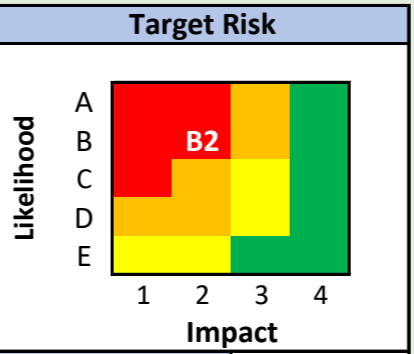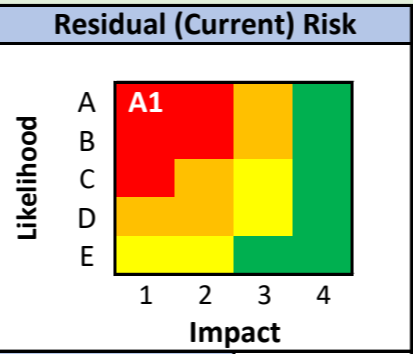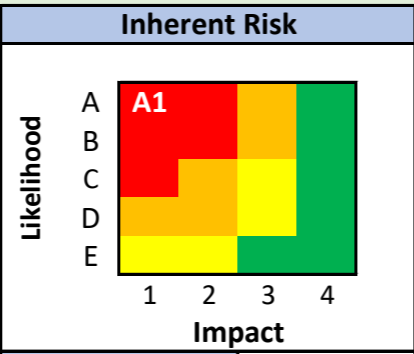# Climate Change & Energy Security

Description

Cardiff is 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.

Potential Impact(s)

Flood & Storm
- Loss of life and risk to life
- Direct damage to property, utilities and critical infrastructure
- Blight of Land and Development
- Disruption to service delivery
- Contamination and disease from flood and sewer water and flood on contaminated land
- Increase in health issues
- Break up of community and social cohesion
- Increase cost of insurance
- Migration of ecosystems

Heat
- Loss of life and risk to life
- Damage to infrastructure & utilities
- Service delivery
- Increase in health related issues including air quality
- Blight of development
- Migration of ecosystems

Energy security (energy efficiency & decarbonisation of supply)
- Inconsistent energy supply
- Increased costs
- Inability to deliver public services
- Decrease in economic output
- Disruption to the supply of utilities
- Increased transport costs
- Increased costs for heating / providing services to buildings
- Increased fuel poverty

Inherent Risk

Risk matrix: A1 (red zone)

	Inherent Risk	
Last Reviewed	Q2 2019/20	
Last Revision	Q2 2019/20	

Residual (Current) Risk

Risk matrix: A1 (red zone)

Movement from prev Qtr	↑

Target Risk

Risk matrix: B2

Target Reduction Date	12 mths +

Risk Owner(s)

Andrew Gregory

Councillor Michael Michael
Clean Streets, Recycling and Environment

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

The Council has declared a Climate Emergency

Flood & Storm
- Working with partners within the Local Resilience Forum (LRF) to support the management of this risk including supporting the emergency response to this risk
- Supporting the enhancement of the publics own resilience through advice and guidance available form the EVAC Cardiff Website
- Implementation of Schedule 3 of the Flood and Water Management Act 2010 requires all new development over 100m2 to implement sustainable drainage, resilient to flooding
- Development of Flood Risk Management Strategy
- Currently introducing Flood Incident Management software to provide better understanding of spatial distribution of flood events filtered by source, and determine priority areas for future flood alleviation schemes to be implemented (subject to WG funding bid opportunities)

Heat
- Working with Partners in the LRF to warn them of anticipated heatwave impacts upon vulnerable groups and support response to such a risk
- Supporting the enhancement of the publics own resilience through advice and guidance available form the EVAC Cardiff Website

Energy security (energy efficiency & decarbonisation of supply)
- Energy efficiency measures being installed through Re-Fit and Salix projects
- Phase 2 of Re-Fit project finalised and going through due diligence with Salix funding organisations
- NPS Consortium approach to purchasing energy to secure best prices - continuing by Economic Development
- Lamby Way solar farm final business plan approved by Cabinet following planning consent
- District Heat Network proposals - Cabinet authority to proceed, subject to financial business case approval
- Engaging with WG on compliance with WG target for public sector to be carbon neutral by 2030
- Scoping additional carbon reduction projects for future action
- Delivering Low Emission Transport Strategy - approved April 2018 and implementation of action plan underway
- Supporting enhancement of publics own resilience through advice and guidance available from EVAC Cardiff Website, to help them work to reduce their carbon outputs and support carbon capture initiatives

What we plan to do to meet target

Flood & Storm
- Develop enhanced twenty year Flood and Storm mitigation strategy with partners to support the management of the evolving Flood and Storm risk
- Develop enhanced engagement programme with partners supporting the public in enhancing their own resilience
- Improve communication on what to do in a flood and raise awareness of risk
- Improve the service provided by the SuDS Approval Body (SAB)
- Deliver guidance to increase standards and ease of development
- Asset management - Delivery of Flood Management and Coastal Improvement Schemes and rationalise/ prioritise gully maintenance schedule based on the outputs of the Flood Incident Management software

Heat
- Develop a 20 year heat mitigation strategy for the city. Working with partner agencies and commercial stakeholders to support development of heat reduction programmes.
- Engage with Welsh Government with in WLGA, and PSB to ensure consistent support in managing this risk ensuring the planning process works for all stakeholders to ensure we develop sustainable planning strategy's for future developments, planning the management of this risk

Energy security (energy efficiency & decarbonisation of supply)
- Lamby Way solar farm contracted for completion end May 2020
- Grant application for progression of Heat Network - Dec 2019
- Develop strategic response to the Climate Emergency Declaration to incorporate carbon neutral target. First draft in partnership with Cabinet Office under consideration.
- Work with WG Energy Services advisors to assess future renewable generation and carbon reduction schemes - ongoing
- Electric Vehicle strategy - first tranche of residential chargers delivered and proposals to convert council fleet to electric being finalised
- Work with other LA's and partners in both wales and the wider city region to take effective action to reduce carbon outputs and capture carbon through "nature by design" options. This will support Cardiff Council's One Planet strategy.

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial
- Health & Safety
- Partnership
- Community & Environment
- Stakeholder

Linked Risks

Coastal Erosion
Air Quality
Business Continuity

Linked Documents

https://www.evaccardiff.co.uk/
https://www.cdp.net/en
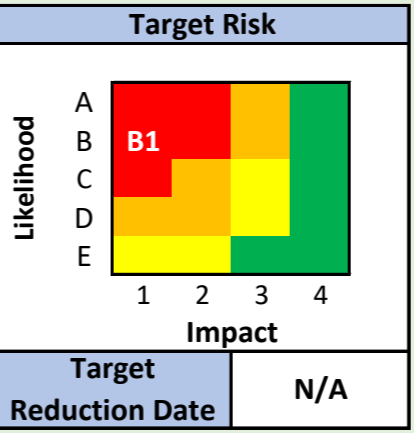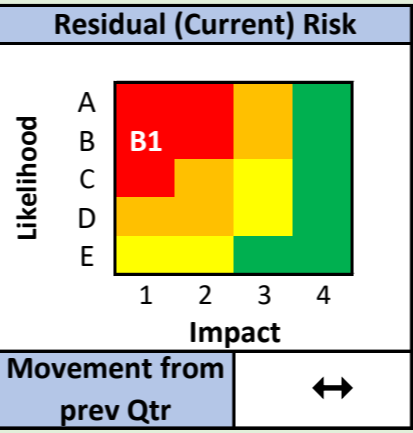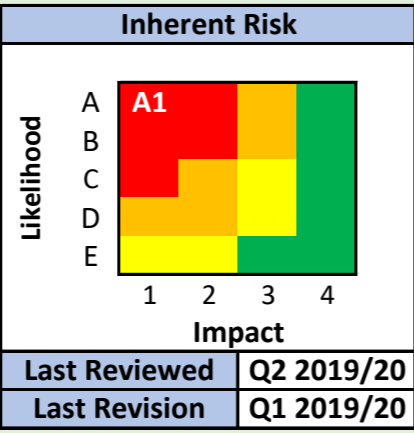
Key Indicators / Measures used to monitor the risk

Storm Events that meet silver & gold emergency intervention

Annual number of flooded properties and severity (statutory reporting)

Energy use / renewable energy production of Cardiff Council

City Security

Description

Major security-related incident in 'crowded places' as a result of international or domestic terrorism.

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.

Inherent Risk

Likelihood (A–E) vs Impact (1–4). Rated: A1

Last Reviewed	Q2 2019/20
Last Revision	Q1 2019/20

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4). Rated: B1

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4). Rated: B1

Target Reduction Date	N/A

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.

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial
- Health & Safety
- Partnership
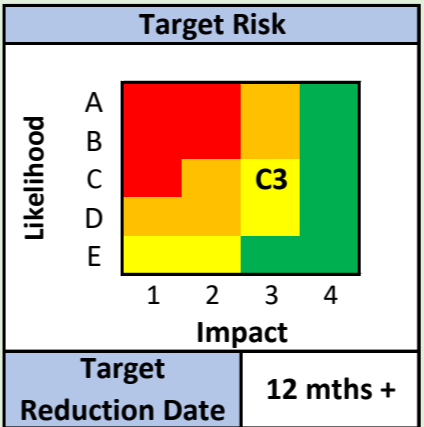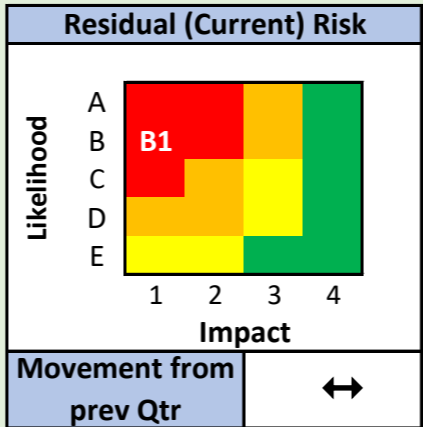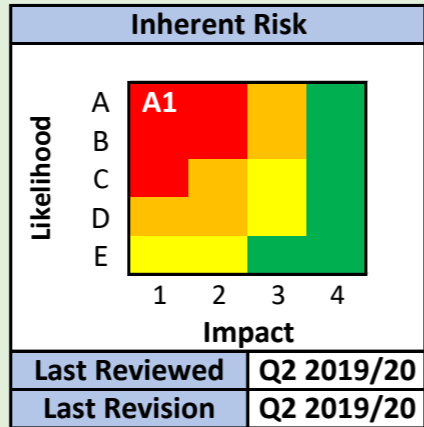- Community & Environment
- Stakeholder

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

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.

Inherent Risk

Likelihood (A–E) vs Impact (1–4): **A1**

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4): **B1**

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4): **C3**

Target Reduction Date	12 mths +

Risk Owner(s)

Andrew Gregory
(Gary Brown)

Councillor Caro Wild
Strategic Planning & Transport

Potential Impact(s)

Health & Safety
- No improvement to health
- Increased burden on health care
- Further deterioration of related health conditions

Legal & Regulatory / Financial
- Breach of legal / statutory requirements
- Potential significant financial penalty

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

Monitoring:
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:
• Cardiff Frederick Street: Monitors 24/7 measuring levels of NO2, PM10 & PM2.5, SO2, CO and O3
• Richard's Terrace, Newport Road: Monitors 24/7 measuring levels of NO2 & PM10

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 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 additional interventions are implemented to reduce pollution levels.

