budget, for the financial year</li> <li>Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet corporate plan objectives</li> <li>Requirement to drawdown from General Reserves at the year end</li> </ul>											
Type(s) of Impact	Linked Risks		Key Indicators / Measures used to monitor the risk								
<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder</li> </ul>		<ul style="list-style-type: none"> <li>Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted</li> <li>Review of use of earmarked reserves and balances - Half Yearly</li> <li>Regular monthly reporting to SMT</li> </ul>								

## Schools Organisation Programme (Band B)

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Failure to deliver on aspects of the School Organisation Programme, which is significant in value and complex. The programme consists of Band B (£284m) 21st Century Schools, asset management improvement work, ICT and sufficiency projects. The programme of work spans across a number of directorates, requires significant capacity and has significant capital spend.</p>	<p><b>A1</b></p>	<p><b>C2</b></p>	<p><b>C3</b></p>	<p><b>Nick Batchelar</b> (Richard Portas)</p>	<p><b>Councillor Sarah Merry</b> Deputy Leader &amp; Education, Employment &amp; Skills</p>
	<p>Risk Updated    Q1 2019/20</p>	<p>Movement from prev Qtr    ↔</p>	<p>Target Reduction Date    12 mths +</p>		
	<p><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>SOP reports for Fitzalan, Doyle Avenue and Willows have been considered by Cabinet under Band B.</li> <li>Robust governance model, in line with Corporate Landlord approach has been agreed.</li> <li>New Programme Director is in place and is establishing the capacity and capability requirements of the programme.</li> <li>Head Teachers &amp; Chairs of Governors of those schools involved in Band B briefed on process and timescales.</li> <li>SOP Delivery Group, SOP Planning Group and Education Visioning Group are being established</li> <li>Technical feasibility and design work underway</li> <li>Finance have re-profiled the capital and revenue budgets to assess the required budgets for each scheme. There are ongoing discussions with Welsh Government to assess the affordability of the programme in light of the current programme.</li> <li>Developing more robust management and monitoring processes for the asset improvement programme, including the three "D" category High Schools, Fitzalan, Cantonian and Willows.</li> </ul>			<p><b>What we plan to do to meet target</b></p> <ul style="list-style-type: none"> <li>Develop a high level SOP Strategy that outlines the short/ medium and long term aims of the whole programme.</li> <li>Strengthening of the capacity of the SOP team critical to ensuring effective delivery of the different elements of the programme. This includes ensuring that corporate colleagues in departments including legal, strategic estates, capital projects, ICT, planning and highways and transportation are available.</li> <li>Continued active dialogue with Welsh Government and other professional parties to support progress and development.</li> <li>Prioritise population data development to underpin accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward.</li> <li>Ensure consistent monitoring and reporting of all risks to Schools Programme Board.</li> <li>Develop an Education blueprint and ICT Strategy that aligns with Cardiff 2030.</li> <li>Develop a much improved ICT system and framework for long term management of the education estate.</li> </ul>	
<p><b>Potential Impact(s)</b></p> <ul style="list-style-type: none"> <li>Opportunities to enhance the school estate, and transform education will be missed</li> <li>Insufficient secondary places in some central and north east areas of the City</li> <li>Insufficient places in ALN settings across the City, leading to costly placement in out of county &amp; private settings</li> <li>School buildings that are not suitable for teaching and learning</li> <li>Further degeneration of school buildings &amp; rise in asset management backlog</li> <li>Project cost and time overruns</li> <li>Risk that school ICT infrastructure fails in the short to medium term</li> </ul>					
<p><b>Type(s) of Impact</b></p> <ul style="list-style-type: none"> <li>Reputational</li> <li>Legal</li> <li>Financial</li> <li>Social</li> <li>Health &amp; Safety</li> <li>Stakeholder</li> <li>Health and Wellbeing</li> <li>Sustainability</li> </ul>	<p><b>Linked Risks</b></p>			<p><b>Key Indicators / Measures used to monitor the risk</b></p> <ul style="list-style-type: none"> <li>Proportion of Priority 1a Schools Asset Improvement works completed in financial year, in accordance with the responsibilities of schools and corporate landlord (Corporate Plan).</li> <li>Timelines to deliver projects within the SOP programme.</li> <li>New key performance measures which are being developed as part of the overarching SOP Strategy.</li> </ul>	

# Health & Safety

**Description**  
 Non Compliance with corporate health and safety arrangements to control key risks across the Council in line with statutory requirements.



**Risk Owner(s)**

Chris Lee  
(Donna Jones)

**Councillor Chris Weaver**  
Finance, Modernisation and Performance

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

- Corporate Health and Safety Structure in place - resources appointed based on risk/priority.
- Key Health and Safety Policy and Guidance reviewed and updated.
- RAMIS fully implemented covering statutory risk on all Council Premises - H&S Lead on administration to ensure consistent approach to management of building risks.
- Health and Safety Support Service for schools in place, completed first term of support - all urgent work requirements completed.
- Corporate Management arrangements in place for Asbestos, Fire & Legionella, A Strategic Review of Fire and legionella completed.
- 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 - The team manage all asbestos surveying for Council Premises including management surveys, local sampling and updating of RAMIS. The team will also provide all asbestos training for the Council.
- Implementation of the following digital services completed:-  
 ALERT – PACD Replacement rolled out across the Council Services.  
 RAMIS – Asbestos module.  
 RAMIS – Risk Assessment Library  
 RAMIS – Accident reporting module
- 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

**What we plan to do to meet target**

- Management of the risk from Legionella bacteria in water systems requires further improvement across the council, 45 new Legionella Risk Assessments and further training and monitoring to be completed in Qtr 2
- Requirement to 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 - to be completed in Qtr 2-3
- Asbestos Surveys to be undertaken in QTR 2-3 of priority school buildings
- Risk Assessment Library to be made live across the Council in Qtr 2.
- Completion of Improvements in Waste Services following HSE Improvement Notice - Qtr 2
- Share Point developd for Corporate H&S Policy, Guidance etc. to be made live on the intranet in Qtr 2

**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**

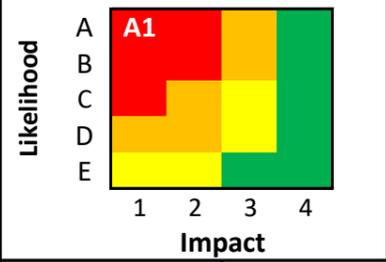
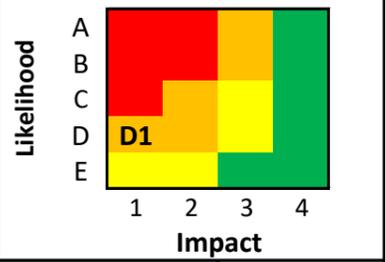
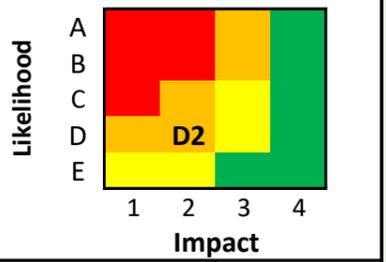
- Service Delivery
- Reputational
- Legal
- Financial

