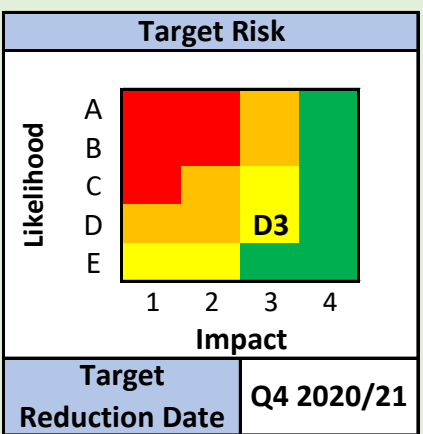
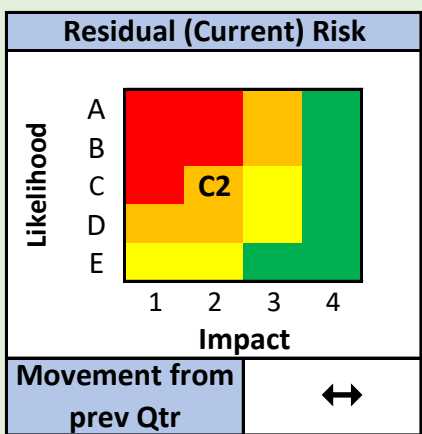
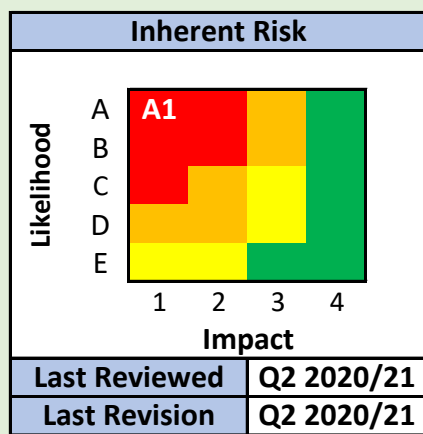


Non-completion of Statutory Building Equipment Maintenance

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.



Risk Owner(s)

Neil Hanratty

Councillor Russell Goodway
Investment & Development

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 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.
- 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. This will be circulated by end of Q4 2020/21 (COVID-19 delay).
- The 'One Front Door' approach was rolled out across the corporate estate by end of Q4 2019/20.

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

COVID-19

- During the COVID 19 period, the periodic gas and 6 monthly fire alarm testing has continued in all buildings. In the core buildings, and also Ty Storrie, Crosslands and Dominions Way Buildings, full statutory obligations testing has continued.

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

- Consult on draft Landlord/Occupancy Agreement template Q3 2020/21 and roll out in Q4 2020/21 (delayed from 19/20 due to COVID-19). 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 non-schools handbook which will be rolled out in Q4 20/21 (delay from 19/20 due to COVID-19).

COVID-19

- As WG restrictions are lifted and buildings re-open, the statutory obligation contractor will resume statutory obligations testing.

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

Type(s) of Impact

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

Linked Risks

Health & Safety

Key Indicators / Measures used to monitor the risk

Compliance stats from the Corporate Health & Safety Team.

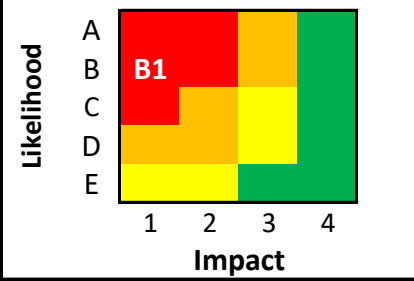
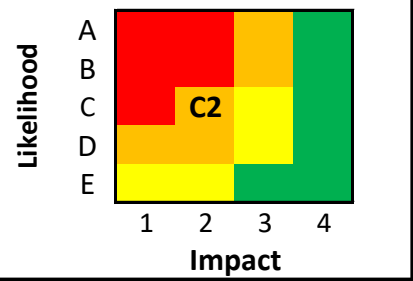
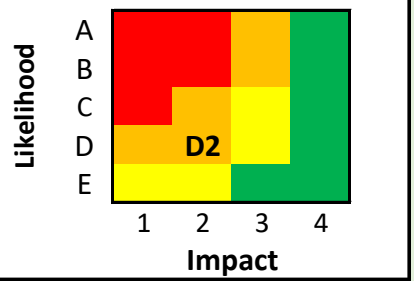
Health & Safety

| Description | Inherent Risk | Residual (Current) Risk | Target Risk | Risk Owner(s) | | | | | | | | | |
|---|--|-------------------------|---|---|--|---|------------------------|---|--|-----------------------|-----------|--|--|
| <p>Non Compliance with corporate health and safety arrangements to control key risks across the Council in line with statutory requirements.</p> | <p>A1</p> | <p>C2</p> | <p>D3</p> | <p>Chris Lee (Donna Jones)</p> | <p>Councillor Chris Weaver Finance, Modernisation and Performance</p> | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Last Reviewed</td> <td>Q2 2020/21</td> </tr> <tr> <td>Last Revision</td> <td>Q2 2020/21</td> </tr> </table> | Last Reviewed | Q2 2020/21 | Last Revision | Q2 2020/21 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Movement from prev Qtr</td> <td style="text-align: center;">↔</td> </tr> </table> | Movement from prev Qtr | ↔ | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Target Reduction Date</td> <td>6-12 mths</td> </tr> </table> | Target Reduction Date | 6-12 mths | | |
| Last Reviewed | Q2 2020/21 | | | | | | | | | | | | |
| Last Revision | Q2 2020/21 | | | | | | | | | | | | |
| Movement from prev Qtr | ↔ | | | | | | | | | | | | |
| Target Reduction Date | 6-12 mths | | | | | | | | | | | | |
| | <p>What we've done/are currently doing to achieve the Residual Risk Rating</p> <ul style="list-style-type: none"> • RAMIS - New platform roll out be completed in QTR 2 along with training webinars and video links to support navigation and use of the new platform. • Digital Risk Assessment Library - COVID-19 Building and Service risk assessments were to be uploaded in QTR2, this has been affected by the ongoing C-19 workload. • Completion of Improvement action plan for Street Scene, installation of employee welfare facility. • Re-launch of Asbestos Training - mix of virtual and practical training in line with COVID-19 Safety measures. • Due to the impact of COVID-19 Health and Safety resources have been repurposed towards ongoing infection control measures, including Guidance , procurement and issue of PPE and support of vulnerable staff who are at increased risk from the virus. Risk Assessments to support Restart & Recovery across the Council have been essential to ensure that WG and PHW advice is implemented and staff in or returning to work are not exposed to risk of contracting the virus. | | | <p>What we plan to do to meet target</p> <ul style="list-style-type: none"> • RAMIS - Continue to roll out new platform in Q3 2020/21, including reporting on performance. • Mandatory training of Headteachers in H&S/Building responsibilities to be considered in Q3 2020/21, workload permitting. • Digital Risk Assessment Library - COVID-19 Building and Service risk assessments to be uploaded in Q3/4 2020/21. • Completion of installation of fire suppression in Lamby Way MRF - Q3/4 2020/21, taking into account any local of national restrictions. • In Q3/4 2020/21 Produce training webinars for building management training for community organisations operating Council premises. • Condition Surveys School Buildings - Complete Dissemination of Condition Survey information to schools in Q3 2020/21. • Continue Asbestos Training - online and face to face in line with COVID-19 Safety measures. • Due to the continued pandemic H&S and OH resources will continue to be repurposed to support the workforce and limit the transmission of the virus in Council workplaces, as well as setting policy and guidance in relation to infection control and mental health and wellbeing support. | | | | | | | | | |
| <p>Potential Impact(s)</p> <ul style="list-style-type: none"> • Fatalities • Serious injuries • Prosecution – fines for corporate body and/or fines/imprisonment for individual • Civil Claims • Negative Publicity | | | | | | | | | | | | | |
| <p>Type(s) of Impact</p> <ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial | <p>Linked Risks</p> <p>Non-completion of Statutory Building Equipment Maintenance</p> | | <p>Key Indicators / Measures used to monitor the risk</p> <p>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.</p> | | | | | | | | | | |

Schools Organisation Programme (Band B)

| Description | Inherent Risk | Residual (Current) Risk | Target Risk | Risk Owner(s) | |
|---|--|--|---|--|---|
| <p>Failure to deliver on aspects of the School Organisation Programme, which is significant in value and complex. The programme consists of Band B (£284m) 21st Century Schools, asset management improvement work, ICT and sufficiency projects. The programme of work spans across a number of directorates, requires significant capacity and has significant capital spend.</p> | <p>Last Reviewed Q2 2020/21 Last Revision Q1 2020/21</p> | <p>Movement from prev Qtr ↔</p> | <p>Target Reduction Date 12 mths +</p> | <p>Nick Batchelar (Richard Portas)</p> | <p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p> |
| <p>Potential Impact(s)</p> <ul style="list-style-type: none"> • Opportunities to enhance the school estate, and transform education will be missed • Insufficient secondary places in some central and north east 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 and does not support the new curriculum • Risk that in current situation, learners do not have access to ICT equipment to support distance learning | <p style="text-align: center;">What we've done/are currently doing to achieve the Residual Risk Rating</p> <ul style="list-style-type: none"> • 21st Century Schools Band B funding bid was submitted to Welsh Government in July 2017 and the Strategic Outline Case for £284m was approved in November 2017. Two Cabinet Reports in October and December 2018 outlined the priorities for this second phase of funding. SOP reports for Fitzalan, Doyle Avenue and St Mary the Virgin have been considered by Cabinet under Band B. Progression of these schemes and others have been delayed until October due to COVID-19. A review of Band B is underway to assess the budget shortfall and achieve maximum value for money with the funds available. • Discussions with developers and contractors are taking place around capacity to deliver projects in light of COVID-19 clauses. • Work is ongoing to make sure that all learners have access to digital devices, network and infrastructure to support mobile and distance learning. • Robust governance model, in line with Corporate Landlord approach is in place and is supporting consistent decision making. • The post of Programme Director has been approved by Cabinet to make permanent and the postholder is establishing the capacity and capability requirements of the programme. • 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. • Procurement is underway for ICT infrastructure and devices that will support teaching and learning. | | | <p style="text-align: center;">What we plan to do to meet target</p> <ul style="list-style-type: none"> • Develop a high level SOP Strategy that outlines the short/ medium and long term aims of the whole programme. The SOP Strategy will be underpinned by the ongoing Band B review. • Strengthening of the capacity of the SOP team critical to ensuring effective delivery of the different elements of the programme. The SOP team are overseeing Hub childcare provision that was put in place following closure of schools and supporting Admissions Appeals. Developing capacity includes ensuring that corporate colleagues in departments including legal, strategic estates, capital projects, ICT, planning and highways and transportation are available. • Ensure that SOP reports are complete and ready for September and reports are scheduled in a sustainable throughout the next year. • 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. • Continue to move forward with digital projects to support distance and mobile learning and embed into a long term and sustainable model. | |
| <p>Type(s) of Impact</p> <ul style="list-style-type: none"> • Reputational • Legal • Financial • Social • Health & Safety • Stakeholder • Health and Wellbeing • Sustainability | <p style="text-align: center;">Linked Risks</p> | | <p style="text-align: center;">Key Indicators / Measures used to monitor the risk</p> <ul style="list-style-type: none"> • 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. | | |