Clean Air Plan:
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:
• Implementation of Electric Buses;
• Retrofitting of buses;
• Taxi Licensing Policy and mitigation scheme;
• City Centre Transport Improvement Schemes and active travel measures.

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. As of Aug 2019, the Council has been informed that the plan has been accepted, but this is subject to caveats/ clarification. The main elements of the plan have been agreed in principle. Additional Direction issued to the Council is to be complied with by the end of October 2019, with final decision expected on approval in early Nov 2019. The City Centre Schemes are progressing while awaiting final detailed approval.

What we plan to do to meet target

Implement Clean Air Plan:
Implement package of measures detailed in Final Plan, this is dependent on WG approving the plan.

Clean Air Strategy and Action Plan:
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:
• Implementation of Non Idling Zones
• Living Walls and other Green Infrastructure
• EV Infrastructure and Council Fleet Measures
• Car Clubs with Low Emission/ Zero Emission Vehicles
• Air Quality Planning Guidance
• Schools Active Travel
• Behavioural Change Promotion, Car Free Day, Clean Air Day etc
• Expansion of Real-time monitoring network and display/ sharing of data
Some of these improvements have commenced and will continue to develop as part of the strategy.

Evaluation of air quality improvements:
Ongoing monitoring and evaluation plan to include updated modelling and assessment following implementation of measures.

Work with Public Health Wales to quantify future health benefits and improvements from reduced emissions/ NO2 concentrations

Cardiff's Transport & Clean Air Green Paper:
• 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.

Type(s) of Impact

- Health
- Regulatory
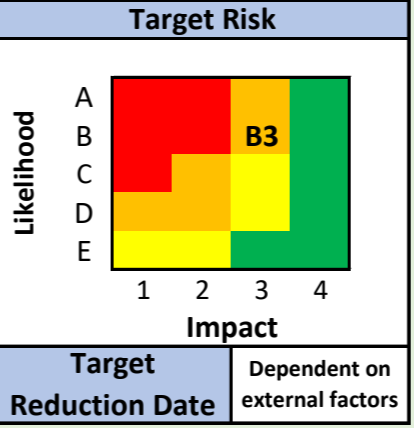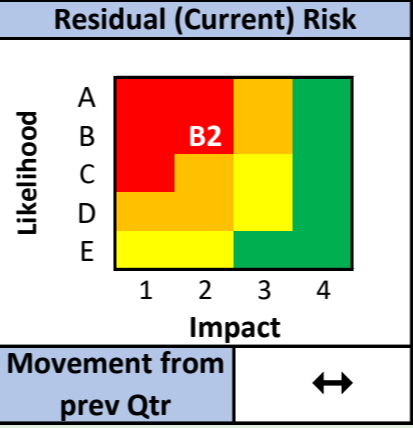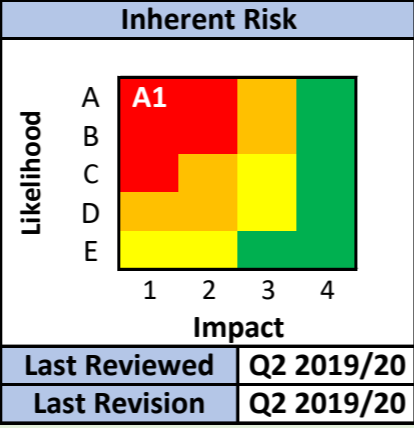- Financial
- Strategic
- Reputational

Linked Risks

Key Indicators / Measures used to monitor the risk

• Implementation Plan for measures (funding dependent)
• Monitoring and Evaluation Plan for Clean Air Plan
• Ongoing monitoring and reporting under LAQM

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.

Inherent Risk

Likelihood (A–E) vs Impact (1–4): **A1**

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4): **B2**

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4): **B3**

Target Reduction Date	Dependent on external factors

Risk Owner(s)

Paul Orders
(Senior Management Team)

Councillor Huw Thomas
Leader
(Brexit)

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 8% drop in GDP.
- The future of regional funding (the future UK Shared Prosperity Fund)
- Investment, Trade and Industrial Strategies (including regulations)

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

Business Continuity Plans have been reviewed in response to Brexit and Assurance Statements have been provided by each Directorate in March and again in August to focus on No Deal, given the Auditor General's Assessment that a No Deal 'remains a possible outcome; for which public services in Wales need to be prepared.'

The Council's Senior Management Team now consider Brexit risks on a fortnightly basis and the Leader updated Council on Brexit in September. Nominated Officers have been identified in each Directorate to lead on Brexit response planning and a Cardiff Council Brexit Issues Register has been developed which consolidates all identified risks, issues and mitigating actions. The Register responds to all major issues identified in relation to Brexit and, following a review, there are no gaps between the Council's assessment work and the reports produced by Welsh Government and the WLGA.

What we plan to do to meet target

Citizens and Community Cohesion
The Council will continue to promote 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 Service have considered the local economic implications of a no-deal Brexit and have developed clear asks of Government to support the economy in the event of a severe economic contraction (estimated at around 8% of per head GDP by Welsh Government Analysis)

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.

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial
- Health & Safety
- Partnership
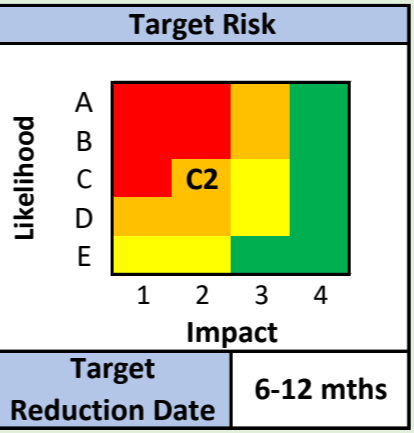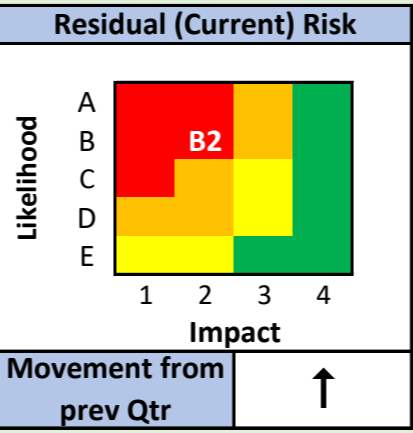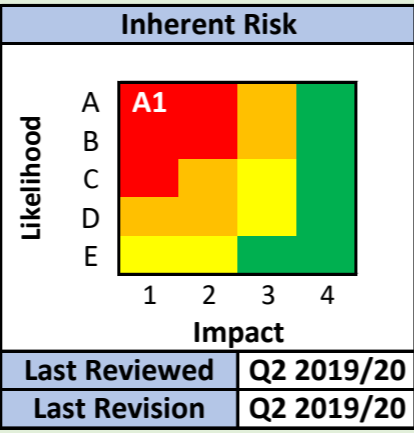- Community & Environment
- Stakeholder

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

Financial Resilience

Description

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.

The current outlook is that there is a Budget Gap of £105 million for the period 2020/21 to 2023/24.

Inherent Risk

A1 (Likelihood A, Impact 1) — red

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

B2 (Likelihood B, Impact 2) — red

Movement from prev Qtr	↑

Target Risk

C2 (Likelihood C, Impact 2) — amber

Target Reduction Date	6-12 mths

Risk Owner(s)

Chris Lee
(Ian Allwood)

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

• Risk of failing to meet statutory obligations and that service delivery impacted due to uncertainty in the budget planning process.
• Risk that settlement figures will not be as anticipated giving an element of uncertainty to any proposals from Cabinet during public consultation and beyond.
• Risk that savings identified as part of business as usual and efficiencies have not been robustly reviewed for achievability and will not deliver as planned.
• Risk that financial constraints and budget proposals result in unintended consequences such as increased instances of non-compliance and financial impropriety.
• Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa.
• Risk that Medium Term Savings are not identified in a coherent, strategic way which impacts on service delivery.
• The risk that the Council will not be able to react to adverse situations through a combination of poor imprudent planning and significant challenges such as increasing demands for services such as social services, education, roads etc.

Type(s) of Impact

• Service Delivery	• Stakeholder
• Reputational	
• Legal	
• Financial	

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

2019/20 and Medium Term
• 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 for greater level of savings to be delivered.
• The WG Budget is to be delayed until the third week of November resulting in a Provisional Settlement in late November, with the Final Settlement in February 2020.
• 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%.
• The Month 4 position identified a directorate overspend of £7.018 million.
• The MTFP set out in the 2019/20 Budget Report highlights an estimated Budget Reduction Requirement of £105m for the medium term (2020/21/-2023/24)
• Further diligence in respect to the rating of risk of each saving proposal is being undertaken but the responsibility for detail and achievability remains with the directorate
• The Council regularly reports in relation to its financial performance and monitoring
• The Wales Audit Office identified that the Council has a transparent and effective savings approach which supports financial resilience being achieved
• A financial snapshot is used to report the financial resilience of the Council and is reviewed 3 times a year and reported at Budget Report (Feb 19), Budget Strategy (Jul) and to Audit Committee

What we plan to do to meet target

2019/20 and Medium Term
• Where needed, further work being undertaken to identify any areas of further action in respect to budget saving proposals put forward for 2019/20. These proposals will be closely monitored during the year.
• Work commenced on developing options 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. The announcement of a delay in the provisional and final settlement will mean provisional settlement will be closely scrutinised in order to identify any risks of uncertainty in forecasting the final settlement which will be issued weeks before the Budget is proposed.
• Continue to maintain close alignment with objectives of the Corporate Plan and the Capital Ambition Delivery Team in order to ensure resources are allocated appropriately and that longer term financial savings are developed in enough time to be realised in the medium term.
• Continue to refresh assumptions at key stages as relevant information becomes available.