**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>	 <p><b>A1</b></p>	 <p><b>D1</b></p>	 <p><b>D2</b></p>	<p><b>Chris Lee</b> (Vivienne Pearson)</p>	<p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>
	<p>Risk Updated    Q1 2019/20</p>	<p>Movement from prev Qtr    ↔</p>	<p>Target Reduction Date    6-12 months</p>		
	<p><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p>			<p><b>What we plan to do to meet target</b></p>	
	<ul style="list-style-type: none"> <li>Information Security Board is provided with Information Requests and Training compliance monitoring reports quarterly. This is chaired by the SIRO.</li> <li>Suite of Information Governance Processes, Policies and Strategies in place and annually updated.</li> <li>Data Protection Officer in post in line with articles 37-39 of the GDPR.</li> <li>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.</li> <li>Data Security Incident processes in place and communicated to all staff together with formal reporting processes when required to the Information Commissioner.</li> <li>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.</li> <li>All new standard Council contracts include a clause regarding 3rd Parties processing personal data and obligations in respect of Freedom of Information.</li> <li>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.</li> <li>A corporate Information Asset Register is held which details personal data assets held by each Council directorate.</li> <li>Service Level Agreements in place for contracted Data Protection Officer role to regional bodies where Cardiff Council is the Data Controller for these services.</li> <li>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.</li> <li>Corporate Retention schedule in place and updated annually in line with any legislative changes.</li> <li>Information Governance Maturity Model established to monitor risks against areas of information governance to feed into corporate risk status.</li> <li>The Digitalisation of Paper Records Strategy and associated business process changes is in place.</li> </ul>			<ol style="list-style-type: none"> <li>1) Data Protection e-learning training to be released on a directorate basis by September 2019 with 100% compliance targeted within each directorate.</li> <li>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.</li> <li>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.</li> <li>4) An assurance of the Information Security Board and role of the Information Asset Owners to be completed and position provided to Senior Information Risk Owner during May 2019.</li> <li>5) 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.</li> <li>6) 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.</li> </ol>	
	<p><b>Potential Impact(s)</b></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"> <li>A "Stop Now" Order which would mean that no personal data could be processed by the Council in its entirety</li> <li>An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery</li> <li>Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit</li> <li>Enforcement Notice requires immediate improvement action to be put in place</li> <li>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.</li> </ul>					
<p><b>Type(s) of Impact</b></p>		<p><b>Linked Risks</b></p>		<p><b>Key Indicators / Measures used to monitor the risk</b></p>	
<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>		<ul style="list-style-type: none"> <li>Stakeholder</li> </ul>		<ul style="list-style-type: none"> <li>Suite of IG Indicators</li> <li>No. of ICO correspondence</li> <li>No. of FOI / SAR Requests</li> <li>No. of individuals trained on GDPR modules</li> </ul>	

# Welfare Reform

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants and freezing of Local Housing Allowance rates. The potential impact of these changes on rent arrears, homelessness and child poverty make these changes a significant risk. The removal of the DWP funding that paid for digital and budgeting support across the city will potentially increase the problem, although currently council reserves are being used to mitigate this.</p>				<p><b>Sarah McGill</b> (Jane Thomas)</p>	<p><b>Councillor Lynda Thorne</b> Housing &amp; Communities</p>
	<p><b>Risk Updated</b>    Q1 2019/20</p>	<p><b>Movement from prev Qtr</b>    ↔</p>	<p><b>Target Reduction Date</b>    N/A</p>		
	<p><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p> <ul style="list-style-type: none"> <li>• Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit and prevent eviction.</li> <li>• Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help tenants to move accommodation where necessary.</li> <li>• Housing Options service have developed additional support to help move families and vulnerable adults into private sector housing with a guarantor agreement to help mitigate the risk of financial loss that landlords fear.</li> <li>• Housing Options service have created additional help for those on low incomes but not on benefits to access an interest free loan to pay for bond, rent in advance and moving costs. This also helps with financial inclusion as the clients will open up a savings account with the credit union and have a lump sum saved by the time the loan is repaid.</li> <li>• Housing Options service are working with third sector partners to help clients move into settled accommodation in the private rented sector, primarily for single people who have lived in supported accommodation.</li> <li>• Digital and budgeting Support is being given to claimants to help them respond to the changes, although funding has been stopped for this, so the Council is using its reserves.</li> <li>• A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move.</li> <li>• 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 Benefit Cap and to advise them accordingly and to identify the most vulnerable families and award DHP.</li> <li>• DHP process has been reviewed to ensure that all those who request a DHP are given budgeting, income maximisation and debt advice</li> <li>• 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 Welfare Liaison team work closely with tenants to mitigate the impact of the change.</li> <li>• The Money Advice Team is providing comprehensive advice services for those affected by Welfare Reform and this has been rolled out across the city in Community Hubs and foodbanks.</li> <li>• The Inclusive Growth Board and subgroups are coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected.</li> <li>• Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate.</li> <li>• Digital inclusion training and Universal Credit Support has been rolled out across all the new Community Wellbeing Hubs.</li> <li>• Into Work Services are providing one to one mentoring support as well as light touch help across the city to help people get back to work or to upskill in their current roles.</li> </ul>			<p><b>What we plan to do to meet target</b></p> <ul style="list-style-type: none"> <li>• 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. After an initial sharp increase in rent arrears, the rate of increase has stabilised. This will be monitored over the coming months.</li> <li>• Work has been undertaken to cost the potential risks of Universal Credit and this will continue to be updated as the more information is known.</li> <li>• Regular meetings are held with social housing providers to monitor and improve processes.</li> <li>• 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.</li> <li>• Services for private landlords are being further developed to help prevent them withdrawing from the market.</li> <li>• Increase in Prevention staff to work with clients at risk of homelessness. Service can be provided from a partner building or in a client's home to increase engagement.</li> <li>• In depth assessments to be completed at point of presentation to include a financial statement which will allow discussion to be had around possible expenditure concerns</li> <li>• Attendance at monthly meetings to discuss clients affected by Welfare Reform in order that early support can be offered.</li> <li>• Increase in Private Rented Sector Housing Solutions Team to obtain affordable private rented sector accommodation in order to assist clients to move quickly to avoid accruing higher rent arrears.</li> <li>• Expansion of the Private Rented Sector Housing Solutions Team to include a dedicated person of contact for landlords. This will mean that any issues can be raised at the earliest stage and support provided to try to prevent any issues which may lead to homelessness.</li> <li>• Dedicated phone line for landlords will mean easier contact with above team.</li> <li>• Introduction of the Advice Team who will be working to publicise the Housing Options Service to clients and landlords. This will include an online messaging service making the Service accessible to a wider range of clients.</li> </ul>	
<p><b>Potential Impact(s)</b></p> <ul style="list-style-type: none"> <li>• Benefit claimants are priced out of the private rented sector market</li> <li>• Private landlords stop renting to benefit claimants</li> <li>• Private landlords leaving the rental housing market</li> <li>• Social housing rents become unaffordable to some claimants, in particular those with large families</li> <li>• Increased homelessness and demand for temporary accommodation</li> <li>• Increased rough sleeping</li> <li>• Increased rent arrears, increased evictions</li> <li>• Redeployment / Severance for housing benefits staff</li> <li>• Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties</li> <li>• Increased council rent arrears could impact on HRA and lead to barriers to building additional affordable housing</li> <li>• LA less likely to pre-empt those who are going to be affected by changes and therefore unable to put mitigation steps in</li> <li>• Increase in poverty and child poverty, potentially an increase on demand of social services</li> </ul>	<p><b>Linked Risks</b></p>			<p><b>Key Indicators / Measures used to monitor the risk</b></p> <p>Number of customers supported and assisted with their claims for Universal Credit Additional weekly benefit identified for clients of the city centre advise team</p>	
<p><b>Type(s) of Impact</b></p>					