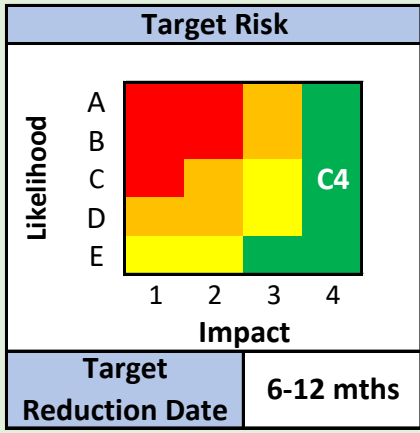
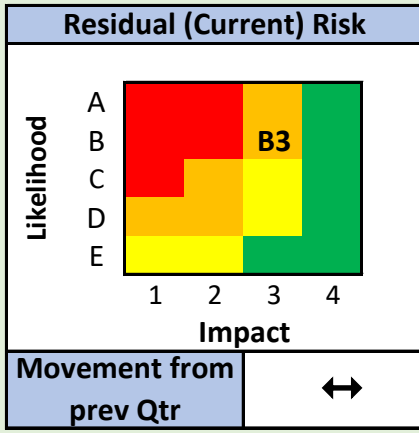
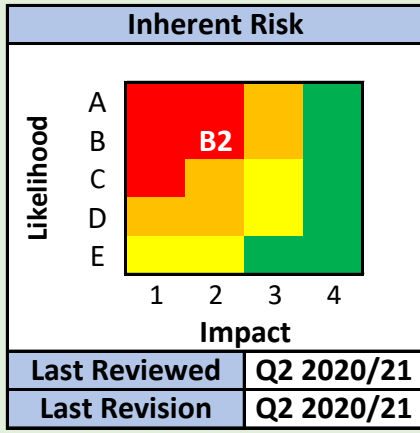
Education - Schools' Delegated Budgets

| Description | Inherent Risk | Residual (Current) Risk | Target Risk | Risk Owner(s) | |
|---|---|--|--|--|--|
| <p>The number of schools with deficit budgets and/or the overall value of deficit budgets increases, or that those schools (particularly in the Secondary sector) with existing deficit budgets do not deliver agreed deficit recovery plans.</p> |  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p> <p style="text-align: center;">Last Reviewed Q2 2020/21 Last Revision Q2 2020/21</p> |  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p> <p style="text-align: center;">Movement from prev Qtr ↔</p> |  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p> <p style="text-align: center;">Target Reduction Date 12 mths +</p> | <p style="text-align: center;">Nick Batchelar (Neil Hardee)</p> <p style="text-align: center;">Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p> | |
| | | What we've done/are currently doing to achieve the Residual Risk Rating | | What we plan to do to meet target | |
| | | <ul style="list-style-type: none"> The 2020/21 delegated budget allocations were issued to schools in early March 2020 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 A working group has been established to examine the medium term financial planning processes used by the LA and schools The 2020/21 delegated budget allocations were issued to schools in early March 2020 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 A working group has been established to examine the medium term financial planning processes used by the LA and schools For the 2020/21 financial year, seven schools have deficit budgets, representing a reduction on the figure for the previous year. Of those seven, four had deficit budgets in 2019/20. Of note is the fact that three high schools emerged from longstanding deficit positions, setting balanced budgets in 2020/21. As at 31st March 2020, 18 schools had a deficit balance, compared to 10 schools who applied for a deficit budget at the start of the financial year. However, a number of these deficit balances were not material and do not necessarily present a cause for concern. In addition, some schools that brought forward large deficit balances into 2019/20 have demonstrated significant progress in reducing the level of deficit held at the end of the financial year. | | <ul style="list-style-type: none"> Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan. This may involve removing delegation from a Governing Body. Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula. Working with CSC to ensure that maximising value from constituent parts of Education Improvement Grant is secured and that there is clarity of allocation mechanism for 2019/20 and beyond 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 | Linked Risks | | Key Indicators / Measures used to monitor the risk | | |
| <ul style="list-style-type: none"> Reputational Legal Financial | <p>Linked risk to Covid 19 issues particularly with regard to decrease in income, impact on grants and inability to manage staffing changes.</p> | | <ul style="list-style-type: none"> School budget monitoring position Number of schools setting deficit budgets Final budget balances | | |

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.



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

- The performance of Cardiff schools has shown notable improvement over the past five years and reflects a focus on education as a key component of Capital Ambition. Results for the academic year 2018/19 show that Cardiff schools performed well across a wide range of key performance indicators at all key stages. This includes strong performance in Key Stage 4 when compared to the Central South Consortium and Welsh averages.
- Given the decision to cancel examinations this summer as a result of the pandemic, the WJEC have developed a process which allows grades to be based on Centre Assessment Grades and Rank Orders which have been submitted by teachers/ lecturers.
- On the 17th August, the Minister for Education in Wales confirmed that A-Level, AS, GCSE, Skills Challenge Certificate and Welsh Baccalaureate grades in Wales will be awarded on the basis of Centre Assessment Grades.
- Schools opened full time to all pupils from September 14th.
- CSC Continuity of Learning guidance including isolating groups scenarios published 9th October 2020. Webinars to facilitate sharing of good practice across schools.

What we plan to do to meet target

- The Joint Committee of CSC will determine what follow up actions will be taken in light of any recommendations from the report.
- Given the decision to cancel examinations this summer as a result of the pandemic, the WJEC have developed a process which allows grades to be based on Centre Assessment Grades and Rank Orders which have been submitted by teachers/ lecturers.
- On the 17th August, the Minister for Education in Wales confirmed that A-Level, AS, GCSE, Skills Challenge Certificate and Welsh Baccalaureate grades in Wales will be awarded on the basis of Centre Assessment Grades.
- 28th August: WG commissioned an independent review of the arrangements for awarding grades for the 2020 summer exam series, and considerations for 2021. Report and recommendations due December 2020.
- WJEC November 2020 and January 2021 examinations currently due to go ahead as planned
- WJEC have published GCSE and AS/A Level subject adaptations booklets for assessments in summer 2021.
- In addition, the Summer 2021 provisional exam timetable has been published including a contingency period starting from end of June 2020.
- CSC Improvement Partners are supporting schools in their development of Teaching and Learning (including Blended learning) for their own contexts.
- Timelines for Curriculum for Wales 2022 are currently unchanged.

- 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

Type(s) of Impact

- Reputational
- Legal
- Financial

Linked Risks

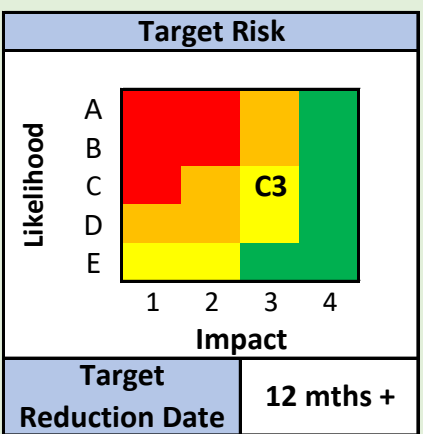
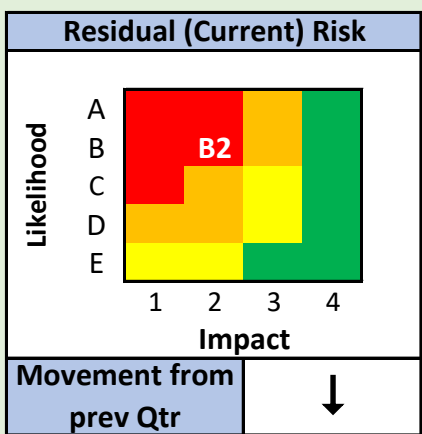
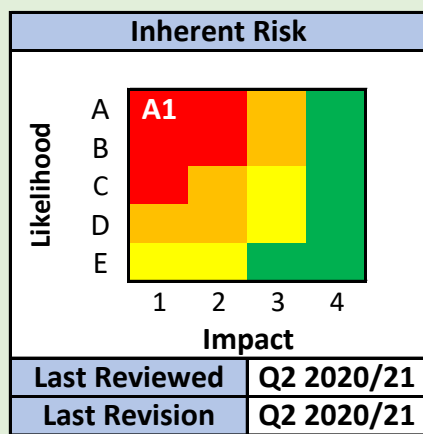
Key Indicators / Measures used to monitor the risk

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

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.