Linked Risks

Budget Monitoring (Control)

Key Indicators / Measures used to monitor the risk

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.
• Outturn vs Budget - Main budget lines under or overspend as a % of budgeted expenditure.
• Delivery of planned savings - Total (£) unachieved planned savings as a % of total (£) planned savings.
• 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.
• Council tax – 1) Council tax and other income as % of NRB 2) Council tax collection rates (in-year actual).
• 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.
• Frequency / timeliness of engagement with SMT/Cabinet. •Proportion of Savings Proposals in realised or at Delivering stage.
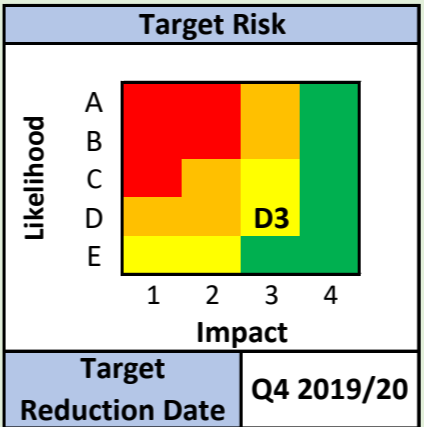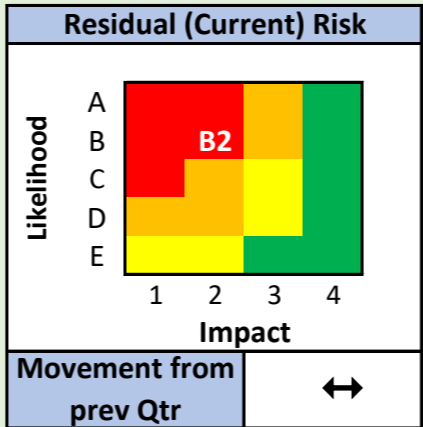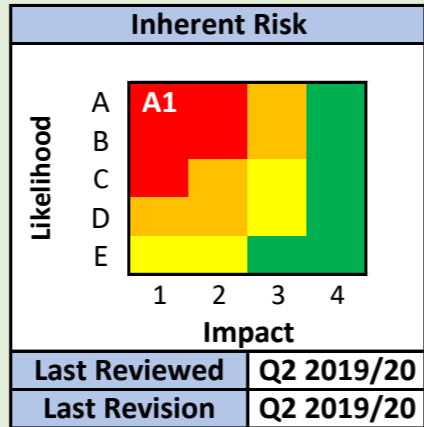
Non-completion of Statutory Building Equipment Maintenance

Description

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.

Inherent Risk

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Movement from prev Qtr	↔

Target Risk

Target Reduction Date	Q4 2019/20

Risk Owner(s)

Neil Hanratty

Councillor Russell Goodway
Investment & Development

Potential Impact(s)

Potential consequences of non-compliance with statutory maintenance:

• Fatalities or serious injuries
• Closure of part or whole of facilities with major disruption to service delivery
• HSE interventions and consequential actions including fines and prosecution;
• Significant additional expenditure requiring realignment of Corporate budgets;
• Temporary relocation of staff
• Temporary loss of operational service
• Invalidation of insurance policy
• Serious adverse impact on reputation
• Damage to fabric of building or other equipment

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

Contractor
• Statutory Planned Preventative Maintenance (PPM) undertaken by competent contractor. Consequential remedial work identified on test certificates.
• Improved statutory maintenance contracting arrangements in place in Qtr 1 inc. use of SFG 20 as specification for statutory obligations testing and new risk based specification for legionella management supported by RAMIS.
• FM competent person(s) review all test certificates, remedial work captured and communicated to client as necessary/applicable
• 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.

RAMIS IT Software
• RAMIS implemented across the Council with bi-monthly reporting on statistics to SMT;
• 500 Building Managers have received training in their responsibilities and use for the RAMIS system, including schools estates staff and Headteachers.
• Full time officer Administrating RAMIS, providing training and issuing reports from the system to all service areas to push compliance ratings up to a minimum of 80% set by SMT.
• 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.

Corporate Landlord Programme
• 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.

Statutory Obligation Compliance
• Continue to commission work to undertake required compliance testing (and works required) where Building Services has responsibility to do so, as defined on RAMIS
• 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.

What we plan to do to meet target

Statutory Obligation Compliance
• Continue to commission investigations / work to complete required compliance testing (and works required) in respect of 'gaps' in compliance identified by reports from RAMIS.

Landlord / Occupancy Agreement
• 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.
• Landlord occupancy principles established and reviewed for inclusion in draft non-schools handbook in Q2. Pilot scheme to be trailed through Economic Development Directorate in Q3 with roll out across the estate end of Q4.

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial
• Health & Safety
• Partnership
• Community & Environment
• Stakeholder

Linked Risks

Health & Safety

Key Indicators / Measures used to monitor the risk

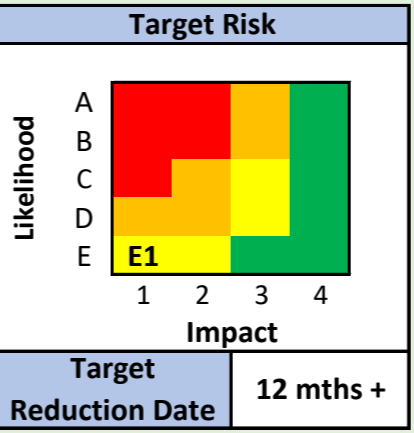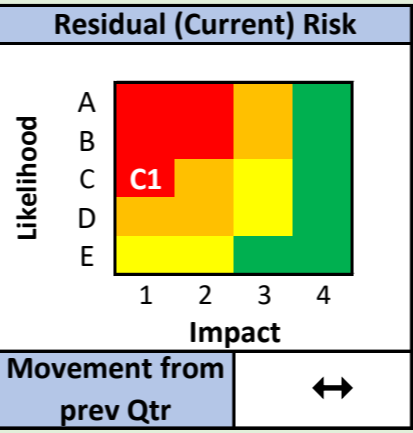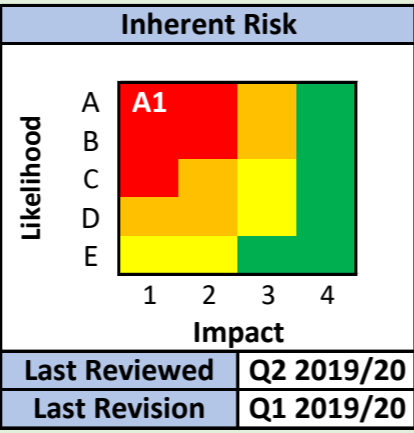Compliance stats from the Corporate Health & Safety Team.

Cyber Security

Description

There are 11 areas of potential risk within the National Cyber Security Centre cyber risk model. Of these, nine 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

Potential Impact(s)

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

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

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

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

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

Type(s) of Impact

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

Inherent Risk

Likelihood (A–E) vs Impact (1–4). A1 marked in red zone.

Last Reviewed	Q2 2019/20
Last Revision	Q1 2019/20

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4). C1 marked in red zone.

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4). E1 marked in green zone.

Target Reduction Date	12 mths +

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

Risk Owner(s)

Chris Lee
(Phil Bear)

Councillor Chris Weaver
Finance, Modernisation and Performance

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 will continue to be 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

- 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.

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

Budget Monitoring (Control)

Description

Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the unplanned drawdown of reserves.

Inherent Risk

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Movement from prev Qtr	↔

Target Risk

Target Reduction Date	12 mths +

Risk Owner(s)

Chris Lee (Ian Allwood)	Councillor Chris Weaver Finance, Modernisation and Performance

Potential Impact(s)

• Inability to balance spend against budget, for the financial year
• Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet corporate plan objectives
• Requirement to drawdown from General Reserves at the year end

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

• Clear financial procedure rules setting out roles and responsibilities for budget management are in place.
• In recognition of the quantum of savings and the risks posed a £3 million General Contingency was allocated in the Budget.
• The 2019/20 Directorate position at Month 4 reported a projected directorate overspend of £7.018m with an overall deficit position of £360k.
• The Corporate Director of Resources, Chief Executive and Cabinet Members hold challenge meetings and these will continue throughout 2019/20.
• Full financial monitoring processes is in place for month 3 to 11 of the financial year including achievement of budget savings with months 3 to 10 completed.

What we plan to do to meet target

Regular challenge session meetings held with directors, corporate directors and Chief Executive in order to ensure there is a response to both individual directorate positions and the overall Council position.

Type(s) of Impact

• Service Delivery	• Stakeholder
• Reputational	
• Legal	
• Financial	

Linked Risks

Financial Resilience

Key Indicators / Measures used to monitor the risk

• Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted
• Review of use of earmarked reserves and balances - Half Yearly
• Regular monthly reporting to SMT

Schools Organisation Programme (Band B)

Description

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.

Potential Impact(s)

• Opportunities to enhance the school estate, and transform education will be missed

• Insufficient secondary places in some areas of the City

• Insufficient places in ALN settings across the City, leading to costly placement in out of county & private settings

• School buildings that are not suitable for teaching and learning

• Further degeneration of school buildings & rise in asset management backlog

• Project cost and time overruns

• Risk that school ICT infrastructure fails in the short to medium term

Inherent Risk

Likelihood (A–E) / Impact (1–4): **A1** (red)

Last Reviewed	Q2 2019/20
Last Revision	Q1 2019/20

Residual (Current) Risk

Likelihood (A–E) / Impact (1–4): **C2**

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) / Impact (1–4): **C3**

Target Reduction Date	12 mths +

Risk Owner(s)

Nick Batchelar
(Richard Portas)

Councillor Sarah Merry
Deputy Leader &
Education, Employment & Skills

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

• 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.

• SOP reports for Fitzalan, Doyle Avenue and Willows have been considered by Cabinet under Band B.

• Robust governance model, in line with Corporate Landlord approach has been agreed.

• New Programme Director is in place and is establishing the capacity and capability requirements of the programme.

• Head Teachers & Chairs of Governors of those schools involved in Band B briefed on process and timescales.

• SOP Delivery Group, SOP Planning Group and Education Visioning Group are being established

• Technical feasibility and design work underway

• 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.

• Developing more robust management and monitoring processes for the asset improvement programme, including the three "D" category High Schools, Fitzalan, Cantonian and Willows.

What we plan to do to meet target

• Develop a high level SOP Strategy that outlines the short/ medium and long term aims of the whole programme

• 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.

• Continued active dialogue with Welsh Government and other professional parties to support progress and development

• Prioritise population data development to underpin accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward

• Ensure consistent monitoring and reporting of all risks to Schools Programme Board

• Develop an Education blueprint and ICT Strategy that aligns with Cardiff 2030

• Develop a much improved ICT system and framework for long term management of the education estate.

Type(s) of Impact

• Reputational	• Health & Safety
• Legal	• Stakeholder
• Financial	• Health and Wellbeing
• Social	• Sustainability

Linked Risks

Key Indicators / Measures used to monitor the risk

• Proportion of Priority 1a Schools Asset Improvement works completed in financial year, in accordance with the responsibilities of schools and corporate landlord (Corporate Plan).
• Timelines to deliver projects within the SOP programme.
• New key performance measures which are being developed as part of the overarching SOP Strategy.

Health & Safety

Description

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

Potential Impact(s)

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

Inherent Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4)

A1

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4)

C2

Movement from prev Qtr	↔

Target Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4)

D3

Target Reduction Date	6-12 mths

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
• Key Health and Safety Policy and Guidance subject to regular review and update
• RAMIS fully implemented covering statutory risk on all Council Premises
• Continuation of review of legionella controls across operational premises, particular attention to the cooling towers/air conditioning system at St David's Hall.
• Continued efforts in securing an appropriate venue to deliver UKATA accredited asbestos training to Council employees and contractors - remains an urgent requirement with a list of employees who require this training.
• Continuation of Asbestos Surveying programme - high risk premises targeted in 19/20.
• Risk Assessment Library piloted in Waste Services, now available for upload by Service Areas.
• HSE Enforcement (Street Scene) - Completion of high risk actions, support with installation of welfare facilities at the MRF, full time officer support remains in place.
• Share Point implemented, awaiting intranet link for H&S which will provide access to all Corporate H&S policy, guidance, templates and forms.
• New RAMIS platform developed, Cardiff information being transferred to the new system, to be rolled out to service areas in QTR 3.
• Inspection programme of construction projects in schools over the summer, audit report to be drafted and circulated in QTR3.