## 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>				<p><b>Chris Lee</b> (Phil Bear)</p>	<p><b>Councillor</b> <b>Chris Weaver</b> Finance, Modernisation and Performance</p>
	<p><b>Risk Updated</b>    Q1 2019/20</p>	<p><b>Movement from prev Qtr</b>    ↔</p>	<p><b>Target Reduction Date</b>    12 mths +</p>		
	<p><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p> <ul style="list-style-type: none"> <li>Spending for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth is continually reviewed and reprioritised.</li> <li>New system down analysis process in place to ensure that key pressure points are rapidly identified and fixed at minimum cost until full programme can be initiated. Recent issues with telephony have resulted in retargeting of some resources to focus on weak points now identified.</li> <li>New deliveries are all being designed for a 99.99% minimum uptime, with critical systems targeted at 99.999% (equating to less than 6 minutes per year)</li> <li>Our file storage solution has been replaced within the last year and cloud based storage for additional resilience and flexibility is being assessed. Other projects underway include the replacement of our core network switches and departmental switches within County Hall.</li> <li>Corporate file storage systems replaced and new disk to disk backup option installed to improve performance and resilience.</li> <li>Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced.</li> <li>Additional load balancers purchased for application resilience in key systems.</li> <li>Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority</li> <li>Completed refresh of existing SAP, thin client and virtual server farms.</li> <li>Assessment of equipment required replacing to maintain PSN compliance</li> <li>Further revenue and capital investment in 2019-20.</li> <li>Completed migration of VM infrastructure over to Pure Storage.</li> <li>Completed migration of users from old remote access service to new solution.</li> </ul>			<p><b>What we plan to do to meet target</b></p> <ul style="list-style-type: none"> <li>Development of lifecycle monitoring and clearer customer engagement.</li> <li>Pilot leasing scheme within schools to be considered for corporate desktop estate</li> <li>Led by the Chief Digital Officer, work will be undertaken on the needs for the capital replacement programme in order to inform the Cabinet proposals for the 2020/21 Budget in February 2020. This will include discussions with Directors in respect of service needs and priorities.</li> </ul>	
<p><b>Potential Impact(s)</b></p> <ul style="list-style-type: none"> <li>Loss of PSN services.</li> <li>Service delivery impacts from unreliable/unavailable ICT systems</li> <li>Cardiff seen as unable to deliver on aspirations</li> <li>Poor morale from frustrations with inability to deliver services.</li> <li>Potential for income losses from revenue collection impacts.</li> <li>Unable to meet delivery deadlines on both business as usual and transformation projects.</li> </ul>					
<p><b>Type(s) of Impact</b></p> <ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Financial</li> <li>Stakeholder</li> </ul>	<p><b>Linked Risks</b></p>		<p><b>Key Indicators / Measures used to monitor the risk</b></p> <ul style="list-style-type: none"> <li>Annual independent testing of external and internal infrastructure via Information Technology Health Check (ITHC) for PSN compliance.</li> </ul>		

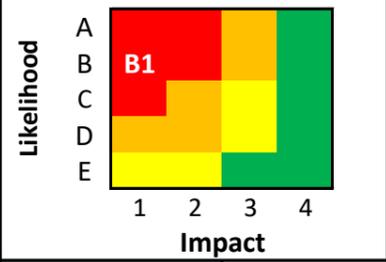
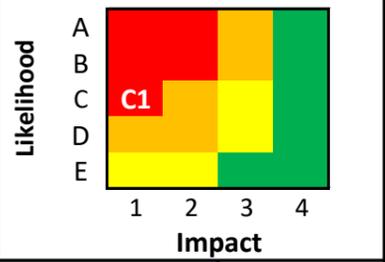
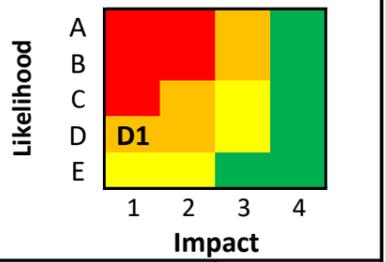
# Coastal Erosion

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Breach of current defences resulting in widespread flooding (current defences are ad hoc and are in a very poor condition)</p>				<p><b>Andrew Gregory</b></p>	<p><b>Councillor Michael Michael</b> Clean Streets, Recycling and Environment</p>
	<p><b>Risk Updated</b>    Q1 2019/20</p>	<p><b>Movement from prev Qtr</b>    ↔</p>	<p><b>Target Reduction Date</b>    12 mths +</p>		
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>	
	<ul style="list-style-type: none"> <li>Incident management arrangements are in place, which whilst not preventative, represent a level of emergency management for a flood and coastal erosion risk event occurring in a significant storm event.</li> <li>The necessary works are holistic and cannot be phased. Therefore the residual risk rating cannot be lowered until the completed construction of the coastal defence scheme in its entirety.</li> <li>The total costs associated with the Design, Early Contractor Engagement and Construction phases have been estimated at £10.9m (Welsh Government 75% funding = £8.2m and CCC 25% funding = £2.7m)</li> <li>Formal application has been submitted to Welsh Government (WG) under the WG Coastal Risk Management Programme and development of the Detailed Design and Full Business Case (FBC) for the coastal defence scheme is programmed for completion in May 2020.</li> <li>Work ongoing with Emergency Management to formulate interim measures.</li> </ul>			<ul style="list-style-type: none"> <li>Completion date for detailed design and Full Business Case (FBC) anticipated May 2020.</li> <li>Full Business Case to be submitted to Welsh Government for approval &amp; funding confirmation</li> <li>Tender scheme promptly following support from Welsh Government. Contract will be developed as part of detailed design process to support tender process.</li> <li>Anticipated construction starting late 2020 - early 2021, subject to the above.</li> </ul>	
<p><b>Potential Impact(s)</b></p> <ul style="list-style-type: none"> <li>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</li> <li>Erosion to two decommissioned land fill sites, with risk of releasing landfill material into the Severn Estuary and having significant environmental impacts</li> <li>Flood risk to 1,116 residential and 72 non-residential properties over 100 years, including risk to life, property, infrastructure and services</li> <li>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.</li> </ul>	<p><b>Linked Risks</b></p> <p>Climate Change &amp; Energy Security (Corporate Risk)</p>			<p><b>Key Indicators / Measures used to monitor the risk</b></p> <ul style="list-style-type: none"> <li>Award of contract for detailed design and Full Business Case - achieved</li> <li>Completion of detailed design and Full Business Case by May 2020 &amp; submitted to WG</li> <li>Delivery programme of coastal protection scheme</li> </ul>	
<b>Type(s) of Impact</b>	<b>Linked Risks</b>		<b>Key Indicators / Measures used to monitor the risk</b>		
<ul style="list-style-type: none"> <li>Health &amp; Safety</li> <li>Health</li> <li>Reputational</li> <li>Financial</li> </ul>	<ul style="list-style-type: none"> <li>Strategic</li> <li>Service Delivery</li> </ul>		<ul style="list-style-type: none"> <li>Award of contract for detailed design and Full Business Case - achieved</li> <li>Completion of detailed design and Full Business Case by May 2020 &amp; submitted to WG</li> <li>Delivery programme of coastal protection scheme</li> </ul>		