Risk Owner(s)

Andrew Gregory
(Jason Bale)

Councillor Caro Wild
Strategic Planning & Transport

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

Monitoring – Update 2020, increased the non-automatic monitoring sites in Cardiff which monitor levels of nitrogen dioxide (NO2) to 111 locations. Included in this data are 15 schools across the City, plus TRO projects at schools to monitor impact of pilot projects on air quality around schools.

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. Air Quality has seen a significant improvement as a direct impact from COVID 19 and the strict lock down measures in the early part of the outbreak, Ongoing recovery measures such as the closure of Castle Street has enabled the maintenance of the reduced air quality concentrations. In other areas levels have increased, but still remain below pre COVID concentrations. However it must be noted that there are numerous factors which will influence the results especially meteorological conditions.

- State Aid issues around Bus Retrofit Scheme completed and scheme was approved by Commission in August. Following completion of all application and terms and conditions scheme will launch 1st October 2020
- Ph1 City Centre West scheme (Wood St & Central Square) commenced.
- Phase 2 Castle Street Tender has been suspended owing to the on going internal discussions with Cabinet on whether to further enhance this scheme. Any change to the final Castle St design will require formal approval from Welsh Gov and the clean air plan would require further modification and re submission including additional modelling both transportation and air quality dispersion.
- Real-time monitor installed and connected to electrical supply on Castle Street in late august. Commission of connection and meter age means station will be operational from Mid October. purchased and awaiting installation availability due to COVID restrictions.
- 5 indicative real time monitors installed on Castle Street (temporary), Westgate Street, Lower Cathedral Rd, Tudor Street and North Rd. Data is recorded every 15 minutes. Working with web team to develop public visual display for Council website.
- Awaiting decision on revised Taxi Scheme prior to launch.

What we plan to do to meet target

- 'Implement Clean Air Plan - Implement package of measures detailed in Final Plan, as per agreed plan and programme, following successful WG funding award.
- Submit proposals to WG on the requirements of assessing modifications to the Castle Street Scheme as approved by cabinet. Will require further modelling and assessment of the scheme and a revised Clean Air Plan produced. Will require ongoing dialogue with WG, and their expert panel.
- Working with consultants to develop evaluation plan of air quality improvements to show impact of measures and that compliance will be achieved.
- Work with Public Health Wales to quantify future health benefits and improvements from reduced emissions/ NO2 concentrations
- 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. The strategy includes measures that will likely provide further AQ improvements including AQMAs. The roll out of these measures have been delayed by COVID and are dependent on additional funding sources being available through any appropriate grant bidding etc.
- Pilot project for implementation of Non Idling Zones, targeted around schools.
- Living Walls and other Green Infrastructure
- Progression of EV Infrastructure and Council Fleet working with CTS.
- Air Quality Planning Guidance
- Schools Active Travel
- Behavioural Change Promotion, Car Free Day, Clean Air Day etc.
- Expansion of Real-time monitoring network & display/sharing of data linked to SMART Corridors Project

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

Type(s) of Impact

- Health
- Regulatory
- Financial
- Strategic
- Reputational

Linked Risks

Further delays to City Centre Schemes and further impacts from further outbreaks/ waves from COVID.

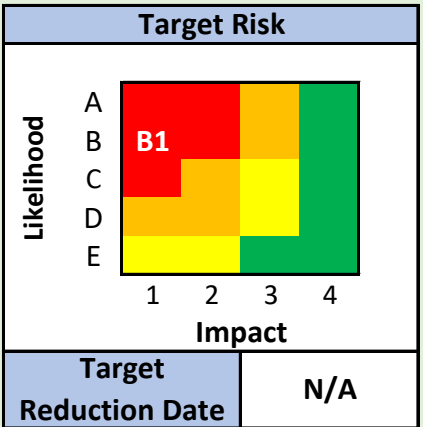
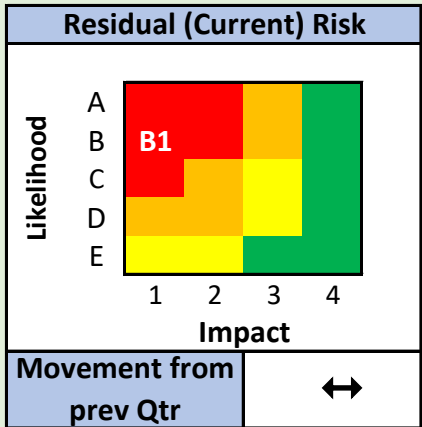
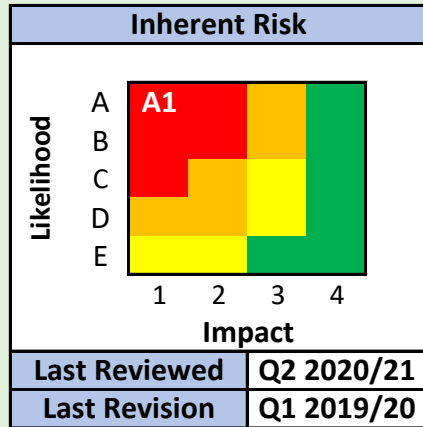
Key Indicators / Measures used to monitor the risk

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

City Security

Description

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



Risk Owner(s)

Chris Lee
(Isabelle Bignall)

Andrew Gregory

Councillor Huw Thomas
Leader

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

- All existing identified high-risk, crowded places have been formally assessed
- Some crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge
- CONTEST Protect/Prepare Task & Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'
- The work done in the city to address security concerns has been predominantly focused on the provision of physical assets to mitigate against the threat of hostile vehicles
- Protected as at Q1 2019/20**
- Principality Stadium, St Mary Street, Queen Street, St David's Dewi Sant, Cardiff Bay
- The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters
- Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services & Cardiff Council provide Project Argus and EVAC/Griffin training across the city to raise awareness for likely impacts associated with major incidents and in particular, terrorist attacks. The sessions also cover the support likely to be immediately available from the emergency services and Cardiff Council, the practical and simple preparations people/organisations can make prior to an incident occurring to help themselves manage and recover from its impacts.

What we plan to do to meet target

- The CONTEST Protect/Prepare Group will continue to monitor and review the city's Hostile Vehicle Mitigation scheme to ensure it is fit for purpose
- The CONTEST Protect/Prepare Group will give a status report to the Cardiff CONTEST Board
- The CONTEST Board will continue to try to identify external funding sources/opportunities from Welsh Government and UK Central Government to conclude scheme and appropriately mitigate the risk
- A holistic security strategy for the city is being developed through the city's CONTEST partnership mechanisms. This strategy will extend the perspective of the city's security beyond hostile vehicle mitigation to incorporate a range of security measures, including the continuing development and agglomeration of the city's CCTV and the deployment of new technological solutions.
- The security strategy will allow partners to be more responsive to emerging funding opportunities
- Identify any potential routes for further funding to enable us to continue the Hostile Vehicle Mitigation (HVM) programme of delivery. Cost estimate to complete City Centre and Bay is £2.5-£3.0M. This will complete the recommended improvements indicated as high risk identified by CONTEST Protect/Prepare group.

Potential Impact(s)

Immediate / Short-Term

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

Ongoing / Longer Term

- Reputational risk due to a public perception Cardiff is an unsafe place
- Area viewed as a risk for potential future business investment.
- Inability to attract major future national and international events (political, sporting etc.)
- Increase in demand for Council services/support for all affected.
- Current economic climate to reduce the effectiveness of any recovery/regeneration of the area.

Type(s) of Impact

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

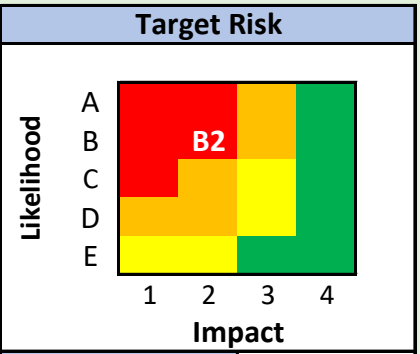
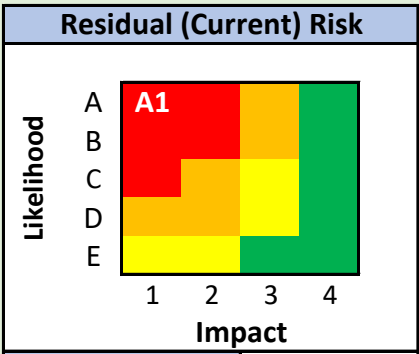
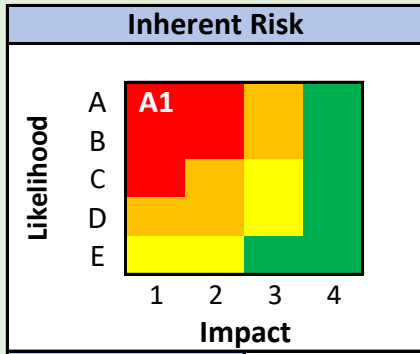
Linked Risks

Key Indicators / Measures used to monitor the risk

- National Threat Level and period at level (*increased to Severe as at November 2020*)
- No of 'Crowded Places' not protected to PAS 68/69 level

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.



Risk Owner(s)

Andrew Gregory

Councillor Michael Michael
Clean Streets, Recycling and Environment

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
 - Inconsistent energy supply
 - Increased costs
 - Inability to deliver public services
 - Decrease in economic output
 - Disruption to the supply of utilities
 - Increased fuel poverty

Last Reviewed Q2 2020/21
Last Revision Q1 2020/21

Movement from prev Qtr ↔

Target Reduction Date 12 mths +

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

The Council has declared a Climate Emergency.