What we plan to do to meet target

• Roll out of the new RAMIS Platform to Service Areas, along with training sessions for technical departments and video links for building managers.
• Recruitment of a H&S Officer in the School Support Team to bring the service back to full capacity, satisfaction survey to be issued in QTR3.
• Continuation of programme of Asbestos Surveying and Fire Risk Assessments, but now utilising new RAMIS mobile applications which will automatically upload to the live system from site.
• Digital Risk Assessment Library to be rolled out across all services in QTR3.
• Continuation of Improvement action plan for Street Scene, Asbestos procedures and training to be implemented in QTR 3.
• Develop Support package for existing Community Asset Transfer properties.
• Dissemination of Condition Survey information to schools utilising the H&S Support Team.
• Asbestos Training venue must be secured in QTR3, due to the waiting list of training which must be delivered to maintain employees certification.

Type(s) of Impact

• Service Delivery
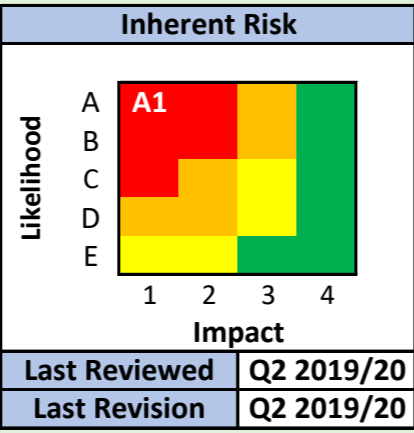• Reputational
• Legal
• Financial

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

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.

Inherent Risk

A1 (Likelihood A, Impact 1 — Red)

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

D1 (Likelihood D, Impact 1)

Movement from prev Qtr	↔

Target Risk

D2 (Likelihood D, Impact 2)

Target Reduction Date	6-12 mths
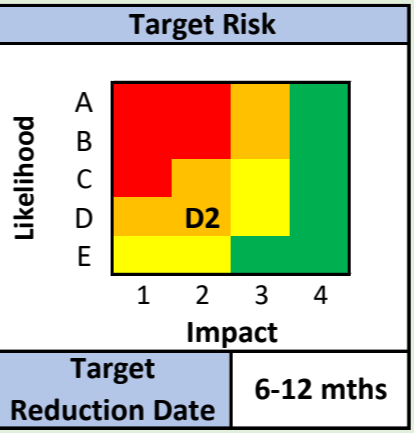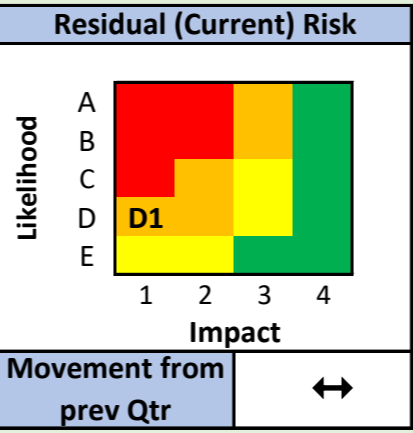
Risk Owner(s)

Chris Lee
(Vivienne Pearson)

Councillor
Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

Leads to the Information Commissioner issuing notices of non-compliance

These could consist of:

• A "Stop Now" Order which would mean that no personal data could be processes by the Council in its entirety
• An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery
• Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit
• Enforcement Notice requires immediate improvement action to be put in place
• Financial Penalty up to £17,500,000 for Higher Level Tier and £8,000,000 for Lower Level Tier breaches of the Data Protection Act.

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

• Suite of Information Governance Processes, Policies and Strategies in place and annually updated.
• Data Protection Officer in post in line with articles 37-39 of the GDPR.
• Information Governance/Data Protection Processes audited and gained Gold level of assurance as part of Internal Audit in March 2019 and Cyber Security Plus ISAME Accreditation process in March 2019. This has built on the last ICO Consensual Audit, which determined that the Council is considered to have a 'reasonable level of assurance' in place.
• Processes established for corporate handling of all Freedom of Information and Individual Rights Requests
• Data Security Incident processes in place and communicated to all staff together with formal reporting processes when required to the Information Commissioner.
• Information Governance Training Strategy in place and training provided to staff with access to electronic personal data
• Processes established through procurement and ICT acquisition processes for ensuring Data Protection Impact Assessments are completed if personal data is being processed, including Data Processing Agreement with third party contractors.
• All new standard Council contracts include a clause regarding 3rd Parties processing personal data and obligations in respect of Freedom of Information.
• Standard Data Processing Agreements in place which services are required to complete and sign with any third parties who process personal data on behalf of their service.
• A corporate Information Asset Register is held which details personal data assets held by each Council directorate.
• Service Level Agreements in place for contracted Data Protection Officer role to Rent Smart Wales, Cardiff Capital Region City Deal and the National Adoption Service as Cardiff Council is the Data Controller for these services
• Advice and assistance provided to collaborative services of the Educational Consortium, Vale, Valleys and Cardiff Regional Adoption Service and Shared Regulatory Service where Cardiff is not the Data Controller
• Advice, guidance support and the contracted role of the Data Protection Officer is provided to all Cardiff Schools to aid compliance within schools and governing bodies data controllership responsibilities.
• Advice and guidance is available to Directors and Lead Officers on the Information Governance aspects of Capital Ambition Programme.
• Corporate Retention schedule in place and updated annually in line with any legislative changes.
• Information Governance Maturity Model established to monitor risks against areas of information governance to feed into corporate risk status.
• The Digitalisation of Paper Records Strategy and associated business process changes is in place.
• Data Protection e-learning training released for completion by 31 March 2020 and compliance monitored up to that date by the Data Protection Officer and Directors
• SIRO has received the findings of the review of Information Security Board and a revised structure agreed
• The Record of Processing Activity is in place
• Records Storage Contract let and commenced

What we plan to do to meet target

• Individual Rights request processes to be reviewed to consider any opportunities available to improve compliance and streamline the Council's ability to handle requests.

• Monitoring the position in relation to International Transfers as a result of Brexit (deal or no deal) will continue until formal decisions are made in relation to Adequacy by EU Supervisory bodies

Type(s) of Impact

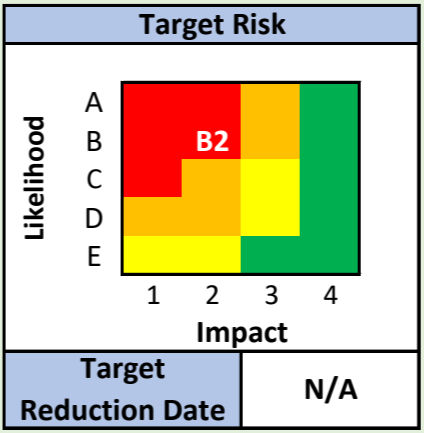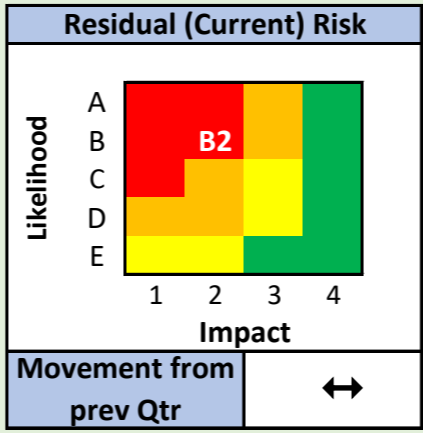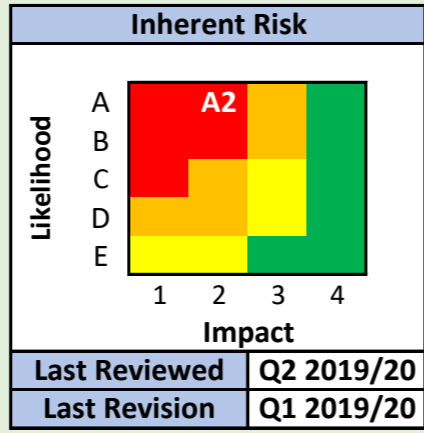|	
• Service Delivery	• Stakeholder
• Reputational	
• Legal	
• Financial	

Linked Risks

Key Indicators / Measures used to monitor the risk

• Suite of IG Indicators
• No. of ICO correspondence
• No. of FOI / SAR Requests
• No. of individuals trained on GDPR modules

Welfare Reform

Description

That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants 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.

Inherent Risk

Likelihood (A–E) vs Impact (1–4). Plotted: **A2**

	1	2	3	4
A		A2		
B				
C				
D				
E				

Last Reviewed	Q2 2019/20
Last Revision	Q1 2019/20

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4). Plotted: **B2**

	1	2	3	4
A				
B		B2		
C				
D				
E				

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4). Plotted: **B2**

	1	2	3	4
A				
B		B2		
C				
D				
E				

Target Reduction Date	N/A

Risk Owner(s)

Sarah McGill
(Jane Thomas)

Councillor Lynda Thorne
Housing & Communities

Potential Impact(s)

• Benefit claimants are priced out of the private rented sector market
• Private landlords stop renting to benefit claimants
• Private landlords leaving the rental housing market
• Social housing rents become unaffordable to some claimants, in particular those with large families
• Increased homelessness and demand for temporary accommodation
• Increased rough sleeping
• Increased rent arrears, increased evictions
• Redeployment / Severance for housing benefits staff
• Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties
• Increased council rent arrears could impact on HRA and lead to barriers to building additional affordable housing
• LA less likely to pre-empt those who are going to be affected by changes and therefore unable to put mitigation steps in
• Increase in poverty and child poverty, potentially an increase on demand of social services

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

• Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit and prevent eviction.
• 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.
• 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.
• 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.
• 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.
• 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.
• A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move.
• The Welfare Liaison team within the housing service is in place to assist tenants affected by the changes. Work has been carried out to identify those affected by the Benefit Cap and to advise them accordingly and to identify the most vulnerable families and award DHP.
• DHP process has been reviewed to ensure that all those who request a DHP are given budgeting, income maximisation and debt advice
• 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.
• 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.
• The Inclusive Growth Board and subgroups are coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected.
• Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate.
• Digital inclusion training and Universal Credit Support has been rolled out across all the new Community Wellbeing Hubs.
• 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.

What we plan to do to meet target

• Further additional resource has been agreed for supporting council tenants following the implementation of Universal Credit Full Service as rent arrears have increased significantly, staff have been recruited to assist with this and the new team is working well. Rent arrears procedure has been reviewed to include a more preventative and flexible approach and more assistance for more vulnerable tenants. After an initial sharp increase in rent arrears, the rate of increase has stabilised. This will be monitored over the coming months.
• Work has been undertaken to cost the potential risks of Universal Credit and this will continue to be updated as more information is known.
• Regular meetings are held with social housing providers to monitor and improve processes.
• DHP spend is being monitored carefully. Expenditure for 19/20 will continue focusing on the most vulnerable individuals, helping people with the transition into work and mitigating the risk of homelessness.
• Services for private landlords are being further developed to help prevent them withdrawing from the market.
• 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.
• 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
• Attendance at monthly meetings to discuss clients affected by Welfare Reform in order that early support can be offered.
• 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.
• 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.
• Dedicated phone line for landlords will mean easier contact with above team.
• 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.