# Waste Management

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Failure to deliver cost effective compliance with waste legislation including statutory recycling targets.</p>				<p><b>Sarah McGill</b> (Matt Wakelam)</p>	<p><b>Councillor Michael Michael</b> Clean Streets, Recycling and Environment</p>
	<p>Risk Updated    Q1 2019/20</p>	<p>Movement from prev Qtr    ↔</p>	<p>Target Reduction Date    12 mths +</p>		
<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>					
<p><b>Progress discussions with Welsh Government on operational programme of improvements and recycling in Cardiff to demonstrate how Cardiff will be proceeding to meet statutory targets.</b></p> <p><b>Wider Governance &amp; Compliance:</b></p> <ul style="list-style-type: none"> <li>Targeted internal audits are identifying and improving governance and control across the service area.</li> <li>New management and Corporate governance of tonnage projections and waste data flow reporting to support improving control and management of statutory reporting.</li> <li>Introduction of improvements in weighbridge and data systems holding data on waste movements, to improve data management and ease collation of data</li> <li>Prosiect 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 (19.37% recycling from bottom ash)</li> </ul> <p><b>Development of recycling plan for 19/20 optimising resources incl considerations of statutory fines.</b></p> <ul style="list-style-type: none"> <li>Reviewing and benchmarking tonnages / recycling levels / costs of disposal for Cardiff compared to Welsh Authorities and United Kingdom. To identify areas requiring further review to support the opportunity of improving recycling levels.</li> <li>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.</li> <li>Media and communications taking place across Cardiff with focus on key areas for recycling improvement.</li> <li>Improving use of In-Cab system to improve service delivery through real time technology, optimisation of routes and identification of waste contamination.</li> </ul> <p><b>Recycling Development:</b></p> <ul style="list-style-type: none"> <li>The Council's Recycling &amp; Waste Management Strategy is reviewed every three years, with the last strategy covering the period 2015-18. Draft Strategy 2018-21 has been consulted on.</li> <li>Robust analysis and review of business cases relating to the following waste collection &amp; disposal operations:                         <ul style="list-style-type: none"> <li>- Post sorting of general waste.</li> <li>- Bottle and Glass expansion across the City.</li> <li>- Hygiene (Absorbent Hygiene Products) from Municipal Solid Waste to Recycling</li> </ul> </li> </ul>					
<b>What we plan to do to meet target</b>					
<ul style="list-style-type: none"> <li>Cabinet Report in October 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, including management of flats and HMO's.</li> <li>Ongoing In-Cab technology implementation &amp; training to improve reporting of contamination</li> <li>Targeted and tailored intervention to deal with contamination in hot spot areas across the City.</li> <li>Review the Waste &amp; Recycling Strategy 2018-2021, developed to meet the statutory recycling targets. To have a strategy the service needs to develop an operational programme (including costs) in parallel to improve awareness of decision points and associated implications of the strategy.</li> </ul> <p><b>Wider Governance &amp; Compliance</b></p> <ul style="list-style-type: none"> <li>Work is ongoing to review Waste Data Flow to ensure providing information in a timely manner</li> <li>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 +AO17:BC49</li> </ul>					
Potential Impact(s)	What we've done/are currently doing to achieve the Residual Risk Rating		What we plan to do to meet target		
<p><b>Financial</b></p> <ul style="list-style-type: none"> <li>penalties and loss of grant support</li> <li>continuing financial costs to service</li> </ul> <p><b>Legal &amp; Regulatory</b></p> <ul style="list-style-type: none"> <li>Failure to comply with EU recycling waste directive, leading to sanctions, penalties or interventions</li> </ul> <p><b>Strategic/ Reputational</b></p> <ul style="list-style-type: none"> <li>reputational consequence with citizens and key stakeholders</li> </ul>					
Type(s) of Impact	Linked Risks	Key Indicators / Measures used to monitor the risk			
<ul style="list-style-type: none"> <li>Reputational</li> <li>Legal &amp; Regulatory</li> <li>Financial</li> </ul>		<ul style="list-style-type: none"> <li>Monthly monitoring recycling % from waste data flow</li> <li>Monthly tonnage monitoring</li> <li>Monthly financial monitoring in each area of waste</li> </ul>			

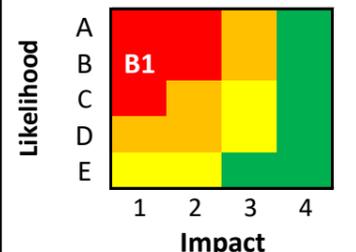
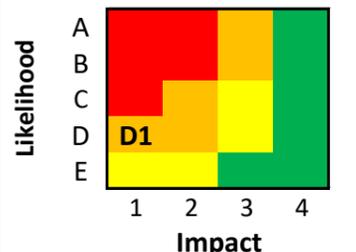
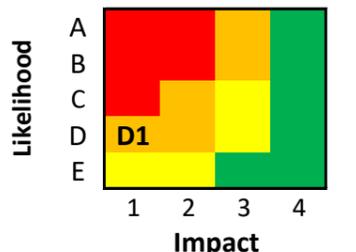
## Increase in Demand (Children's Services)

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>				Sarah McGill  Claire Marchant	Councillor Graham Hinchey Children & Families
	Risk Updated    Q1 2019/20	Movement from prev Qtr    ↔	Target Reduction Date    12 mths +		
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>	
	<ul style="list-style-type: none"> <li>• Early Help Strategy</li> <li>• Cardiff Family Advice and Support Service</li> <li>• Information, Advice and Assistance functions (including Dewis Cymru)</li> <li>• Locality working</li> <li>• Interface Protocol for Children's Services with Children's Team Around Family (TAF) and Disability Team Around the Family (DTAF) agreed and implemented</li> <li>• Flying Start</li> <li>• Rapid Response Service</li> <li>• Adolescent Resource Centre</li> <li>• Legal tracker</li> <li>• Decision making panels established across the stages of the child's journey</li> <li>• Direct Payments</li> <li>• Young Carers Action Plan</li> <li>• Families First Services recommissioned</li> <li>• Signs of Safety implementation plan</li> </ul>			(Relevant DDP 2019/20 actions noted in brackets.) <ul style="list-style-type: none"> <li>• Improving Outcomes for Children Programme Board and project groups beneath it</li> <li>• "Delivering Excellent Outcomes" Children's Services Strategy under development</li> <li>• Cardiff Family Advice and Support Service progressively implemented from April 2019 (CP 1 - CS)</li> <li>• Children's Commissioning Strategy being developed to address placement quality and sufficiency (CP 12 - CS)</li> <li>• Fostering project and residential care projects supporting delivery of the emerging needs from the Commissioning Strategy (CP 12 - CS)</li> <li>• Partnership arrangements for delivery of Child and Adolescent Mental Health Service (CAMHS) to be reviewed (CP 5 - CS)</li> <li>• Refresh the Signs of Safety Implementation Plan to embed strength based practice in partnership with families to support children to remain with families, supported by a safety plan (CP 11 - SS)</li> <li>• Transformation and ICF proposals developed to enhance services at the edge of care and support proactive improvement (DP 21 - SS)</li> <li>• Deliver a three year plan that combines service and financial planning for Adult and Children's Social Services (CP 24 - SS)</li> </ul>	
<b>Potential Impact(s)</b> <ul style="list-style-type: none"> <li>• Family breakdown leading to children becoming looked after</li> <li>• Growth in the number of children entering the looked after system and associated costs for the Authority</li> <li>• Insufficient placements to meet need</li> <li>• Children are less likely to achieve their potential and to be fully participating citizens</li> <li>• Life chances for children are reduced</li> <li>• Delays in issuing care proceedings because of existing capacity in both Children's and Legal Services</li> <li>• Challenges in improving outcomes for children</li> <li>• Challenges in effectively managing service and financial pressures</li> <li>• Significant increase in demand for residential and foster care placements for children looked after resulting in increase in numbers living outside Cardiff</li> </ul>					
	<b>Linked Risks</b>			<b>Key Indicators / Measures used to monitor the risk</b>	
				Children's Services: Early Help 1 - Number of people supported through the Family Gateway Early Help 2 - Number of people supported by the Family Help Team Early Help 3 - Number of people supported by the Family Support Team Contacts 1 - Number of Contacts / Referrals Received SSWB 24 - Percentage of assessments completed for children within statutory timescales CS LAC 3e - Number of children looked after	
<b>Type(s) of Impact</b> <ul style="list-style-type: none"> <li style="width: 50%;">• Service Delivery</li> <li style="width: 50%;">• Community &amp; Environment</li> <li style="width: 50%;">• Reputational</li> <li style="width: 50%;">• Stakeholder</li> <li style="width: 50%;">• Legal</li> <li style="width: 50%;">• Financial</li> </ul>					

## Education - Schools' Delegated Budgets

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>The number of schools with deficit budgets and/or the overall value of deficit budgets increases, or that those schools (particularly in the Secondary sector) with existing deficit budgets do not deliver agreed deficit recovery plans.</p>				<b>Nick Batchelar</b> (Neil Hardee)	<b>Councillor Sarah Merry</b> Deputy Leader & Education, Employment & Skills
	<b>Risk Updated</b> Q1 2019/20	<b>Movement from prev Qtr</b> ↓	<b>Target Reduction Date</b> 12 mths +		
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>	
	<ul style="list-style-type: none"> <li>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.</li> <li>Officers from Education and Financial Services 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.</li> <li>Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.</li> <li>For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school.</li> <li>Annual audit of budget impact on individual schools undertaken during the Summer Term, the results of which feed into discussions regarding the medium term financial plan</li> </ul>			<ul style="list-style-type: none"> <li>Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan. This may involve removing delegation from a Governing Body.</li> <li>Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula.</li> <li>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</li> <li>A working group has been established to examine the medium term financial planning processes used by the LA and schools</li> <li>Improve individual school risk assessment processes in order to provide an early indication of those schools who may be at risk of entering a deficit position</li> </ul>	
<b>Potential Impact(s)</b>					
<ul style="list-style-type: none"> <li>An overall deficit arising from schools budgets would count against the funding available for the Council</li> <li>Schools with deficit budgets may struggle to adequately fund the resources required to achieve the desired levels of educational attainment</li> <li>Schools with deficit budgets may struggle to adequately fund maintenance of school buildings creating an issue for other budgets, eg Capital/SOP Band B</li> <li>Schools that continually fail to address deficit budgets may ultimately require LA intervention, with a corresponding increase required in centralised resources</li> </ul>					
<b>Type(s) of Impact</b>	<b>Linked Risks</b>			<b>Key Indicators / Measures used to monitor the risk</b>	
<ul style="list-style-type: none"> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>				<ul style="list-style-type: none"> <li>School budget monitoring position</li> <li>Number of schools setting deficit budgets</li> <li>Final budget balances</li> </ul>	