The following specific risk areas have been identified:

- COASTAL EROSION (see separate tab for details)
- FLOODING
- EXTREME WEATHER
- ENERGY SECURITY & DECARBONISATION
- BIODIVERSITY

What we plan to do to meet target

- Develop strategic response to the Climate Emergency Declaration to incorporate carbon neutral target. First draft of One Planet Cardiff in partnership with Cabinet Office is being drafted for presentation to Cabinet in **September** 2020.
- COASTAL EROSION (see separate tab for details)
- FLOODING
- EXTREME WEATHER
- ENERGY SECURITY & DECARBONISATION
- BIODIVERSITY

- 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

Climate Change - Biodiversity

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.

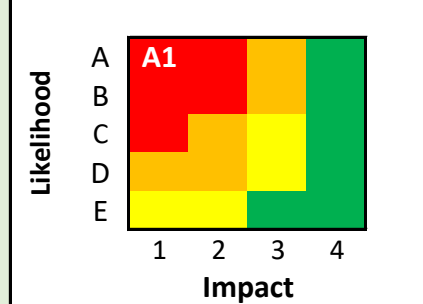
Potential Impact(s)

- Loss of biodiversity leads to reduction in ecosystem resilience, and reduction in ecosystem resilience will compromise the provision of ecosystem services. These are the services or benefits which we gain from the natural environment.
- Ecosystem services include climate change mitigation and adaptation.
- Climate change mitigation includes the sequestration and storage of carbon by plants, especially long-lived species such as trees. Reduction of this ecosystem service makes it harder to reduce net carbon emissions. Annually Cardiff's trees (not including other aspects of green infrastructure) provide ecosystem services worth £3.31 million, of which £1.9 million is in carbon storage and sequestration (iTree Study, Sept 2018).
- Climate change adaptation services include storm water attenuation by vegetation and reduction of surface water volume through evapotranspiration
- Trees, green walls and green roofs allow cooling and shading, thereby mitigating the urban heat island effect which may become more prevalent with a warmer climate.
- Hotter summers also increase risk of aerial pollution through air stagnation, and green infrastructure can remove certain pollutants from the air as well as having a cooling effect.
- The National Priorities of the WG Natural Resources Policy include 'Delivering Nature-based Solutions'. Failure to ensure protection of biodiversity and ecosystem resilience risks failure to deliver these nature-based solutions, which include climate change mitigation and adaptation.

Type(s) of Impact

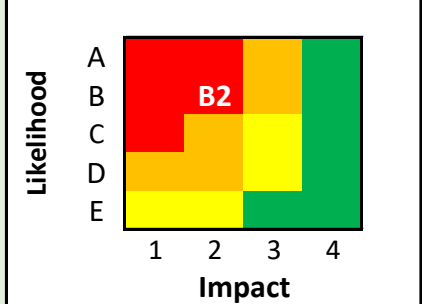
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| <ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial | <ul style="list-style-type: none"> • Health & Safety • Partnership • Community & Environment • Stakeholder |
|--|--|

Inherent Risk



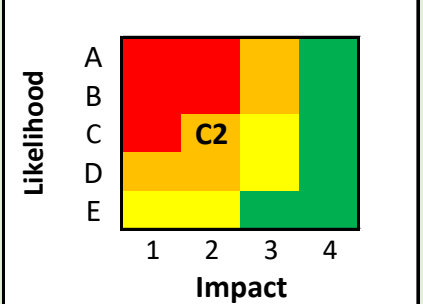
Last Reviewed Q2 2020/21
Last Revision Q2 2020/21

Residual (Current) Risk



Movement from prev Qtr ↔

Target Risk



Target Reduction Date 12 mths +

Risk Owner(s)

| | |
|--|---|
| <p>Andrew Gregory (James Clemence/ Simon Gilbert/ Matthew Harris/ Jon Maidment)</p> | <p>Councillor Michael Michael Clean Streets, Recycling and Environment</p> |
|--|---|

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

- Developed a Biodiversity and Resilience of Ecosystems Duty Forward Plan, to implement the statutory duty to seek to maintain and enhance biodiversity and in doing so to promote ecosystem resilience.
- Undertaken an 'iTree-Eco' study to look at the value of trees in terms of the ecosystem services that they provide.
- Working with neighbouring Local Authorities through the Local Nature Partnership Cymru project to share ideas and best practise for enhancing biodiversity across the City and identifying opportunities for cross-boundary projects to improve habitat and species connectivity and increase ecosystem resilience.
- Contributed to the Central South Wales Area Statement recently published by Natural Resources Wales.

What we plan to do to meet target

- Develop Coed Caerdydd Strategy to maximise tree canopy cover within Cardiff
- Report every three years on the Biodiversity and Resilience of Ecosystems Duty Forward Plan, and continue to improve the plan as necessary
- Seek opportunities for partnership working under the 5 main themes of the South Wales Area Statement (building resilient ecosystems, working with water, connecting people with nature, improving our health, improving our air quality).

Linked Risks

- Coastal Erosion
- Air Quality
- Business Continuity
- Energy decarbonisation

Linked Documents

- <https://www.evaccardiff.co.uk/>
- <https://www.cdp.net/en>

Key Indicators / Measures used to monitor the risk

Extent of Green Infrastructure in the City.

Climate Change - Energy Security & Decarbonisation

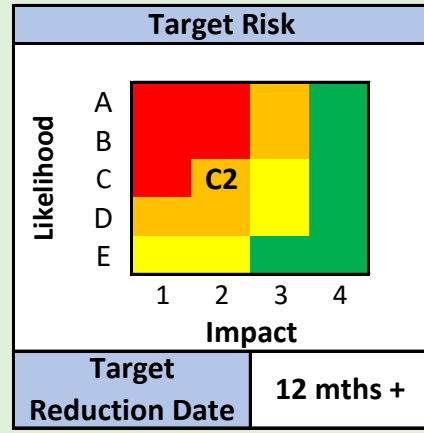
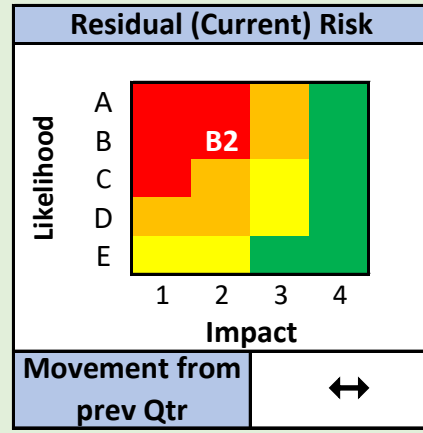
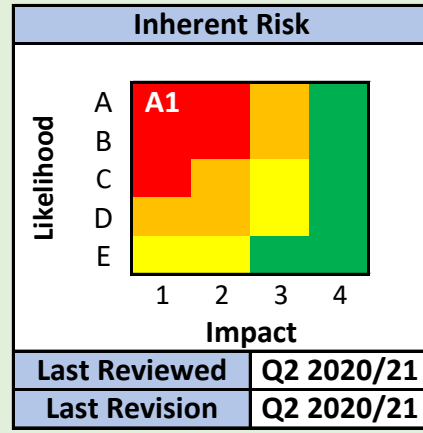
| Description | Inherent Risk | Residual (Current) Risk | Target Risk | Risk Owner(s) |
|---|---|--|---|--|
| <p>Cardiff is not able to manage the effects of climate change and energy security due to lack of future proofing for key (social and civil) infrastructure and business development.</p> | | | | <p style="text-align: center;">Andrew Gregory (Gareth Harcombe/ Liz Lambert)</p> <p style="text-align: center;">Councillor Michael Michael Clean Streets, Recycling and Environment</p> |
| <p>Potential Impact(s)</p> <p>Energy security (energy efficiency & decarbonisation of supply)</p> <ul style="list-style-type: none"> • 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 | <p>Last Reviewed Q2 2020/21</p> <p>Last Revision Q2 2020/21</p> | <p>Movement from prev Qtr ↔</p> | <p>Target Reduction Date 12 mths +</p> | |
| | <p style="text-align: center;">What we've done/are currently doing to achieve the Residual Risk Rating</p> <p>Energy security (energy efficiency & decarbonisation of supply)</p> <ul style="list-style-type: none"> • Climate Emergency Declared by Council • Council approved "One Planet Cardiff" Strategy on October 15th 2020 which addresses the Climate emergency and sets a pathway to a carbon neutral Council by 2030 and consultation launched. • 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, and construction underway • District Heat Network proposals - Cabinet authority to proceed, subject to financial business case approval - Grant and Loan funding package now secured • 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 • Scope out and implement additional energy efficiency schemes in residential properties in the city • Supporting enhancement of public's 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 • Reporting on citywide and Council (scope 1 and 2) carbon emissions via the Carbon Disclosure Project to fulfil our Compact of Mayors commitment | | | <p style="text-align: center;">What we plan to do to meet target</p> <p>Energy security (energy efficiency & decarbonisation of supply)</p> <ul style="list-style-type: none"> • Consult on council approved draft "One Planet Cardiff" Strategy, setting specific decarbonisation and renewable energy generation targets, by Spring 2021 - including Carbon Neutral Public Sector by 2030 • Lamby Way solar farm is complete and awaiting connection to the grid which should be complete before the end of October. We are in contract negotiations on the private wire connection to Welsh Water and this should be complete before the Spring of next year. Construction of this is constrained by NRW ecology embargos on over-winter works which we are trying to work around. • Procurement exercise for Heat Network is mid-way through, with December Cabinet targeted for final decisions to proceed. Subject to cabinet approval of the Final Business Case contracts will be signed in Feb/March 2020. • Work with WG Energy Services advisors to assess future renewable generation and carbon reduction schemes - ongoing and with an additional bid for funding support made to Welsh Government. • Seek ways to accelerate housing energy efficiency and retrofit schemes across the city - cabinet considering report on some acceleration plans in October. Also submitting funding bids to BEIS and WG. • Electric Vehicle strategy - first tranche of residential chargers delivered and proposals to convert council fleet to electric being finalised but now subject to funding issue due to Covid-19 (was to be CPE funded) - funding bids to be submitted and discussion with Central Finance on options • 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 Cardiff strategy. |
| <p>Type(s) of Impact</p> <ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial • Health & Safety • Partnership • Community & Environment • Stakeholder | <p>Linked Risks</p> <p>Coastal Erosion</p> <p>Air Quality</p> <p>Business Continuity</p> | <p>Linked Documents</p> <p>https://www.evaccardiff.co.uk/</p> <p>https://www.cdp.net/en</p> | <p>Key Indicators / Measures used to monitor the risk</p> <p>Energy use / renewable energy production of Cardiff Council</p> | |