Type(s) of Impact

Linked Risks

Key Indicators / Measures used to monitor the risk

Number of customers supported and assisted with their claims for Universal Credit
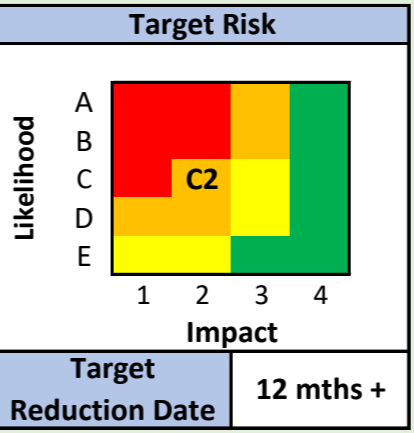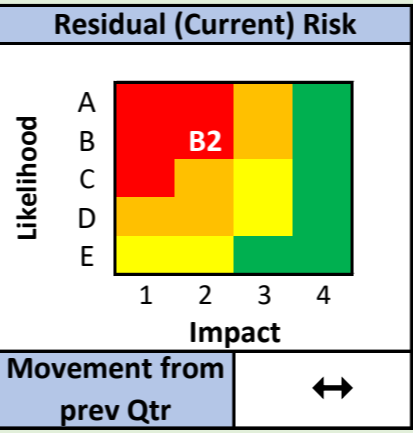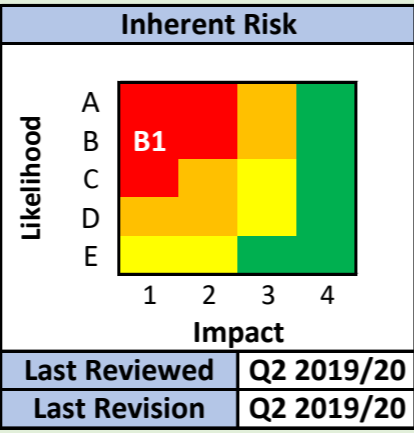Additional weekly benefit identified for clients of the city centre advise team

ICT Platforms Unsuitable / Outdated

Description

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.

Inherent Risk

A2 (red zone, Likelihood A, Impact 2)

Last Reviewed	Q2 2019/20
Last Revision	Q1 2019/20

Residual (Current) Risk

B2 (red zone, Likelihood B, Impact 2)

Movement from prev Qtr	↔

Target Risk

D3 (yellow zone, Likelihood D, Impact 3)

Target Reduction Date	12 mths +

Risk Owner(s)

Chris Lee
(Phil Bear)

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

- Loss of PSN services.
- Service delivery impacts from unreliable/unavailable ICT systems
- Cardiff seen as unable to deliver on aspirations
- Poor morale from frustrations with inability to deliver services.
- Potential for income losses from revenue collection impacts.
- Unable to meet delivery deadlines on both business as usual and transformation projects.

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

- Spending for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth is continually reviewed and reprioritised
- New system down analysis process in place to ensure that key pressure points are rapidly identified and fixed at minimum cost until full programme can be initiated. Recent issues with telephony have resulted in retargeting of some resources to focus on weak points now identified.
- New deliveries are all being designed for a 99.99% minimum uptime, with critical systems targeted at 99.999% (equating to less than 6 minutes per year)
- 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 Hal**l.**
- Corporate file storage systems replaced and new disk to disk backup option installed to improve performance and resilience
- Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced
- Additional load balancers purchased for application resilience in key systems
- Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority
- Completed refresh of existing SAP, thin client and virtual server farms
- Assessment of equipment required replacing to maintain PSN compliance
- Further revenue and capital investment in 2019-20
- Completed migration of VM infrastructure over to Pure Storage
- Completed migration of users from old remote access service to new solution

What we plan to do to meet target

- Development of lifecycle monitoring and clearer customer engagement.

- Pilot leasing scheme within schools to be considered for corporate desktop estate

- 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.

Type(s) of Impact

- Service Delivery
- Reputational
- Financial
- Stakeholder

Linked Risks

Key Indicators / Measures used to monitor the risk

- Annual independent testing of external and internal infrastructure via Information Technology Health Check (ITHC) for PSN compliance.

Coastal Erosion

Description

Breach of current defences resulting in widespread flooding
(current defences are ad hoc and are in a very poor condition)

Inherent Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4) — rating **B1**

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4) — rating **B2**

Movement from prev Qtr	↔

Target Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4) — rating **C2**

Target Reduction Date	12 mths +

Risk Owner(s)

Andrew Gregory

Councillor Michael Michael
Clean Streets, Recycling and Environment

Potential Impact(s)

• Continued coastal erosion along the coast threatening the Rover Way Traveller site and critical infrastructure including Rover Way and the Rover Way/Lamby Way roundabout

• Erosion to two decommissioned land fill sites, with risk of releasing landfill material into the Severn Estuary and having significant environmental impacts

• Flood risk to 1,116 residential and 72 non-residential properties over 100 years, including risk to life, property, infrastructure and services

• N.B. the predicted rates of erosion threaten the Rover Way Travellers Site and the adjacent electrical substation within 5 years, and further release of large volumes of unknown tip material from the Frag Tip into the Seven Estuary.

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

• 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.

Coastal Defence Scheme:
• The Flood Risk Management Team are undertaking detailed design for the coastal defence scheme.

• 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.

•The inundation risk will be improved by implementing the coastal defence scheme. The scheme will provide defence for a 1 in 200 year severe weather event, plus an allowance for climate change influence of 40%.

• 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)

• 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 in programmed for completion in May 2020.

• Work ongoing with Emergency Management to formulate interim measures.

What we plan to do to meet target

• Completion date for detailed design and Full Business Case (FBC) anticipated May 2020.

• Full Business Case to be submitted to Welsh Government for approval & funding confirmation

• Tender scheme promptly following support from Welsh Government. Contract will be developed as part of detailed design process to support tender process.

• Anticipated construction starting late 2020 - early 2021, subject to the above.

Type(s) of Impact

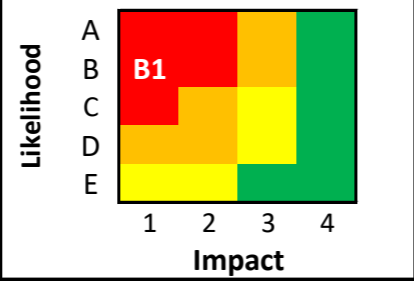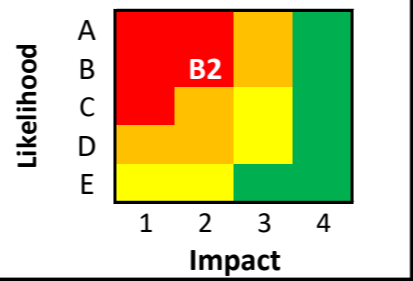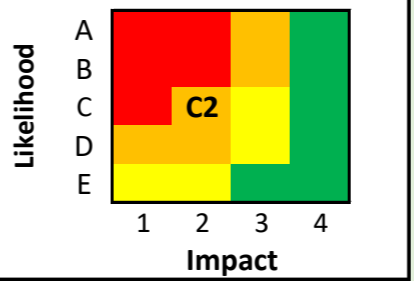|	
• Health & Safety	•Strategic
• Health	• Service Delivery
• Reputational	
• Financial	

Linked Risks
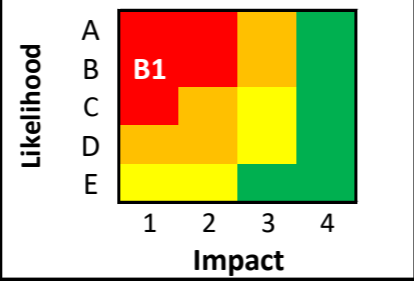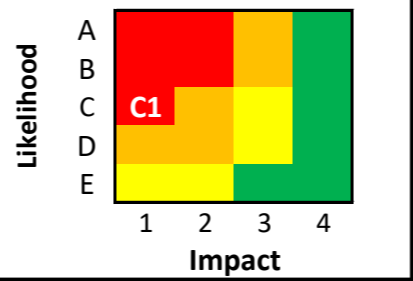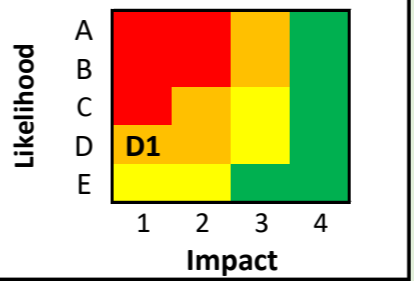
Climate Change & Energy Security (Corporate Risk)

Key Indicators / Measures used to monitor the risk

• Award of contract for detailed design and Full Business Case - achieved
• Completion of detailed design and Full Business Case by May 2020 & submitted to WG
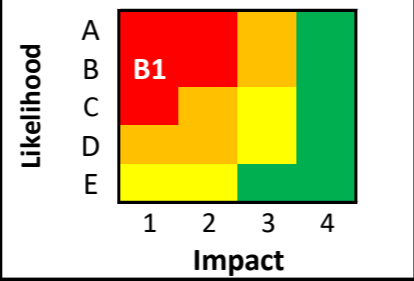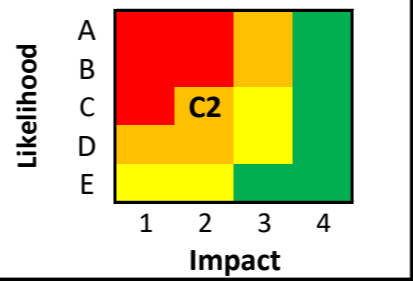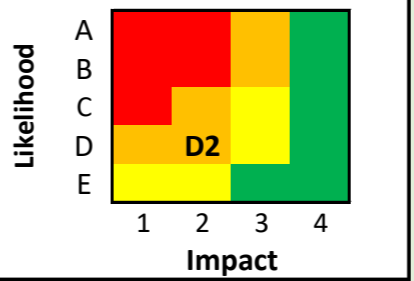• Delivery programme of coastal protection scheme

Waste Management

Description

Failure to deliver cost effective compliance with waste legislation including statutory recycling targets.

Potential Impact(s)

Financial
• Penalties and loss of grant support
• Continuing financial costs to service

Legal & Regulatory
 • Failure to comply with EU recycling waste directive, leading to sanctions, penalties or interventions

Strategic/ Reputational
• Reputational consequence with citizens and key stakeholders

Inherent Risk

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Movement from prev Qtr	↔

Target Risk

Target Reduction Date	12 mths +

Risk Owner(s)

Sarah McGill
(Matt Wakelam)

Councillor Michael Michael
Clean Streets, Recycling and Environment

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

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.

Wider Governance & Compliance:
• Targeted internal audits are identifying and improving governance and control across the service area (ongoing)
• New management and Corporate governance of tonnage projections and waste data flow reporting to support improving control and management of statutory reporting.
• Introduction of improvements in weighbridge and data systems holding data on waste movements, to improve data management and ease collation of data
• Cardiff Council has commenced a programme working in partnership with Welsh Government to develop a new Recycling Service Strategy and Implementation Plan.