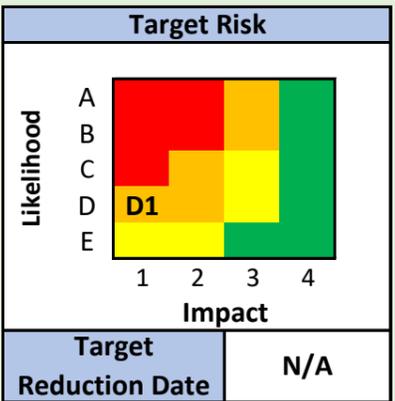
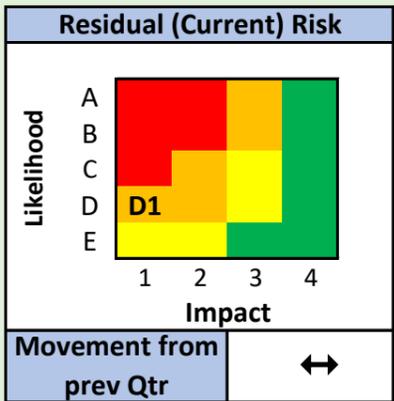
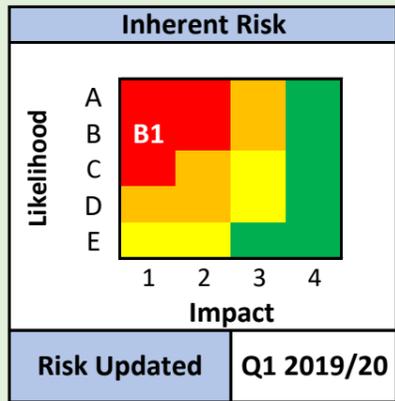
# Business Continuity

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						
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Risk Updated</td> <td>Q1 2019/20</td> </tr> </table>	Risk Updated	Q1 2019/20	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Movement from prev Qtr</td> <td style="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>N/A</td> </tr> </table>	Target Reduction Date	N/A		
Risk Updated	Q1 2019/20										
Movement from prev Qtr	↔										
Target Reduction Date	N/A										
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>							
	<ul style="list-style-type: none"> <li>The Council has a BCM Champion who sponsors BCM at a strategic level</li> <li>We have an approved Business Continuity Policy which is aligned to ISO22301</li> <li>BCM toolkit is now available on CIS</li> <li>The Council has employed a Business Continuity Officer who is a qualified ISO22301 lead auditor</li> <li>The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with ISO22301. This was fully updated in March 2019.</li> <li>The Council has a 24 hour Incident Management structure for Gold and Silver Officers.</li> <li>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</li> <li>Cardiff Council is a member of the Core Cities Business Continuity Group</li> <li>Internal Audit completed an audit of the Business Continuity Risk in September 2018 and the assurance statement was "Effective with opportunity for improvement"</li> <li>The Corporate Incident Management structure and many individual team Business Continuity Plans were used successfully in the two extreme snow events of March 2018</li> <li>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.</li> <li>The Business Continuity Officer is continuing to support Directorates in preparing for potential impacts around Brexit</li> </ul>			<ul style="list-style-type: none"> <li>Work with ICT to ensure our core infrastructure is as resilient as practical</li> <li>Work with the teams involved with looking at the potential of using alternative delivery models for council services. Identifying risks associated with alternative delivery models for specific services and recommend potential risk management solutions for implementation, to protect the delivery of our most critical services.</li> <li>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</li> <li>The BC officer is leading a further review of 4x4 resources across the council to support our response capability to deal with the potential of winter storms in the coming winter of 2019</li> </ul>							
<b>Potential Impact(s)</b>	<ul style="list-style-type: none"> <li><b>Health and Safety</b> – potential impact on staff and on the public relying on our most, time sensitive, critical services</li> <li><b>Legal action</b> -Failure of key services could lead to Legal action against the council</li> <li><b>Financial</b> - 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</li> <li><b>Reputational</b> - Impact on key services to the public could lead to significant reputational damage to the organisation</li> <li><b>Stakeholder</b> – Impact on key stakeholders as result of failure</li> <li><b>Service delivery</b> – 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</li> </ul>										
<b>Type(s) of Impact</b>	<b>Linked Risks</b>			<b>Key Indicators / Measures used to monitor the risk</b>							
<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>	<ul style="list-style-type: none"> <li>Health &amp; Safety</li> <li>Stakeholder</li> </ul>			<p>Brexit 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>					

# Safeguarding

**Description**

Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners.



**Risk Owner(s)**

Sarah McGill  Claire Marchant  Davina Fiore	<b>Councillor Huw Thomas</b> Leader <b>Councillor Susan Elsmore</b> Social Care, Health & Well-being <b>Councillor Graham Hinchey</b> Children & Families <b>Councillor Chris Weaver</b> Finance, Modernisation and Performance
---	--

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

- Regional Adults / Children's Safeguarding Board
- Cardiff local operational safeguarding group established to support effective multi-agency safeguarding arrangements across the City, reporting to the Regional Safeguarding Board.
- Corporate Safeguarding Board chaired at Director level with each Directorate completing a self assessment in relation to safeguarding.
- Safeguarding issues included in Senior Management Assurance Statement from 2019/20.
- Improving Outcomes for Children Steering Group chaired by Chief Executive established to oversee performance to improve outcomes for Cardiff's most vulnerable children.
- Operational Manager Safeguarding Forum meets quarterly.
- 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.
- 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.
- 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.
- Embedding Social Services and Well-being (Wales) Act 2014 in relation to strengthening of adult safeguarding.
- Review of adult safeguarding undertaken and management strengthened.

**What we plan to do to meet target**

(Relevant DDP 2019/20 actions noted in brackets.)

- WAO review of corporate safeguarding - action plan to be implemented when posts appointed to.
- Implementation of revised Corporate Safeguarding Policy and action plan arising from internal audit of corporate safeguarding (CP 19 - SS).
- 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 (CP 18 - SS).
- Exploitation Strategy being developed to cover wider exploitation issues, including adults, in a multi agency way (CP 20 - SS).
- Ensure children and adults are protected from risk of harm and abuse by raising awareness among public and professionals for the duration of the plan (DP 18 - SS).
- Embed the Quality Assurance Framework in Adult and Children's Services (DP 19 - SS).
- Process and escalation procedures agreed for children's work, to be agreed with adults (DP 30 - AS).
- Implement new arrangements within the Multi Agency Safeguarding Hub (MASH) to take account of the new Early Help Service (CP 21 - CS).
- Regular performance monitoring meetings with Children's Social Services have been arranged.
- Adult safeguarding improvement plan developed (DP 20 - AS).