Climate Change - Extreme Weather

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)**
- 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

- Type(s) of Impact**
- Service Delivery
 - Reputational
 - Legal
 - Financial
 - Health & Safety
 - Partnership
 - Community & Environment
 - Stakeholder



Risk Owner(s)

Andrew Gregory
(EMU/Gary Brown)

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

Extreme 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 public's own resilience through advice and guidance available from the EVAC Cardiff Website

Extreme Cold/ Snow

- Implementation of Council's Cold Weather Response Plans
- Winter Service review undertaken to consider the potential impact of Covid-19

What we plan to do to meet target

Extreme 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 within 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 strategies for future developments, planning the management of this risk

Extreme Cold/ Snow

- Due to the challenges of Covid 19, the concentration has been on building resilience into the Winter Service. Covid 19 represents a high risk to staff resource due to illness and the requirements of isolation. Although the required training and staff rotas have been put in place, further work is ongoing to provide resilience should resources be severely hit by the pandemic. However, it must be recognised that there is a limited available resource with the required skillsets within the authority and although investigations as to whether external assistance can be utilised/is available is ongoing, the potential for service disruption cannot be ruled out.

Linked Risks

Coastal Erosion
Air Quality
Business Continuity

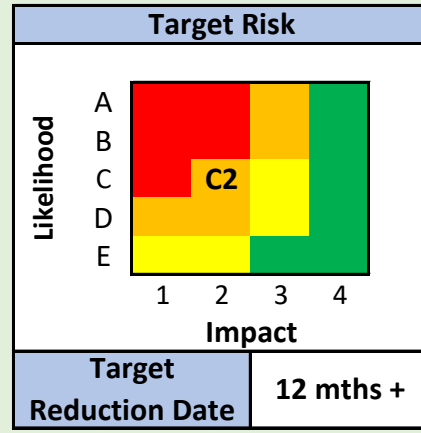
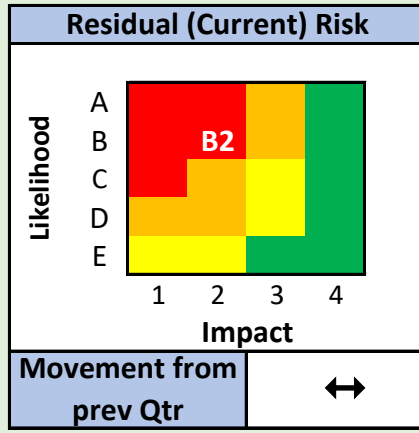
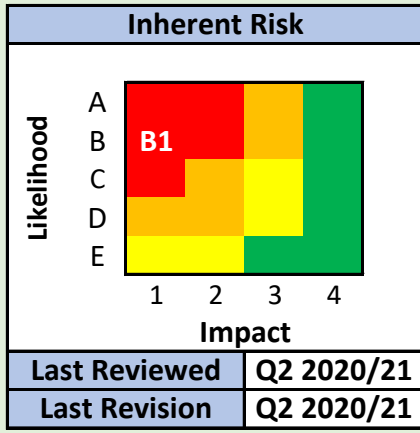
Linked Documents

<https://www.evaccardiff.co.uk/>
<https://www.cdp.net/en>

Key Indicators / Measures used to monitor the risk

Climate Change - Flooding

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.



Risk Owner(s)

Andrew Gregory
(Gary Brown/ David Brain
James Clemence/ Stuart
Williams)

Councillor Michael Michael
Clean Streets, Recycling and
Environment

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

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 public's own resilience through advice and guidance available from 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). Funding bids have been submitted and grant funding now awarded for 20/21 for Business Justification Cases for a number of these schemes.

What we plan to do to meet target

Flood & Storm

The following actions are ongoing:

- Develop new iteration of the Local Flood Management Strategy
- Develop new iteration of the Flood Risk Management Plan
- 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. Ongoing CCTV and asset capture work taking place in drainage networks to review high risk areas.
- Apply for further grant funding to support studies and implementation of localised flood preventions schemes.

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/>
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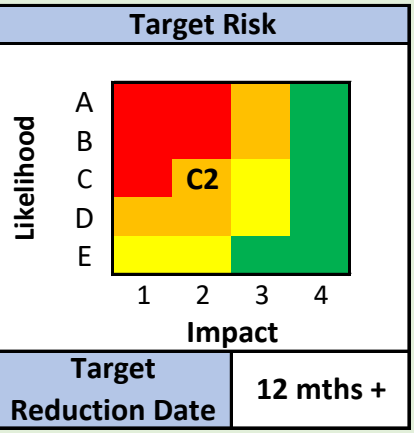
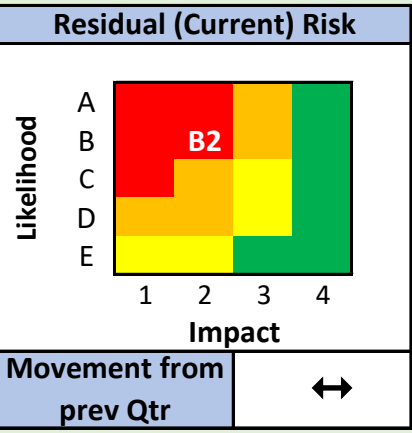
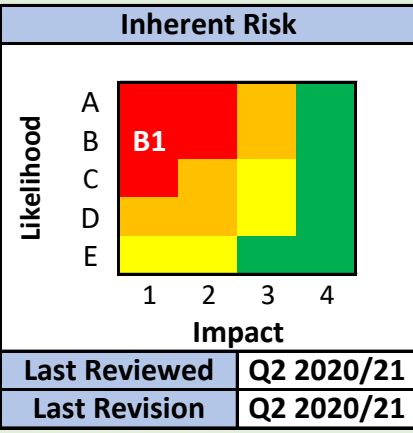
Key Indicators / Measures used to monitor the risk

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

Coastal Erosion

Description

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



Risk Owner(s)

Andrew Gregory
(Gary Brown/ David Brain)

Councillor Michael Michael
Clean Streets, Recycling and Environment

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 was programmed for completion in May 2020, however this has been impacted by Covid-19.
- Ground Investigation commenced February 2020. Due to Covid 19 restrictions, ground investigations were postponed during March 2020.
- Work ongoing with Emergency Management to formulate interim measures.

What we plan to do to meet target

We will be designing & delivering an effective coastal flood protection scheme as a matter of priority.

Detailed design and full business case ongoing

Keysteps:

- Completion date for detailed design and Full Business Case (FBC) anticipated late 2020 (TBC following review of the Ground Investigation and the delays related to Covid 19).
- Full Business Case to be submitted to Welsh Government for approval & funding confirmation. Detailed design has commenced following completion of the GI.
- 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 Autumn 2021, subject to the above, with completion 2023.

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 landfill 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 Severn Estuary.

Type(s) of Impact

| | |
|--|---|
| <ul style="list-style-type: none"> Health & Safety Health Reputational Financial | <ul style="list-style-type: none"> Strategic Service Delivery |
|--|---|

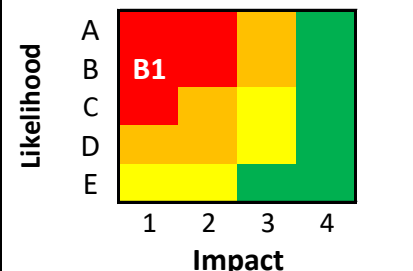
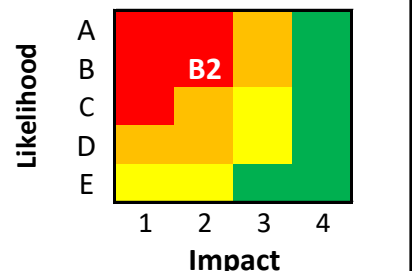
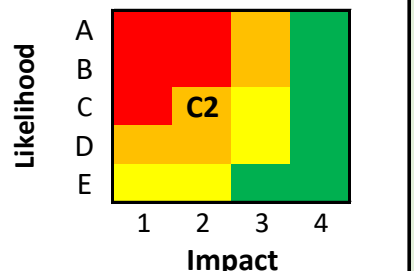
Linked Risks