Development of recycling plan for 19/20 optimising resources including considerations of statutory fines.
• 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 to improve recycling levels
• Media and communications taking place across Cardiff with focus on key areas for recycling improvement.
• Improving use of In-Cab system to improve service delivery through real time technology, optimisation of routes and identification of waste contamination
• Commencement of new education and enforcement programme to reduce contamination in recycling and garden waste.
• Significant volume of garden waste material has been identified at Roath Park and the service are working to move this material within the Welsh Water contract to improve recycling performance for 2019/20

Recycling Development:
• The Council's Recycling & 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.
• Robust analysis and review of business cases relating to the following waste collection & disposal operations:
  - Post sorting of general waste
  - Bottle and Glass expansion across the City
  - Hygiene (Absorbent Hygiene Products) from Municipal Solid Waste to Recycling
  - Trade Waste

What we plan to do to meet target

• City wide glass roll-out to be reviewed as part of the Recycling Services Strategy and Implementation Plan.
• Ongoing In-Cab technology implementation & training to improve reporting of contamination
• Targeted and tailored intervention to deal with contamination in hot spot areas across the City.
• Review the Waste & 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.
• Identification of opportunities such as garden waste at Roath Park to be prioritised to limit shortfall to recycling performance.

Wider Governance & Compliance
• Work is ongoing to review Waste Data Flow to ensure providing information in a timely manner
• Senior Management to have ongoing regular engagement and discussions with WG on Cardiff's Recycling Strategy and compliance with the WG Blueprint. Work is now progressing on looking at models for Cardiff - to be completed in May 2020

Type(s) of Impact

• Reputational
• Legal & Regulatory
• Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

• Monthly monitoring recycling % from waste data flow
• Monthly tonnage monitoring
• Monthly financial monitoring in each area of waste

Increase in Demand (Children's Services)

Description

Failure to effectively manage demand resulting in increase in number of children looked after and the service and financial pressures this presents.

Inherent Risk

B1 (Likelihood B, Impact 1)

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

C1 (Likelihood C, Impact 1)

Movement from prev Qtr	↔

Target Risk

D1 (Likelihood D, Impact 1)

Target Reduction Date	12 mths +

Risk Owner(s)

Sarah McGill

Claire Marchant

Councillor Graham Hinchey
Children & Families

Potential Impact(s)

• Family breakdown leading to children becoming looked after
• Growth in the number of children entering the looked after system and associated costs for the Authority
• Insufficient placements to meet need
• Children are less likely to achieve their potential and to be fully participating citizens
• Life chances for children are reduced
• Delays in issuing care proceedings because of existing capacity in both Children's and Legal Services
• Challenges in improving outcomes for children
• Challenges in effectively managing service and financial pressures
• Significant increase in demand for residential and foster care placements for children looked after resulting in increase in numbers living outside Cardiff

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

• Early Help Strategy
• Cardiff Family Advice and Support Service
• Information, Advice and Assistance functions (including Dewis Cymru)
• Locality working
• Interface Protocol for Children's Services with Children's Team Around Family (TAF) and Disability Team Around the Family (DTAF)
• Flying Start
• Rapid Response Service
• Adolescent Resource Centre
• Legal tracker
• Decision making panels established across the stages of the child's journey
• Direct Payments
• Young Carers Action Plan
• Families First Services recommissioned
• Signs of Safety implementation plan
• "Delivering Excellent Outcomes" Children's Services Strategy

What we plan to do to meet target

(Relevant DDP 2019/20 actions noted in brackets.)
• Improving Outcomes for Children Programme Board and project groups beneath it
• Children's Commissioning Strategy and Market Position Statement being developed to address placement quality and sufficiency (CP 12 - CS)
• Fostering project and residential care projects supporting delivery of the emerging needs from the Commissioning Strategy (CP 12 - CS)
• Partnership arrangements for delivery of Child and Adolescent Mental Health Service (CAMHS) to be reviewed (CP 5 - CS)
• Transformation and ICF proposals developed to enhance services at the edge of care and support proactive improvement (DP 21 - SS)
• Deliver a three year plan that combines service and financial planning for Adult and Children's Social Services (CP 24 - SS)
• Implement new senior management arrangements to ensure that we are able to meet the current and future challenges (DP 22 - SS)

Linked Risks

• Workforce Planning (Social Services)
• Safeguarding

Key Indicators / Measures used to monitor the risk

• 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

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial
• Community & Environment
• Stakeholder

Education - Schools' Delegated Budgets

Description
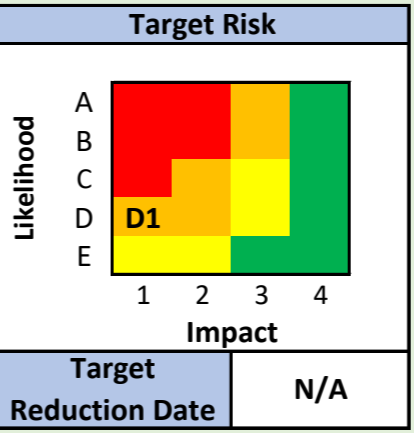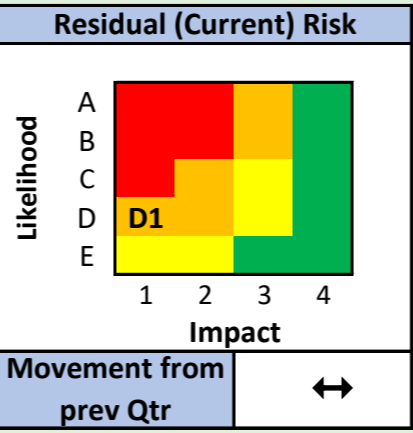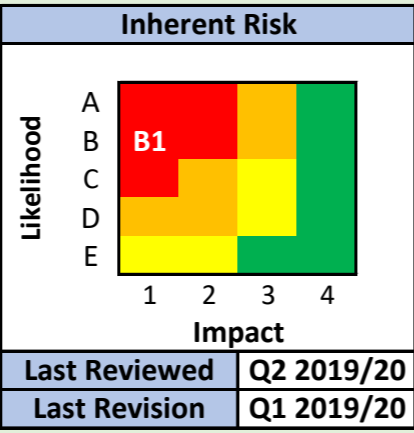
The number of schools with deficit budgets and/or the overall value of deficit budgets increases, or that those schools (particularly in the Secondary sector) with existing deficit budgets do not deliver agreed deficit recovery plans.

Inherent Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4)
B1

Last Reviewed	Q2 2019/20
Last Revision	Q1 2019/20

Residual (Current) Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4)
C2

Movement from prev Qtr	↔

Target Risk

Likelihood (A, B, C, D, E) vs Impact (1, 2, 3, 4)
D2

Target Reduction Date	12 mths +

Risk Owner(s)

Nick Batchelar (Neil Hardee)	Councillor Sarah Merry Deputy Leader & Education, Employment & Skills

Potential Impact(s)

• An overall deficit arising from schools budgets would count against the funding available for the Council

• Schools with deficit budgets may struggle to adequately fund the resources required to achieve the desired levels of educational attainment

• Schools with deficit budgets may struggle to adequately fund maintenance of school buildings creating an issue for other budgets, eg Capital/SOP Band B

• Schools that continually fail to address deficit budgets may ultimately require LA intervention, with a corresponding increase required in centralised resources

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

• The 2019/2020 delegated budget allocations were issued to schools in early March 2019 and monitoring arrangements put in place for those schools showing financial concern.

• Officers from Education and Financial Services work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible.

• Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.

• 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.

• 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

What we plan to do to meet target

• Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan. This may involve removing delegation from a Governing Body.

• Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula.

• Working with CSC to ensure that maximising value from constituent parts of Education Improvement Grant is secured and that there is clarity of allocation mechanism for 2019/20 and beyond

• A working group has been established to examine the medium term financial planning processes used by the LA and schools

• 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

Type(s) of Impact

• Reputational
• Legal
• Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

• School budget monitoring position
• Number of schools setting deficit budgets
• Final budget balances

Business Continuity

Description

Large scale incident/loss affecting the delivery of services.

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.

Inherent Risk

Last Reviewed	Q2 2019/20
Last Revision	Q1 2019/20

Residual (Current) Risk

Movement from prev Qtr	↔

Target Risk

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee

Councillor Huw Thomas
Leader

Potential Impact(s)

• **Health and Safety** – potential impact on staff and on the public relying on our most, time sensitive, critical services

• **Legal action** - Failure of key services could lead to Legal action against the council

• **Financial** - Failure of key services could led to significant financial cost both in terms of Ombudsman action and Enforcement action from regulatory bodies as well as individual legal action against the corporate body where service failure leads to legal action against us from private claimants

• **Reputational** - Impact on key services to the public could lead to significant reputational damage to the organisation

• **Stakeholder** – Impact on key stakeholders as result of failure

• **Service delivery** – Potential significant impact on service delivery to the public, impact of key services could lead to significant impacts to the public and the corporate body un delivering its services

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

• The Council has a BCM Champion who sponsors BCM at a strategic level

• We have an approved Business Continuity Policy which is aligned to ISO22301

• BCM toolkit is now available on CIS

• The Council has employed a Business Continuity Officer who is a qualified ISO22301 lead auditor

• The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with ISO22301. This was fully updated in March 2019.

• The Council has a 24 hour Incident Management structure for Gold and Silver Officers.

• 87 % of our most time sensitive activities (Reds) now have Business Continuity plans which have met, or are going through, audit. Work on the remaining plans is ongoing to close gaps and bring them up to date and in line with the corporate audit requirement

• Cardiff Council is a member of the Core Cities Business Continuity Group

• Internal Audit completed an audit of the Business Continuity Risk in September 2018 and the assurance statement was "Effective with opportunity for improvement"

• The Corporate Incident Management structure and many individual team Business Continuity Plans were used successfully in the two extreme snow events of March 2018

• Targeted specific actions were undertaken successfully for winter 2018 in order to enhance resilience around our severe weather response capability. Additional actions are planned for winter 2019 to further enhance resilience.

• The Business Continuity Officer is continuing to support Directorates in preparing for potential impacts around Brexit

What we plan to do to meet target

• Work with ICT to ensure our core infrastructure is as resilient as practical

• Work with the teams involved with looking at the potential of using alternative delivery models for council services. Identifying risks associated with alternative delivery models for specific services and recommend potential risk management solutions for implementation, to protect the delivery of our most critical services.