**Key Indicators / Measures used to monitor the risk**

Adult Services: SSWB 18 Percentage of adult protection enquiries completed within 7 working days  
 Children's Services: SSWB 24 Percentage of assessments completed for children within statutory timescales  
 SCC.014 Percentage of initial child protection conferences carried out within statutory timescales during the year  
 SCC.034 Percentage of child protection reviews carried out within statutory timescales during the year  
 SSWB 27 Percentage of re-registrations of children on local authority Child Protection Registers  
 SSWB 28 Average length of time for all children who were on the CPR during the year  
 Res 15 - Percentage of Council staff completing Safeguarding Awareness Training  
 TBC - Part IV Referrals  
 TBC - Professional concerns  
 TBC - Escalating concerns

**Potential Impact(s)**

- 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 community in 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

In addition to the above:

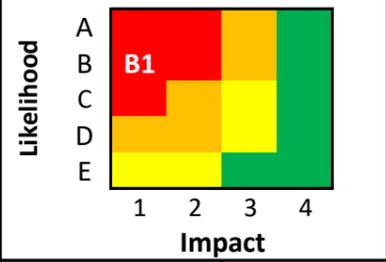
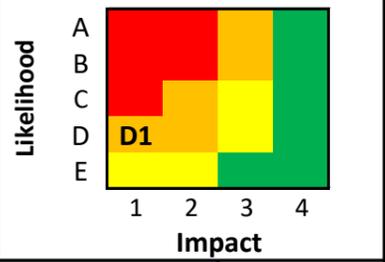
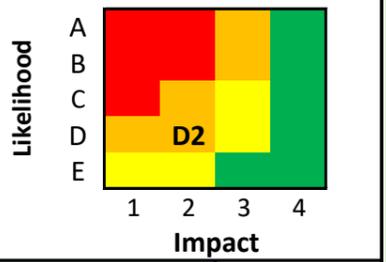
- Being held in contempt of court.
- Imprisonment.
- Unlawful detention of persons.
- Payment of costs / damages.
- Professional reputation of staff.
- Recruitment problems.

**Type(s) of Impact**

<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>	<ul style="list-style-type: none"> <li>Partnership</li> <li>Community &amp; Environment</li> <li>Stakeholder</li> </ul>
--	---

**Linked Risks**

# Climate Change & Energy Security

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)			
<p>Cardiff not able to manage the effects of climate change and energy security due to lack of future proofing for key (social and civil) infrastructure and business development.</p>				<p><b>Andrew Gregory</b></p>	<p><b>Councillor Michael Michael</b> Clean Streets, Recycling and Environment</p>		
<p><b>Potential Impact(s)</b></p> <p>Climate change will result in more intense and frequent weather events leading to:</p> <p><b>Flood, Wind, Snow and High Temperatures events</b></p> <ul style="list-style-type: none"> <li>• Loss of life and personal injury;</li> <li>• Increase in health issues including air quality;</li> <li>• Direct damage to property, infrastructure and utilities;</li> <li>• Contamination and disease from flood and sewer water and flood on contaminated land;</li> <li>• Increased cost of insurance;</li> <li>• Break up of community and social cohesion;</li> <li>• Blight of land and development.</li> <li>• Migration of ecosystems.</li> </ul> <p>Energy security will result in more frequent energy supplies failure events leading to:</p> <p><b>Inconsistent energy supply and increased costs</b></p> <ul style="list-style-type: none"> <li>• Inability to deliver public services</li> <li>• Decrease in economic output</li> <li>• Disruption to the supply of utilities</li> <li>• Increased transport costs</li> <li>• Increased costs for heating / providing services to buildings</li> <li>• Increased fuel poverty</li> </ul>	<p><b>Risk Updated</b>    <b>Q1 2019/20</b></p>	<p><b>Movement from prev Qtr</b>    ↔</p>	<p><b>Target Reduction Date</b>    <b>12 mths +</b></p>	<p style="text-align: center;"><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p> <p><b>Emergency Management Unit (EMU)</b></p> <ul style="list-style-type: none"> <li>• Working through the Local Resilience Forum (LRF) structure to ensure planning is carried out with consideration of emerging emergency events.</li> <li>• Cardiff Area Community Risk Register developed and reviewed on a regular basis.</li> <li>• Procedures in place for extreme temperatures in line with Welsh Governments Heatwave Plan.</li> <li>• Produced 'Preparing for Emergencies – A Guide for Communities' now available to all agencies and organisations.</li> <li>• Developed EVAC Cardiff App - now publicly available for both android and apple systems.</li> <li>• Website to offer further advice/ information alongside the App (<a href="https://www.evaccardiff.co.uk/">https://www.evaccardiff.co.uk/</a>)</li> </ul> <p><b>Flood Management Planning</b></p> <ul style="list-style-type: none"> <li>• Local Flood Risk Management Strategy completed. This integrates flood risk, the coastal protection strategy and stakeholder communications setting a clear corporate approach to flood management.</li> <li>• Flood Risk Management Plan sets out how Cardiff Council will manage flooding to deliver improvements to communities most at risk. Flood mitigation schemes delivered in Rhiwbina and Roath Waterloo Gardens.</li> <li>• Mapping of flood events to provide historical data of areas of concern. This supports work relating to 5 active community flood plans in Cardiff with other key stakeholders and the retrofitting of sustainable drainage to remove water from piped systems and control surface water at source.</li> <li>• Improvement in records for all drainage assets and associated maintenance through AMX and WinCan.</li> <li>• Delivery of the Sustainable Drainage Approval body on 7th January 2019 requiring sustainable drainage for all new developments.</li> </ul> <p><b>Energy Management</b></p> <ul style="list-style-type: none"> <li>• Council procures competitive energy contracts through Crown Commercial Services on a 10 monthly purchasing window for the following 12 month financial year.</li> <li>• Key sites fitted with back-up generators for emergency back-up, specifically for IT systems.</li> <li>• The Carbon Reduction Strategy 2022 identifies projects/ activities through 4 strands to achieve a 35% reduction in the council's carbon emissions from electricity and gas by 2022. These include; Renewables, Energy Efficiency, Design &amp; Asset Management and Behaviour Change.</li> <li>• Control of energy use and demand reduction in the Council Estate</li> </ul>		<p style="text-align: center;"><b>What we plan to do to meet target</b></p> <p><b>Given the most recent information, including declaration of a climate emergency, a comprehensive review of the risk is being undertaken and will be reported in Q2.</b></p> <p><b>Flood Management Planning</b></p> <ul style="list-style-type: none"> <li>• Deliver flood management and coastal improvement schemes. Including the Identification and delivery of retro-fit sustainable drainage schemes.</li> </ul> <p><b>Energy Management</b></p> <ul style="list-style-type: none"> <li>• Increasing local renewable generation. Lamby Way Solar Farm final business plan approved by cabinet following planning consent and successful procurement exercise. District Heat Network proposals given authority to proceed by Cabinet, subject to Final Business Case approval.</li> <li>• Deliver Low Emission Transport strategy - the first phase of on street EV charging infrastructure underway. Plans for introduction of EV in the fleet progressing.</li> </ul>	
<p><b>Type(s) of Impact</b></p> <ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Legal</li> <li>• Financial</li> <li>• Health &amp; Safety</li> <li>• Partnership</li> <li>• Community &amp; Environment</li> <li>• Stakeholder</li> </ul>	<p><b>Linked Risks</b></p> <p>Coastal Erosion (Corporate Red Risk) Air Quality (Corporate Red Risk)</p>	<p><b>Linked Documents</b></p> <p><a href="https://www.evaccardiff.co.uk/">https://www.evaccardiff.co.uk/</a> <a href="https://www.cdp.net/en">https://www.cdp.net/en</a></p>	<p><b>Key Indicators / Measures used to monitor the risk</b></p> <p>Storm Events that meet silver &amp; gold emergency intervention Annual number of flooded properties and severity (statutory reporting) Energy use / renewable energy production of Cardiff Council</p>				