Climate Change risks

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 | Inherent Risk | Residual (Current) Risk | Target Risk | Risk Owner(s) | | | | | | | | | |
|---|---|---|--|---|---|---|------------------------|---|--|-----------------------|-----------|--|--|
| <p>Failure to deliver cost effective compliance with waste legislation including statutory recycling targets.</p> |  <p style="text-align: center;">B1</p> |  <p style="text-align: center;">B2</p> |  <p style="text-align: center;">C2</p> | <p>Sarah McGill (Matt Wakelam)</p> | <p>Councillor Michael Michael Clean Streets, Recycling and Environment</p> | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Last Reviewed</td> <td>Q2 2020/21</td> </tr> <tr> <td>Last Revision</td> <td>Q2 2020/21</td> </tr> </table> | Last Reviewed | Q2 2020/21 | Last Revision | Q2 2020/21 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Movement from prev Qtr</td> <td style="text-align: center;">↔</td> </tr> </table> | Movement from prev Qtr | ↔ | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Target Reduction Date</td> <td>12 mths +</td> </tr> </table> | Target Reduction Date | 12 mths + | | |
| Last Reviewed | Q2 2020/21 | | | | | | | | | | | | |
| Last Revision | Q2 2020/21 | | | | | | | | | | | | |
| Movement from prev Qtr | ↔ | | | | | | | | | | | | |
| Target Reduction Date | 12 mths + | | | | | | | | | | | | |
| Potential Impact(s) | | What we've done/are currently doing to achieve the Residual Risk Rating | | What we plan to do to meet target | | | | | | | | | |
| <p>Financial</p> <ul style="list-style-type: none"> Penalties and loss of grant support Continuing financial costs to service <p>Legal & Regulatory</p> <ul style="list-style-type: none"> Failure to comply with EU recycling waste directive, leading to sanctions, penalties or interventions <p>Strategic/ Reputational</p> <ul style="list-style-type: none"> Reputational consequence with citizens and key stakeholders | | <p style="text-align: center;">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.</p> <p>Wider Governance & Compliance</p> <ul style="list-style-type: none"> Targeted internal audits identifying and improving governance and control across the service area (ongoing) Introduction of improvements in weighbridge and data systems holding data on waste movements, to improve data management and ease collation of data (ongoing) Cardiff Council has commenced a programme working in partnership with Welsh Government to develop a new Recycling Service Strategy and Implementation Plan (ongoing) <p>Development of recycling plan for optimising resources including considerations of statutory fines.</p> <ul style="list-style-type: none"> 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 (ongoing) Media and communications taking place across Cardiff with focus on key areas for recycling improvement (ongoing) Improving use of In-Cab system to improve service delivery through real time technology, optimisation of routes and identification of waste contamination (complete) Commencement of new education and enforcement programme to reduce contamination in recycling and garden waste (ongoing) Cabinet Report prepared for Cabinet on 23rd January 2020 'Education campaign to support improving recycling performance' to implement a strategy of education in Cardiff relating to contamination of recycling (the pink sticker campaign) and segregation of recycling at Household waste Recycling Centres (ongoing) <p>Recycling Development</p> <ul style="list-style-type: none"> The Council's Recycling Strategy is the subject of regular review. A new strategy is currently under development for implementation by March 2021. Robust analysis and review of business cases relating to the following waste collection & disposal operations: <ul style="list-style-type: none"> Bottle and Glass expansion across the City (complete and supplemented by modelling work with WG) Hygiene (Absorbent Hygiene Products) from Municipal Solid Waste to Recycling (ongoing project with WG) Trade Waste (ongoing) <p>Covid-19 Lockdown meant between 30th March 2020 and 31st May 2020 waste collections were collected as a single stream where residual, recycling and food waste was collected weekly and sent to Energy from Waste. The reason for the decision was to limit exposure to both residents and workforce to the impacts of Covid-19. However, the approach has impacted Qtr1 recycling performance to 42.51% compared to 62.57% the previous year. Overall recycling performance for 20/21 is highly unlikely to recover.</p> <ul style="list-style-type: none"> Recycling Centres are being managed via a booking system, and the replacement of residual waste and recycling waste skips with a non-recycling skip, supported by new procedures, has meant recycling performance at centres has increased from 70% to 90%. | | <ul style="list-style-type: none"> City wide glass roll-out to be reviewed as part of the Recycling Services Strategy and Implementation Plan. (complete) Targeted and tailored intervention to deal with contamination in hot spot areas across the City (ongoing) Further develop the new Recycling Strategy for Cardiff. This will set out the Council's long-term objectives over the next 10 years and consider economic, social and environmental aspirations, in order to ensure Cardiff is one of the leading cities in the world for recycling. (ongoing) Pink Sticker Campaign roll-out across Cardiff to commence Qtr 2 (on hold due to Covid 19) <p>Wider Governance & Compliance</p> <ul style="list-style-type: none"> 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 (complete - modelling showed only a 1.2% increase in recycling performance with a kerbside model rising to 2.7% with a move to 3 weekly residual collections.) A further phase of work is required working with Welsh Government to look at the impacts on recycling performance in relation to: <ul style="list-style-type: none"> Trade waste and new legislation Flats Recycling Centres Outcome will be to deliver a road map supported by Welsh Government on improving Cardiff's recycling performance | | | | | | | | | |
| Type(s) of Impact | | Linked Risks | | Key Indicators / Measures used to monitor the risk | | | | | | | | | |
| <ul style="list-style-type: none"> Reputational Legal & Regulatory Financial | | | | <ul style="list-style-type: none"> Monthly monitoring recycling % from waste data flow Monthly tonnage monitoring Monthly financial monitoring in each area of waste | | | | | | | | | |

Brexit

Description

On 31 January 2020, the UK legally ceased to be a member of the EU. There will now be an 11 month transition period up until the end of December 2020, by which time both sides have stated they hope to have agreed a trade deal. Throughout the transition, whilst the UK will no longer be represented in the EU's political institutions, the UK will continue to be subject to EU rules and remain a member of the single market and customs union.

Following the 30 June 2020 deadline, the UK did not exercise an option to extend the transition period. If a UK-EU free trade deal has not been agreed by 31 December 2020, the risk remains that we could once again be facing the prospect of a 'no-deal' exit of sorts.

Whilst the Withdrawal Agreement has been ratified, in such a 'no-deal' scenario, the UK would have to trade with the EU on World Trade Organisation terms, with most UK goods subject to tariffs. There would also be a range of other implications of the UK leaving the EU without a deal, which the Council has already undertaken research into and taken steps to prepare for.

Potential Impact(s)

Immediate Issues Identified:

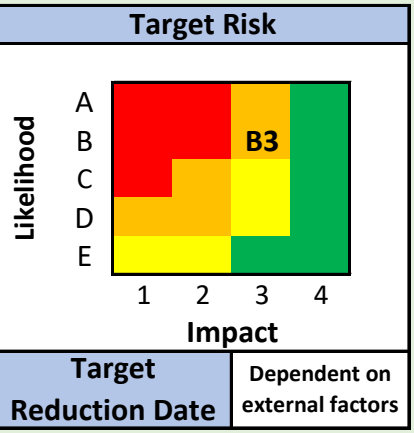
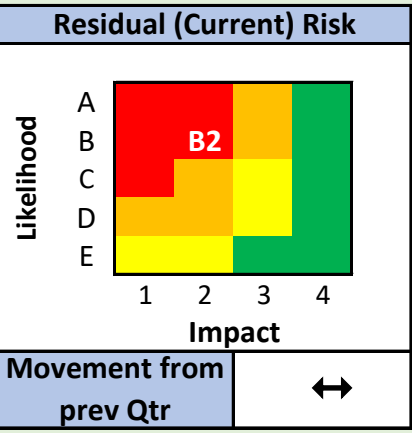
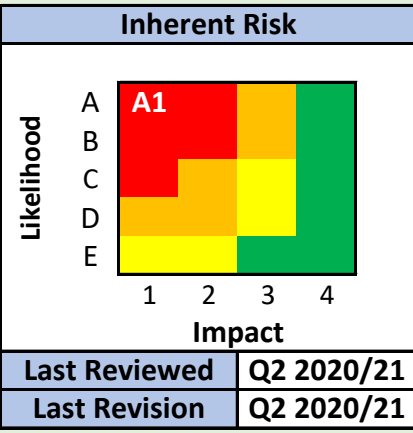
- Impact on Council supply chain
- Citizens and Community Cohesion
 - Implementing the EU Settlement Scheme
 - Increases of tension/ hate crime
- Emergency Management
 - Responding to civil contingencies/ major disruption (potential for protests, food shortages, disruption to water supply (infrastructure) 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)

Type(s) of Impact

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



Risk Owner(s)

| | |
|--|--|
| Paul Orders (Senior Management Team) | Councillor Huw Thomas Leader (Brexit) |
|--|--|

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

On 23 July 2020, the Council's Resilience Unit coordinated a Council-wide exercise to update the Council's Brexit Issues Register. Each Directorate Reviewed its wider Brexit preparedness, noting the impact of COVID-19, along with refreshed mitigative actions, considered and noted any additional risks not already identified, along with the appropriate mitigation and focused on supply chains and ensuring continuity of supply

The Resilience Unit concluded the work represented a balanced and fair assessment but that the Council has to be alert and ready to respond, particularly if/ when 'no-deal' becomes a definitive position. Mitigative actions have been identified by Directorates for each issue, with a continued focus on protecting the community, especially the most vulnerable.

What we plan to do to meet target

Should 'no-deal' become a definitive position, nominated Brexit Liaison Officers will be asked to undertake preparatory activity ahead of the end of the transition period. This will include a further review of their Directorate's Business Continuity Plans in the face of the challenges ahead, as well monitoring and regularly updating the Brexit Issues Register.

Should a deal be confirmed, work will be undertaken to understand its implications, before putting in place appropriate preparations. For instance, irrespective of the outcome of negotiations between the UK and EU, traders will face new customs controls and processes.

To report real-time Brexit disruption requiring an immediate response, which is most likely following the end of the transition period on 31 December 2020, Duty Silver Officers will be asked to use the command and control system already in place, as outlined in the Council's Major Incident Plan. The Council will continue to monitor the major developments and focus on areas where local action is required:

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 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). This will be re-considered in light of COVID-19 and the Council's Restart, Recovery and Renew response framework.