• The Business Continuity Officer is working to develop and enhance individual Directorate response capability to ensure Directorates are in a stronger position to respond to incidents which could impact on the Council and our most time sensitive activities

• The 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

Type(s) of Impact

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

Linked Risks

Brexit Risk

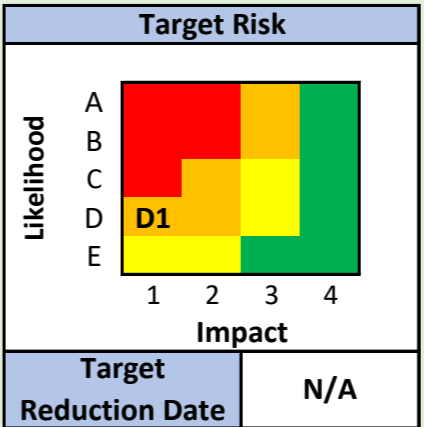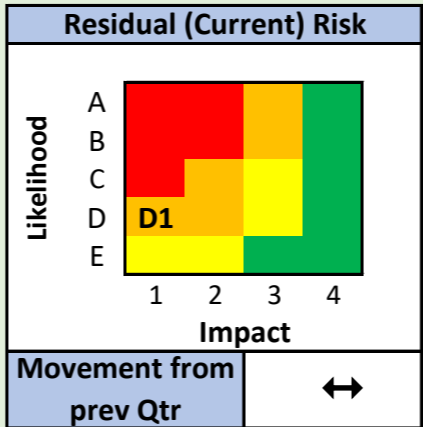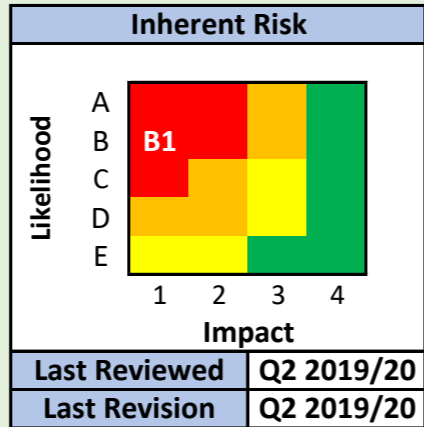## Key Indicators / Measures used to monitor the risk

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.

Safeguarding

Description

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

Inherent Risk

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Movement from prev Qtr	↔

Target Risk

Target Reduction Date	N/A

Risk Owner(s)

Councillor Huw Thomas
Leader

Councillor Susan Elsmore
Social Care, Health & Well-being

Councillor Graham Hinchey
Children & Families

Councillor Chris Weaver
Finance, Modernisation and Performance

Sarah McGill

Claire Marchant

Davina Fiore

Potential Impact(s)

• A child(ren) or adult(s) suffer(s) 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

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.
• Delivering Excellence 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 - adult safeguarding improvement plan developed.
• Safeguarding Self Assessments completed.
• Regular performance monitoring meetings with Children's and Adult Social Services.

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 to be launched during National Safeguarding Week in November 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).

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

Linked Risks

• Increase in Demand (Children's Services)
• Workforce - Social Services

Type(s) of Impact

• Service Delivery	• Partnership
• Reputational	• Community & Environment
• Legal	• Stakeholder
• Financial	

Delivering Capital Ambition Programme

Description

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.

Inherent Risk

Likelihood (A–E) vs Impact (1–4) matrix: **B1**

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4) matrix: **D2**

Target Risk

Likelihood (A–E) vs Impact (1–4) matrix: **D2**

Risk Updated	Q2 2019/20
	Q1 2019/20

Movement from prev Qtr	↔

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee
(Dean Thomas)

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

• Failure to deliver the Administration's Capital Ambition statement.
• Failure to respond to the key financial and organisational challenges that dominate the medium term planning horizon of the Council.
• Vital services will not be protected if we fail to find more efficient ways of working.
• Reputational impact if services do not meet increasing customer expectations.
• Public services are not delivered efficiently or effectively and fail to deliver joined up services to the public.
• Lack of a programme management approach to the delivery of these significant projects will result in lack of governance and failure to report project progress to relevant stakeholders in a timely manner.
• Reputational risk with our external regulators if the CADP is not delivering on time and does not have robust governance arrangements in place.

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

• Governance arrangements established and led by the Chief Executive. The Modernisation component of the Capital Ambition Delivery Programme is led by the Corporate Director Resources; and the Resilient Services component is led by the Corporate Director People and Communities.
• Disciplined approach, where risk assessment forms an integral part of the approach to change.
• Programmes and projects initiated with dedicated resources.
• Experienced gained by managing programmes and projects over a number of years, building on lessons learned.
• An extensive training programme for the Capital Ambition Delivery Team was undertaken during 2017/18 to ensure both project management and business analyst's skills and knowledge are enhanced.
• Building capacity and capability across the organisation through development opportunities and skills transfer.
• Appropriate engagement and stakeholder management, including Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit.
• Continued implementation of Programme & Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources.
• SMT acts as the Sponsoring Group and receives regular updates on programme and project progress. All Programme Briefs are submitted to SMT for discussion prior to them being signed off at the relevant programme board.
• All Programme Briefs have been signed off by SMT and the relevant programme boards.
• Project briefs have been developed for a number of projects within the CADP.
• Effective governance arrangements are now in place for the CADP. These arrangements are continually monitored and refined as and when required.

What we plan to do to meet target

• Monthly meetings are also taking place between the relevant SRO and the Portfolio Manager from the CADT. Project executives are invited to these meetings, as and when required, to provide project updates.

• A review of the programme will be undertaken as part of the overall review of Delivering Capital Ambition.

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

No key metrics/indicators but robust governance arrangements are in place to monitor the CADP.

Education Consortium & Attainment

Description

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.

Potential Impact(s)

• Learners do not reach their full potential
• Schools are not supported to improve
• Schools are not able to deliver the new curriculum
• Educational performance does not improve
• Impact on Estyn judgements
• Value for money - CSC
• Budget implications
• Intervention from WG

Inherent Risk

| Last Reviewed | Q2 2019/20 |
| Last Revision | Q2 2019/20 |

Residual (Current) Risk

| Movement from prev Qtr | ↔ |

Target Risk

| Target Reduction Date | 6-12 mths |

Risk Owner(s)

| Nick Batchelar | **Councillor Sarah Merry** Deputy Leader & Education, Employment & Skills |

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

• Results for 2018/19 show that Cardiff schools are performing well across a wide range of performance indicators at all Key Stages.
• Outcomes of Estyn inspections and Categorisation outcomes have also improved.
• Cardiff schools are working with CSC on the development and implementation of the new curriculum for Wales.
• 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.
• In 2018/19, the constituent Councils in the Central South Consortium (CSC) commissioned an external review of the CSC.

What we plan to do to meet target

• The post of Managing Director of CSC is being advertised in the Autumn
• The Directors of the CSC are working to develop an action plan in light of recommendations from the report on the external review

Type(s) of Impact

• Reputational
• Legal
• Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

KS4 2018/19 School Performance, Outcomes from Estyn Inspections up to 2020.
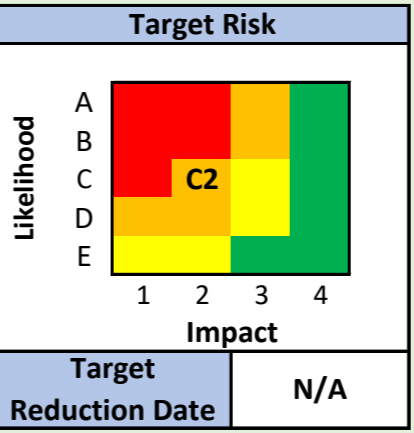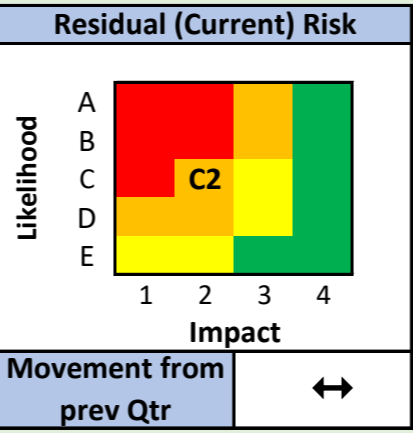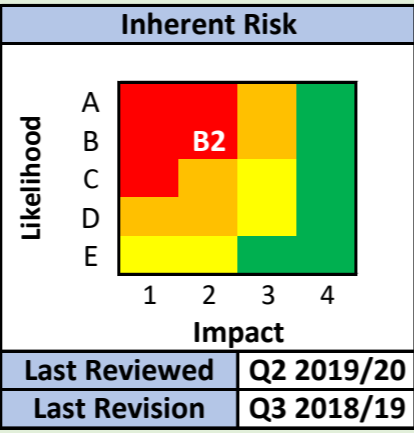
Legal Compliance

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.

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

Inherent Risk

Risk matrix: Likelihood (A–E) vs Impact (1–4). Rating plotted: **B2**

Last Reviewed	Q2 2019/20
Last Revision	Q3 2018/19

Residual (Current) Risk

Risk matrix: Likelihood (A–E) vs Impact (1–4). Rating plotted: **C2**

Movement from prev Qtr	↔

Target Risk

Risk matrix: Likelihood (A–E) vs Impact (1–4). Rating plotted: **C2**

Target Reduction Date	N/A

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

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial

Linked Risks
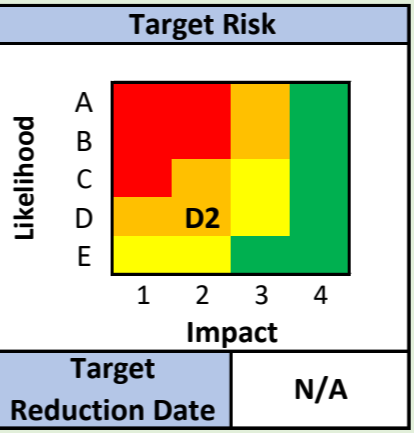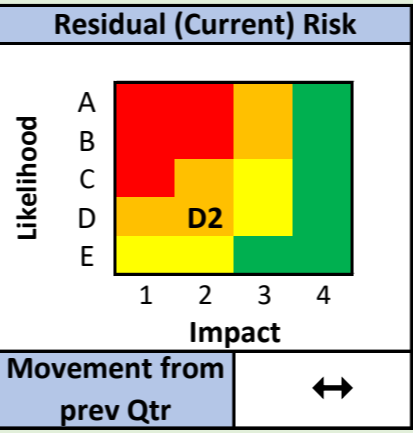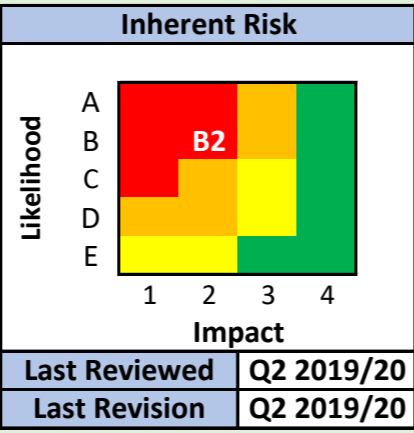
Key Indicators / Measures used to monitor the risk

Performance Management

Description

Performance Management arrangements are essential for discharging statutory requirements, delivering the administration's priorities and ensuring Council core business is delivered effectively. Weak corporate performance management arrangements heighten the risk of poor performance, service failure, financial overspend or legal non-compliance going unidentified, unchallenged and unresolved.

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.

Changes to the Statutory Performance Requirements likely to emerge via the Local Government Bill must also be reflected within the Council's performance regime.