# 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><b>Chris Lee</b> (Dean Thomas)</p>	<p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>
	<p>Risk Updated    Q1 2019/20</p>	<p>Movement from prev Qtr    ↔</p>	<p>Target Reduction Date    6-12 mths</p>		
	<p><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Disciplined approach, where risk assessment forms an integral part of the approach to change.</li> <li>• Programmes and projects initiated with dedicated resources.</li> <li>• Experienced gained by managing programmes and projects over a number of years, building on lessons learned.</li> <li>• 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.</li> <li>• Building capacity and capability across the organisation through development opportunities and skills transfer.</li> <li>• Appropriate engagement and stakeholder management, including Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit.</li> <li>• Continued implementation of Programme &amp; Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources.</li> <li>• 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.</li> <li>• All Programme Briefs have been signed off by SMT and the relevant programme boards.</li> <li>• Project briefs have been developed for a number of projects within the CADP.</li> <li>• Effective governance arrangements are now in place for the CADP. These arrangements are continually monitored and refined as and when required.</li> </ul>			<p><b>What we plan to do to meet target</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• A review of the programme will be undertaken as part of the overall review of Delivering Capital Ambition.</li> </ul>	
<p><b>Potential Impact(s)</b></p> <ul style="list-style-type: none"> <li>• Failure to deliver the Administration's Capital Ambition statement.</li> <li>• Failure to respond to the key financial and organisational challenges that dominate the medium term planning horizon of the Council.</li> <li>• Vital services will not be protected if we fail to find more efficient ways of working.</li> <li>• Reputational impact if services do not meet increasing customer expectations.</li> <li>• Public services are not delivered efficiently or effectively and fail to deliver joined up services to the public.</li> <li>• 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.</li> <li>• Reputational risk with our external regulators if the CADP is not delivering on time and does not have robust governance arrangements in place.</li> </ul>					
<p><b>Type(s) of Impact</b></p> <ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Legal</li> <li>• Financial</li> </ul>	<p><b>Linked Risks</b></p>		<p><b>Key Indicators / Measures used to monitor the risk</b></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 - the CSC model will need to be adapted to meet the emerging needs of education reform in Wales, including the new curriculum and accountability and assessment changes.</p>				<p><b>Nick Batchelar</b></p>	<p><b>Councillor Sarah Merry</b> Deputy Leader &amp; Education, Employment &amp; Skills</p>
	<p><b>Risk Updated</b>    Q1 2019/20</p>	<p><b>Movement from prev Qtr</b>    ↔</p>	<p><b>Target Reduction Date</b>    6-12 mths</p>		
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>	
	<ul style="list-style-type: none"> <li>Results for 2018/19 show that Cardiff schools are performing well across a wide range of performance indicators at all Key Stages.</li> <li>Outcomes of Estyn inspections and Categorisation outcomes have also improved.</li> <li>Cardiff schools are working with CSC on the development and implementation of the new curriculum for Wales.</li> <li>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.</li> <li>In 2018/19, the constituent Councils in the Central South Consortium (CSC) commissioned an external review of the CSC.</li> </ul>			<p>The Joint Committee of CSC will determine what follow up actions should be taken in light of any recommendations from the report on the external review.</p>	
<b>Potential Impact(s)</b>					
<ul style="list-style-type: none"> <li>Learners do not reach their full potential</li> <li>Schools are not supported to improve</li> <li>Schools are not able to deliver the new curriculum</li> <li>Educational performance does not improve</li> <li>Impact on Estyn judgements</li> <li>Value for money - CSC</li> <li>Budget implications</li> <li>Intervention from WG</li> </ul>					
<b>Type(s) of Impact</b>	<b>Linked Risks</b>			<b>Key Indicators / Measures used to monitor the risk</b>	
<ul style="list-style-type: none"> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>				<p>KS4 2018/19 School Performance, Outcomes from Estyn Inspections up to 2020.</p>	

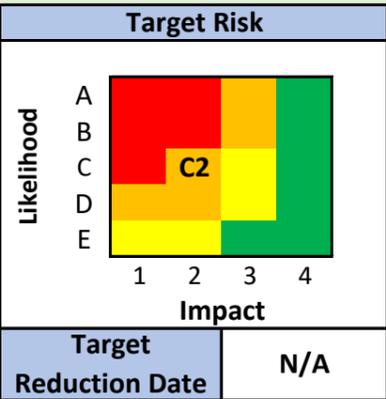
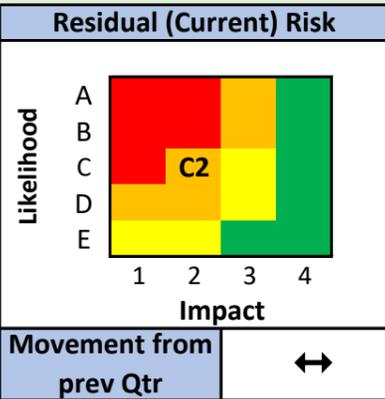
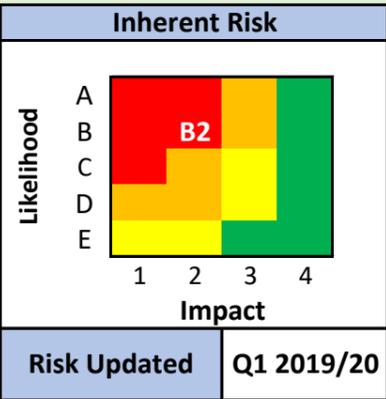
# Legal Compliance

**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

**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**

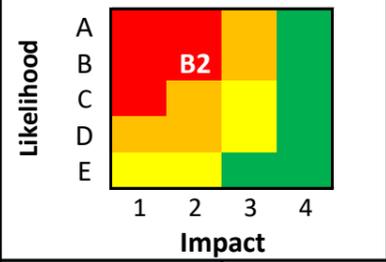
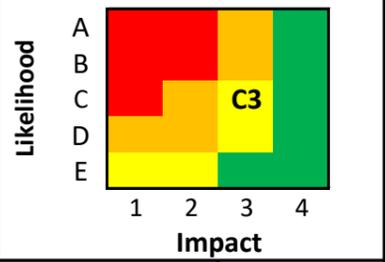
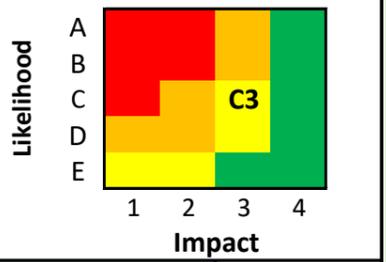
# Performance Management

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)	
<p>Performance Management arrangements are essential for discharging statutory requirements, setting objectives and meeting targets. Weak corporate performance management arrangements heighten the risk of poor performance, service failure, financial overspend or legal non-compliance going unidentified, unchallenged and unresolved.</p> <p>The Council must therefore maintain a focus on the Key Performance Indicators it has identified within the Corporate Plan as a pointer to overall organisational success. The Council must also ensure that more granular indicators of performance- the Council's Core Data which is managed by individual Directorates- are established and monitored to provide more detailed insight into the drivers of corporate performance.</p> <p>Changes to the Statutory Performance Requirements likely to emerge via the Local Government Bill must also be reflected within the Council's performance regime.</p>				<b>Sarah McGill</b> (Gareth Newell)	<b>Councillor Chris Weaver</b> Finance, Modernisation and Performance
	<b>Risk Updated</b> Q1 2019/20	<b>Movement from prev Qtr</b> ↔	<b>Target Reduction Date</b> N/A		
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>	
	<p>Over the course of recent years, the Council has been able to evidence a broad pattern of year-on-year performance improvement, which has been consistently reflected by external regulators and comparative data. A corporate focus on improvement and performance management has underpinned the Council's progress, with a sustained increase in key statutory areas and in the Council's performance relative to other local authorities.</p> <p><b>Response to the WAO Report &amp; Follow On Report:</b></p> <ul style="list-style-type: none"> <li>The Council's reformed approach to Corporate Planning was recognised by the Wales Audit Office's follow-on report- who acknowledged a "step-change" in arrangements. Performance Management arrangements were further strengthened with the Council's Senior Management Team regularly considering "Assurance" issues, which included monthly Budget Reports, quarterly performance reports, Corporate Risk, Assurance Statements, Sickness Absence data as well as any issue requiring escalation.</li> </ul> <p><b>Further Strengthening of the Performance Regime</b></p> <ul style="list-style-type: none"> <li><u>Statutory Compliance:</u> The requirements of Well-Being of Future Generations Act (Wales) 2015 are discharged by the Council's Performance Arrangements, with the Council having published its Well-being Objectives, Steps and having arrangements in place to keep them under review.</li> <li><u>Corporate Planning:</u> Corporate Plan Steps, Indicators and Targets are now agreed following a comprehensive corporate exercise. This involves the Leader &amp; Chief Executive reviewing the delivery of the Corporate Plan with lead Cabinet Members and Lead Directors for each Well-being Objective. The Policy Review and Performance Scrutiny Committee (PRAP) and a Performance Sub-Group involving the Chairs of Each Scrutiny Committee also review the plan as part of the review process and are involved in setting organisational targets. This represents a strengthening of the system and was recognised by the Chair of PRAP as an "unprecedented.... step forward in co-production of the Corporate Plan"</li> <li><u>Performance Monitoring/Challenge:</u> A Self-Assessment process has been established which includes Cabinet, the Senior Management Team, and the Council's Scrutiny Committees (particularly the Policy Review and Performance Scrutiny Committee). The approach ensures that the Council takes a rounded view of performance, considering progress against Corporate Plan Steps and KPIs, Inspection Reports, Surveys and Citizen Feedback, Corporate Risk, Budget Monitoring and as well as feed-back from relevant committees. Formal performance challenge sessions have also been established with Cabinet (Delivering Capital Ambition: performance and Progress) on a quarterly basis. Agreed actions inform performance improvement activity over the next quarter.</li> </ul>			<ul style="list-style-type: none"> <li>Develop a Service Delivery Framework, which recognises the partnership component of the delivery arrangements and builds on the current Performance Framework</li> <li>Revise the Corporate Reporting Framework to:               <ul style="list-style-type: none"> <li>Bring the Statutory Annual Well-Being Report ('end of year report') forward from Month 7 to Month 4</li> <li>Include a Strategic Assessment of Performance within the Annual Report</li> </ul> </li> </ul>	
	<b>Type(s) of Impact</b>		<b>Linked Risks</b>		<b>Key Indicators / Measures used to monitor the risk</b>
	<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Stakeholder</li> </ul>				