Linked Risks

Business Continuity

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

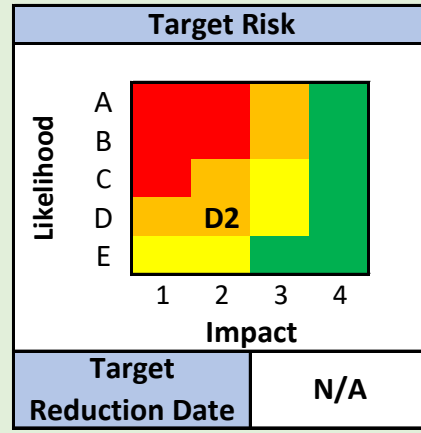
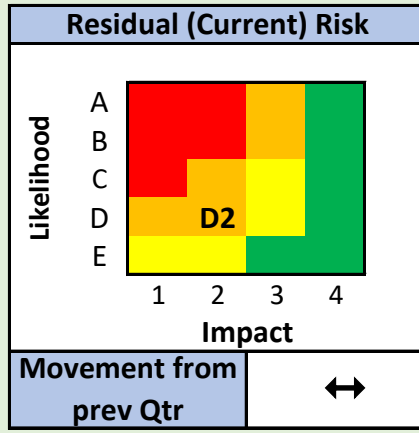
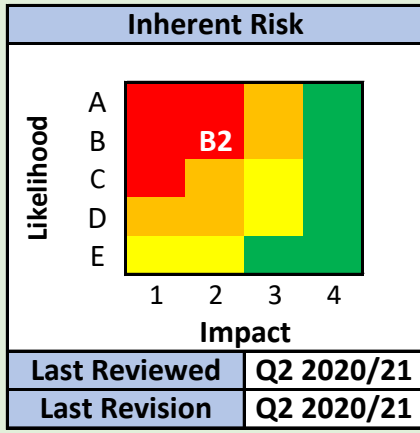
Performance Management

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.



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

The annual Wellbeing Report for 2019/20 has been published and this includes a comprehensive account of the Council's response to the Covid-19 pandemic.

Further Strengthening of the Performance Regime

The Council has reviewed its performance monitoring and reporting arrangements to streamline the information gathering process, produce fewer but more strategic performance assessments and strengthen the involvement of scrutiny. A recent internal audit of performance management also concluded that 2 areas of assessment were green and one area of assessment was amber green.

- The corporate performance management framework supports the effective management of corporate priorities and plans (Amber/Green)
- Performance is measured and monitored using required statutory and suitable local indicators and targets (Green)
- Performance reporting and oversight is timely, effective and meaningful (Green).

A response to the Audit recommendations has been agreed and these will be embedded in the forthcoming revisions to the performance management framework.

What we plan to do to meet target

Develop an updated Planning and Delivery Framework that responds to the new requirements set out in the Local Government and Elections Bill and the recommendations of the internal audit work.

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

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.

Budget Monitoring (Control)

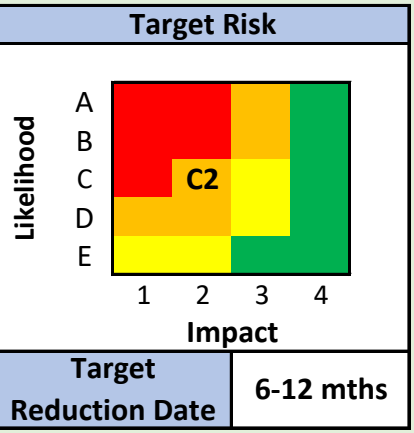
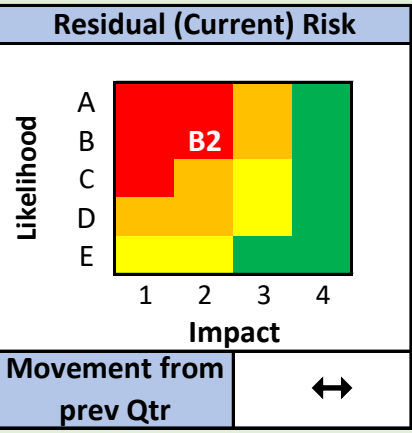
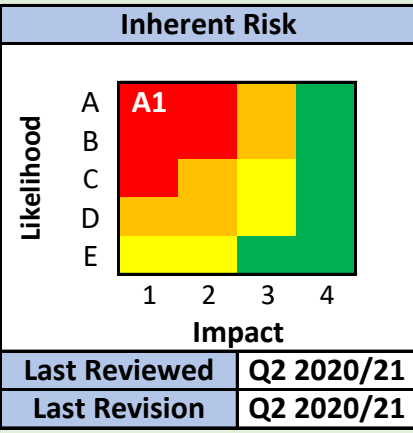
| Description | | Inherent Risk | Residual (Current) Risk | Target Risk | Risk Owner(s) | |
|--|--|---|--|---|---|--|
| <p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the unplanned drawdown of reserves.</p> | | <p>Last Reviewed Q2 2020/21 Last Revision Q2 2020/21</p> | <p>Movement from prev Qtr ↔</p> | <p>Target Reduction Date 12 mths +</p> | <p>Chris Lee (Ian Allwood)</p> | <p>Councillor Chris Weaver Finance, Modernisation and Performance</p> |
| | | What we've done/are currently doing to achieve the Residual Risk Rating | | | What we plan to do to meet target | |
| <p>Potential Impact(s)</p> <ul style="list-style-type: none"> 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 | | <ul style="list-style-type: none"> Clear financial procedure rules setting out roles and responsibilities for budget management are in place. The impact of the pandemic has led to significant financial support from Welsh Government in the form of Local Authority Hardship Claims. Hardship support in the form of compensating for additional expenditure incurred as a result of the pandemic response and compensation for loss of income expected from activities. Claim Process on a quarterly basis and is subject to review and potential audit post event. Claims for loss of income are adjusted for those costs that can be avoided. Range of forecasts amidst the uncertainty of the timescale for recovery in those activities for the rest of the financial year and beyond. The 2020/21 Directorate Month 4 report reported a directorate overspend of £5.076 million with an overall deficit position of £1.976 million. The Corporate Director of Resources, Chief Executive and Cabinet Members hold challenge meetings and these will continue throughout 2020/21. Full financial monitoring process is in place for month 3 to 11 of the financial year including achievement of budget savings with months 3 to 6 completed. | | | <p>2021/22 and the Medium Term</p> <ul style="list-style-type: none"> 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. Focus on areas of lost income or additional expenditure and understanding the potential impact on future periods. | |
| Type(s) of Impact | | Linked Risks | | | Key Indicators / Measures used to monitor the risk | |
| <ul style="list-style-type: none"> Service Delivery Reputational Legal Financial | | <p>Financial Resilience</p> | | | <p>Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted</p> <ul style="list-style-type: none"> Review of use of earmarked reserves and balances - Half Yearly Amount of Hardship Support claimed successfully | |
| <ul style="list-style-type: none"> Stakeholder | | | | | | |

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 £73 million for the period 2021/22 to 2024/25.



Risk Owner(s)

Chris Lee (Ian Allwood)

Councillor Chris Weaver
Finance, Modernisation and Performance

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

2020/21 and Medium Term

- Final Settlement received 25 February 2020 - two days before council approval of budget.
- The 2020/21 Budget monitoring position of Month 4 highlights a significant overspend on Directorate budgets.
- Monitoring of the budget realignment of services to provide assurance of delivery of services within budgets allocated. This is in partnership with directorates.
- 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), Budget Strategy (Jul) and to Audit Committee.

What we plan to do to meet target

2021/22 and the Medium Term

- Continue work on establishing the financial implications to services both in the short, medium and long term as a result of the impact of the Covid 19 crisis.
- Work in partnership with Directorates to ensure that budgets allocated for key services remain appropriate and sustainable. Key focus on those areas where overspends being reported in 2019/20
- Continue to maintain close alignment with objectives of the Corporate Plan 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.

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.

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.

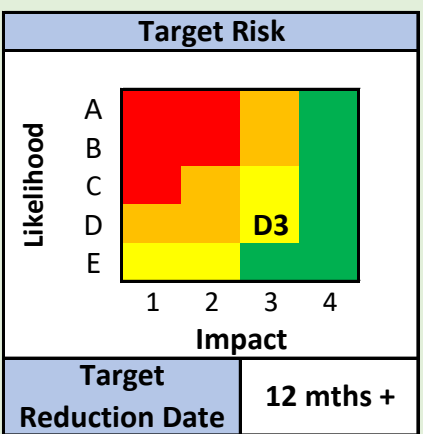
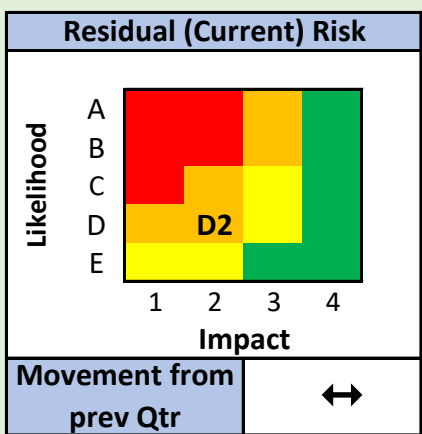
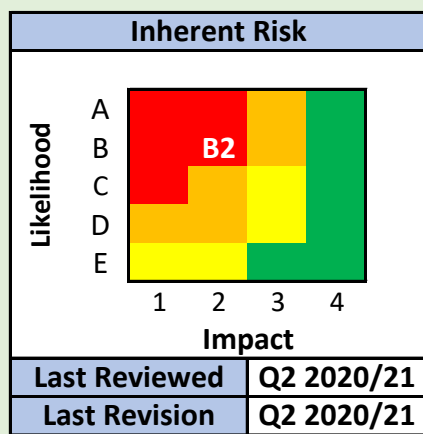
Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial
- Stakeholder

Fraud, Bribery & Corruption

Description

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



Risk Owner(s)

Chris Lee
(Ian Allwood)

Councillor Chris Weaver
Finance, Modernisation and Performance

- 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.
 - Briefings developed and disseminated 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 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 delivered to officers and headteachers in quarter 3 and school governors in quarter 4 2019/20.
 - Participation in International Fraud Awareness week commenced in November 2019, and annual commitment to participate going forward.
 - Investigation Team participation in SMAS triangulation exercise, commenced in quarter 3 2019/20.
 - Investigation Team provision of investigation and counter-fraud advice, guidance and support to Directorates as required.
 - SMT participation in fraud tracker and assessment commenced January 2020, with commitment to full exercise at least annually.