Potential Impact(s)

• The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices

• Council unable to accelerate performance improvement as planned/desired

Inherent Risk

Likelihood (A–E) / Impact (1–4) matrix: **B2**

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Likelihood (A–E) / Impact (1–4) matrix: **D2**

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) / Impact (1–4) matrix: **D2**

Target Reduction Date	N/A

Risk Owner(s)

Sarah McGill
(Gareth Newell)

Councillor Chris Weaver
Finance, Modernisation and Performance

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

Further Strengthening of the Performance Regime

• Statutory Compliance: The requirements of Well-Being of Future Generations Act (Wales) 2015 are discharged and work with Welsh Government- facilitated by the WLGA- is being undertaken to understand new performance duties which will emerge as part of the forthcoming Local Government & Elections Bill (Wales).

• Corporate Planning: Building on work to strengthen the Corporate Planning Approach- recognised by the Chair of PRAP as an "unprecedented.... step forward in co-production of the Corporate Plan"- the scrutiny Performance Panel will be further involved in the process of reviewing corporate priorities and key performance measures.

• Performance Monitoring/Challenge: Self-Assessment process 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 on a quarterly basis. Agreed actions inform performance improvement activity over the next quarter.

What we plan to do to meet target

• Develop a Service Delivery Framework, which recognises the partnership component of the delivery arrangements and builds on the current Performance Framework

• Revise the Corporate Reporting Framework to:
- Bring the Statutory Annual Well-Being Report ('end of year report') forward from Month 7 to Month 4
- Include a Strategic Assessment of Performance within the Annual Report

Type(s) of Impact

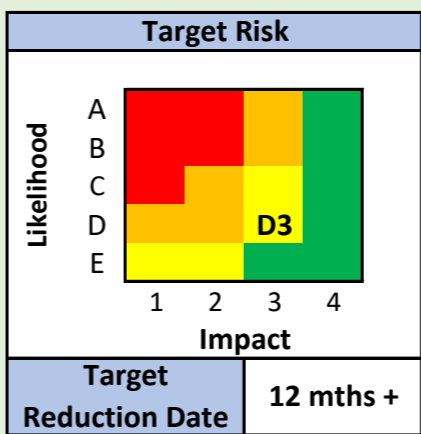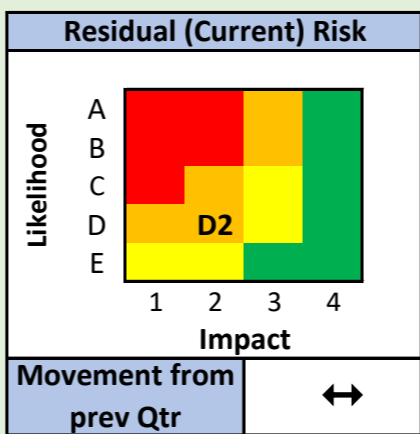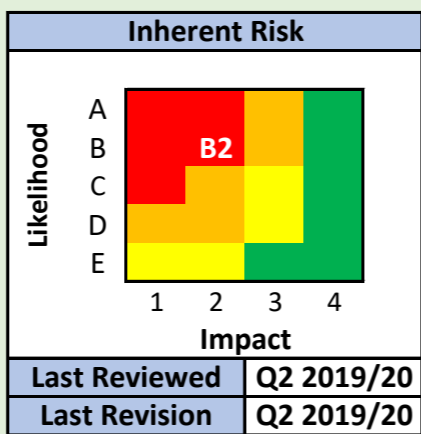• Service Delivery
• Reputational
• Stakeholder

Linked Risks

Key Indicators / Measures used to monitor the risk

Quarterly monitoring of corporate plan indicators (108) provide a pointer to organisational health and corporate performance. Corporate Plan indicators are also risk assessed as part of the performance monitoring process.

Fraud, Bribery & Corruption

Description

Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.

Inherent Risk

Last Reviewed	Q2 2019/20
Last Revision	Q2 2019/20

Residual (Current) Risk

Movement from prev Qtr	↔

Target Risk

Target Reduction Date	12 mths +

Risk Owner(s)

Chris Lee
(Ian Allwood)

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

• Increase in frauds and losses to the Council
• Reputational risk as more frauds are reported
• Increased time investigating suspected fraud cases impacting on capacity

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

• The Council communicates a zero tolerance approach to fraud, bribery and corruption.
• Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, Money Laundering Policy and Disciplinary Policy.
• Financial Procedure Rules and Contract Standing Orders and Procurement Rules and training.
• National Fraud Initiative data matching exercises in collaboration with the Cabinet Office and Wales Audit Office.
• Receipt and dissemination of fraud intelligence alerts from law enforcement agencies.
• Regular reports to the Section 151 Officer and Audit Committee and the Chief Executive.
• Audit Committee review of the risk management, internal control and corporate governance arrangements of the authority.
• Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control.
• Ongoing delivery of briefings to Schools on fraud and control risks.
• Cardiff Manager Programme includes session on risk management and compliance / control.
• Provision of disciplinary management information on DigiGOV.
• Mandatory disciplinary e-learning module for all managers to complete and a programme of mandatory e-learning modules and face-to-face training for Disciplinary Hearing Chairs, Investigating Officers and Presenting Officers.
• A Fraud Publicity Strategy is in place, to publicise the Council's approach to counter fraud work / sanction activity and explain the roles and responsibilities of key parties.
• Counter-Fraud and Corruption Strategy approved by Cabinet in July, and associated Fraud Awareness eLearning was rolled out to all pc users commencing July 2019.
• Face-to –Face Fraud Awareness training commenced for non-pc users in September 2019.

What we plan to do to meet target

• Participation in International Fraud Awareness week in November 2019
• Completion of face-to-face Fraud Awareness Training by the end of November 2019.
Investigation Team:
• Review of the Council's Money Laundering Policy to conclude the end of quarter 3 2019
• Review the SMAS responses from senior management in respect of fraud assurance and provide advice and guidance to support strong assurance
• To 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.
• To review and use the management information produced by HR in respect to the Disciplinary Policy.

Key Indicators / Measures used to monitor the risk

• Adherence to the NFI Security Policy and annual completion of compliance forms.
• Mandatory eLearning completion rates.
• Delivery of Fraud Awareness week campaign.
• Delivery of Policy updates.
• Delivery of mandatory investigating officer training and the note taker training.
• Criminal investigations conducted on behalf of Directorates.
• Provision of timely investigation advice, guidance and support to Directorates as required.

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial

• Stakeholder

Linked Risks

Workforce Planning

Description

Importance of forecasting and planning to build capability and capacity for the future is not fully recognised and embedded.

Inherent Risk

Likelihood / Impact matrix: **B2**

Last Reviewed	Q2 2019/20
Last Revision	Q1 2019/20

Residual (Current) Risk

Likelihood / Impact matrix: **C3**

Movement from prev Qtr	↔

Target Risk

Likelihood / Impact matrix: **C3**

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee
(Philip Lenz)

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

• Poor service delivery due to ineffective use of resources

• Lack of resources with the knowledge and skills the Council requires for future delivery

• Loss of resources and recruitment problems

• Poor morale

• Loss of experienced staff members including managers

• Reduce the likelihood of attracting high calibre managers to Cardiff Council

• Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care

• Risk of workforce not representing the communities to which services are delivered

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

• Workforce Strategy developed and agreed by Cabinet in April 2015 and programme developed to encompass a number of projects relating to the requirements around this risk, including Workforce planning, Learning & Development, PPDR review and Employee Voice.
• An updated Workforce Strategy for 2018-2021 was developed and agreed by Cabinet in July 2018.
• The Workforce planning project has a completed project brief identifying a number of key outputs
• Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development.
• Research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event - LGA/ Skills for Local Government hosted COP event.
• HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda.
• Children's Services have developed a Workforce Strategy for their area which is being reviewed on a regular basis.
• Resources have held a workshop which focussed on Professional and Technical areas to inform the key skills required for the Directorate going forward.
• Work has taken place with Cardiff and Vale College to roll out an Essential Skills diagnostic tool to frontline employees through Commercial Services
• A programme of NVQ study is been discussed with Cardiff & vale College and Commercial Services are coming forward with cohorts of employees to attend.
• Employee surveys carried out to identify areas where further employee engagement / development can be focused.
• Work has been carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local Authorities.
• Project brief for Workforce Planning provides full details of milestones and implementation dates.
• A review of the courses provided by the Cardiff Academy has taken place to ensure that these meet the skills requirements for the future.
• Workforce planning now embedded into the corporate planning process
• All Directorates completed workforce plans by December 2018 and are now working on the actions therein.
• A corporate process is in place for workforce plans to be updated by end of June each year as part of the business planning process
• The workforce plans forecast and plan to build capacity and capability for future requirements and the process is now embedded into the corporate planning process

What we plan to do to meet target

• The Council is reviewing its resourcing strategies to ensure that it is a considered employer for young people leaving school, college and universities

• As part of the Workforce Strategy Cabinet report, recruitment advertising to be reviewed and processes put in place to ensure that adverts are reaching hard to reach groups

• Work is taking place to identify areas where the employee group is not representative of the communities and actions identified of what could be done to improve this

• Actions being taken to improve the accessibility to Welsh language either through the recruitment process or through the training and development of current employees

• Development to take place of a corporately agreed skills set for the future delivery of services so that all employees and posts can be measured against this skill set to identify learning and development gaps

Type(s) of Impact

• Service Delivery
• Reputational
• Financial
• Stakeholder

Linked Risks

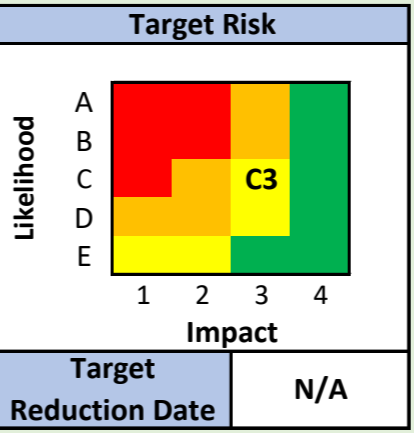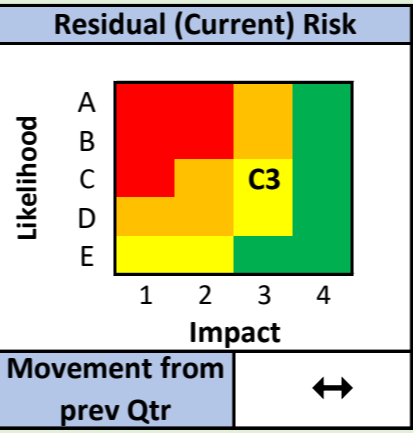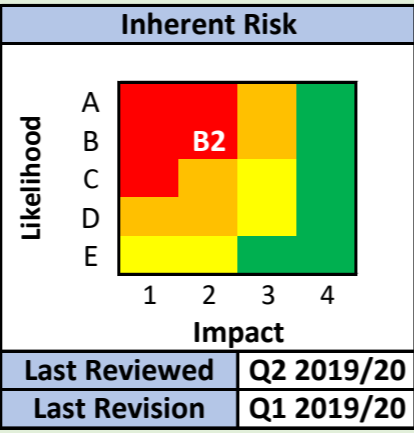## Key Indicators / Measures used to monitor the risk