## 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><b>Chris Lee</b> (Ian Allwood)</p>	<p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>
	<p><b>Risk Updated</b>    Q1 2019/20</p>	<p><b>Movement from prev Qtr</b>    ↔</p>	<p><b>Target Reduction Date</b>    12 months +</p>		
	<p><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p> <ul style="list-style-type: none"> <li>The Council communicates a zero tolerance approach to fraud, bribery and corruption</li> <li>Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, Money Laundering Policy and Disciplinary Policy</li> <li>Financial Procedure Rules and Contract Standing Orders and Procurement Rules and training</li> <li>Work on the National Fraud Initiative exercises in collaboration with the Cabinet Office and Wales Audit Office</li> <li>Receipt and dissemination of fraud intelligence alerts from law enforcement agencies</li> <li>Regular reports to the Section 151 Officer and Audit Committee and the Chief Executive</li> <li>Audit Committee review of the risk management, internal control and corporate governance arrangements of the authority</li> <li>Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control</li> <li>Ongoing delivery of briefings to Schools on fraud and control risks</li> <li>Cardiff Manager Programme includes session on risk management and compliance / control</li> <li>Provision of disciplinary management information on DigiGov</li> <li>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</li> <li>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</li> </ul>			<p><b>What we plan to do to meet target</b></p> <p>Draft Counter-Fraud and Corruption Strategy for Cabinet in July, to be followed by:</p> <ul style="list-style-type: none"> <li>Participation in International Fraud Awareness week in November 2019</li> <li>Roll-out mandatory counter-fraud eLearning across the Council, to commence in July 2019</li> </ul> <p>Investigation Team to:</p> <ul style="list-style-type: none"> <li>Review the Council's Money Laundering Policy in quarter 2 2019</li> <li>Review the SMAS responses from senior management in respect of fraud assurance and provide advice and guidance to support strong assurance</li> <li>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</li> <li>Review and use the management information produced by HR in respect to the Disciplinary Policy</li> </ul>	
<p><b>Potential Impact(s)</b></p> <ul style="list-style-type: none"> <li>Increase in frauds and losses to the Council</li> <li>Reputational risk as more frauds are reported</li> <li>Increased time investigating suspected fraud cases impacting on capacity</li> </ul>					
<p><b>Type(s) of Impact</b></p> <ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder</li> </ul>	<p><b>Linked Risks</b></p>			
		<p><b>Key Indicators / Measures used to monitor the risk</b></p> <ul style="list-style-type: none"> <li>Adherence to the NFI Security Policy and annual completion of compliance forms</li> <li>Mandatory eLearning completion rates</li> <li>Delivery of Fraud Awareness week campaign</li> <li>Delivery of Policy updates</li> <li>Delivery of mandatory investigating officer training and the note taker training</li> <li>Criminal investigations conducted on behalf of Directorates</li> <li>Provision of timely investigation advice, guidance and support to Directorates as required</li> </ul>			

# 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><b>Chris Lee</b> (Philip Lenz)</p>	<p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>
	<p><b>Risk Updated</b>    Q1 2019/20</p>	<p><b>Movement from prev Qtr</b>    ↔</p>	<p><b>Target Reduction Date</b>    N/A</p>		
	<p><b>What we've done/are currently doing to achieve the Residual Risk Rating</b></p>			<p><b>What we plan to do to meet target</b></p>	
	<ul style="list-style-type: none"> <li>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 &amp; Development, PPDR review and Employee Voice.</li> <li>An updated Workforce Strategy for 2018-2021 was developed and agreed by Cabinet in July 2018.</li> <li>The Workforce planning project has a completed project brief identifying a number of key outputs</li> <li>Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development.</li> <li>Research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event - LGA/ Skills for Local Government hosted COP event.</li> <li>HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda.</li> <li>Children’s Services have developed a Workforce Strategy for their area which is being reviewed on a regular basis.</li> <li>Resources have held a workshop which focussed on Professional and Technical areas to inform the key skills required for the Directorate going forward.</li> <li>Work has taken place with Cardiff and Vale College to roll out an Essential Skills diagnostic tool to frontline employees through Commercial Services</li> <li>A programme of NVQ study is been discussed with Cardiff &amp; vale College and Commercial Services are coming forward with cohorts of employees to attend.</li> <li>Employee surveys carried out to identify areas where further employee engagement / development can be focused.</li> <li>Work has been carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local Authorities.</li> <li>Project brief for Workforce Planning provides full details of milestones and implementation dates.</li> <li>A review of the courses provided by the Cardiff Academy has taken place to ensure that these meet the skills requirements for the future.</li> <li>Workforce planning tool kit has been rolled out to pilot areas and workshops taking place between May and September 2017.</li> <li>Feedback from pilots has been received and allowed for the toolkit to be reviewed.</li> <li>Full rollout of Workforce planning toolkit to take place in 2018/19.</li> <li>Workforce planning toolkit presented to SMT in April 2018, and roll out across organisation commenced in first quarter.</li> <li>All Directorates completed workforce plans by December 2018 and are now working on the actions therein.</li> <li>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</li> <li>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</li> </ul>			<ul style="list-style-type: none"> <li>The Council is reviewing its resourcing strategies to ensure that it is a considered employer for young people leaving school, college and universities</li> <li>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</li> <li>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</li> <li>Actions being taken to improve the accessibility to Welsh language either through the recruitment process or through the training and development of current employees</li> <li>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</li> <li>Workforce planning now embedded into the corporate planning process</li> </ul>	
<p><b>Potential Impact(s)</b></p>					
<ul style="list-style-type: none"> <li>Poor service delivery due to ineffective use of resources</li> <li>Lack of resources with the knowledge and skills the Council requires for future delivery</li> <li>Loss of resources and recruitment problems</li> <li>Poor morale</li> <li>Loss of experienced staff members including managers</li> <li>Reduce the likelihood of attracting high calibre managers to Cardiff Council</li> <li>Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care</li> <li>Risk of workforce not representing the communities to which services are delivered</li> </ul>					
<p><b>Type(s) of Impact</b></p>	<p><b>Linked Risks</b></p>			<p><b>Key Indicators / Measures used to monitor the risk</b></p>	
<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Financial</li> <li>Stakeholder</li> </ul>					