- What we plan to do to meet target**
- Monitoring employees at work policy and process for undertaking online investigations being reviewed.
 - Policy updates underway in respect of money laundering, to include a provision of targeted training.
 - Monitoring and reporting completion rates of mandatory fraud awareness training.

- 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

- Key Indicators / Measures used to monitor the risk**
- Adherence to the NFI Security Policy and annual completion of compliance forms
 - Mandatory Fraud Awareness eLearning completion and face-to-face attendance 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 and counter-fraud advice, guidance and support to Directorates as required

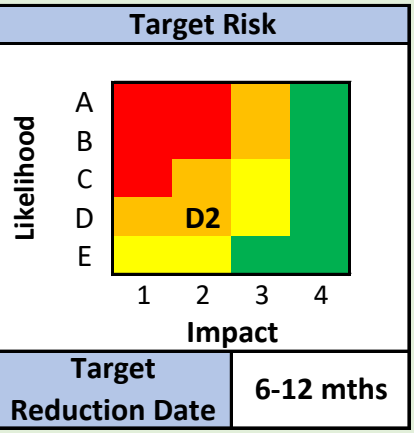
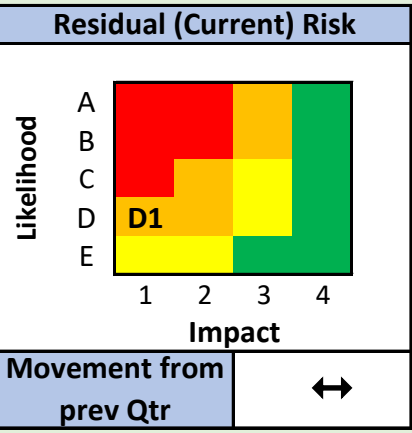
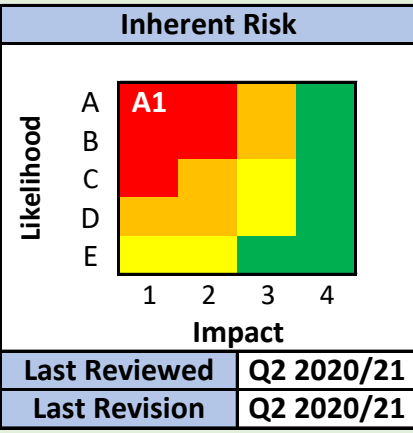
- Type(s) of Impact**
- Service Delivery
 - Reputational
 - Legal
 - Financial
 - Stakeholder

Linked Risks

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.



Risk Owner(s)

Chris Lee
(Dean Thomas)

Councillor
Chris Weaver
Finance, Modernisation and Performance

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.
- Gold level of assurance as part of Cyber Security Plus ISAME Accreditation process in March 2019.
- 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.
- A corporate Information Asset Register is held which details personal data assets held by each Council directorate.
- Service Level Agreements in place where Cardiff Council is the Data Controller for regional services
- Advice, guidance and support is provided to all Cardiff Schools.
- 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 with an extended period for completion during 2020. Compliance is monitored and reported to Directors.
- An Information Governance Report is provided to Information Governance & Security Board on a quarterly basis. This sets out performance information in respect of data protection and information request compliance for each directorate.
- National and Regional Information Governance Agreements in place in respect of Covid-19 data processes

What we plan to do to meet target

- Changes will be introduced in respect of managing data breach investigations, which will require services to provide information and evidence within set deadlines. This will help ensure that the Council meets targets for completing investigation reports and put support to Insurance in the event of any compensation claims being submitted
- Monitoring the position in relation to International Transfers as a result of a potential no deal Brexit continues. Data flows have been established to enable any additional measures which may be required in line with any adequacy decision.
- Staff awareness of Information Governance to be provided to energise the importance of staff and managers' responsibilities for ensuring the services comply with corporate policies.
- Information Governance Champions Group to be established to provide support to directorate champions with ensuring compliance procedures and policies and maintaining directorate Information Asset Registers.

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 processed by the Council in its entirety
- An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery
- Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit
- Enforcement Notice requires immediate improvement action to be put in place
- Financial Penalty up to £17.5 million for Higher Level Tier and £8 million for Lower Level Tier breaches of the Data Protection Act.
- Compensation unlimited liability claims for damages as a result of a data breach from individuals.

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial
- Stakeholder

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

Cyber Security

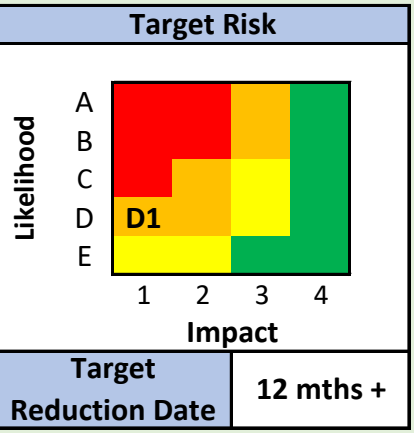
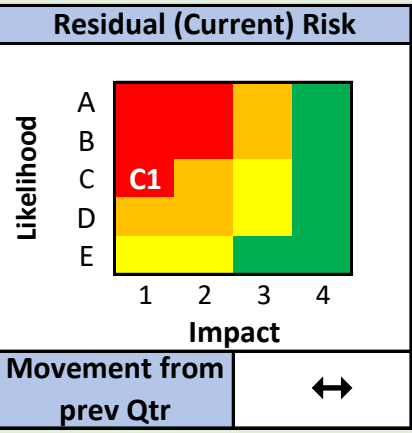
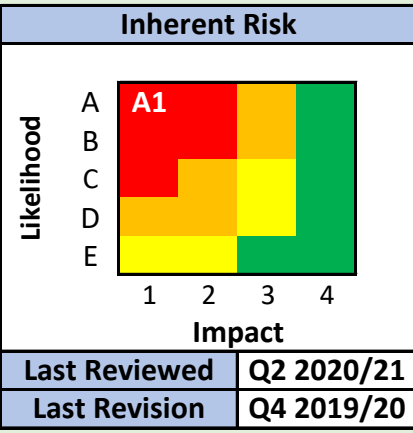
Description

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



Risk Owner(s)

Chris Lee
(Phil Bear)

Councillor Chris Weaver
Finance, Modernisation and Performance

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

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

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

What we plan to do to meet target

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

Potential Impact(s)

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

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

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

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

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

Linked Risks

Information Governance

Key Indicators / Measures used to monitor the risk

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

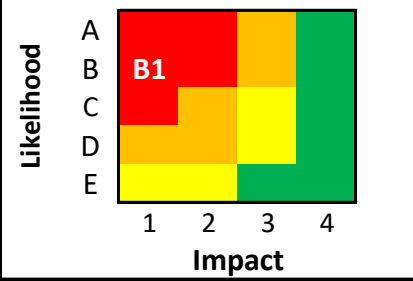
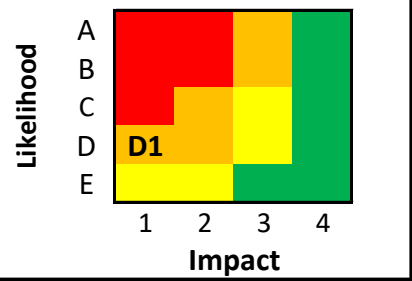
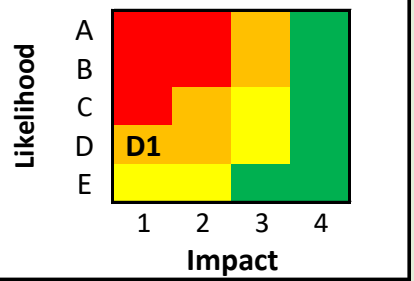
Type(s) of Impact

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

ICT Platforms Unsuitable / Outdated

| Description | | Inherent Risk | Residual (Current) Risk | Target Risk | Risk Owner(s) | | | | | | | | | |
|--|------------|--|-------------------------|-------------|--|--|--|------------------------|---|---|-----------------------|-----------|--|--|
| <p>The ICT platforms (desktop, software, network, servers, and telephones) will not be able to support the technologies required by the corporate change programme and deliver effective service to the council, or will not provide a reliable service due to age and condition of equipment and systems.</p> | | | | | <p>Chris Lee (Phil Bear)</p> | <p>Councillor Chris Weaver Finance, Modernisation and Performance</p> | | | | | | | | |
| | | <table border="1" style="width: 100%;"> <tr><td style="background-color: #d9e1f2;">Last Reviewed</td><td>Q2 2020/21</td></tr> <tr><td style="background-color: #d9e1f2;">Last Revision</td><td>Q4 2019/20</td></tr> </table> | Last Reviewed | Q2 2020/21 | Last Revision | Q4 2019/20 | <table border="1" style="width: 100%;"> <tr><td style="background-color: #d9e1f2;">Movement from prev Qtr</td><td style="text-align: center;">↔</td></tr> </table> | Movement from prev Qtr | ↔ | <table border="1" style="width: 100%;"> <tr><td style="background-color: #d9e1f2;">Target Reduction Date</td><td>12 mths +</td></tr> </table> | Target Reduction Date | 12 mths + | | |
| Last Reviewed | Q2 2020/21 | | | | | | | | | | | | | |
| Last Revision | Q4 2019/20 | | | | | | | | | | | | | |
| Movement from prev Qtr | ↔ | | | | | | | | | | | | | |
| Target Reduction Date | 12 mths + | | | | | | | | | | | | | |
| Potential Impact(s) | | What we've done/are currently doing to achieve the Residual Risk Rating | | | What we plan to do to meet target | | | | | | | | | |
| <ul style="list-style-type: none"> Loss of PSN services. Service delivery impacts from unreliable/unavailable ICT systems Cardiff seen as unable to deliver on aspirations Poor morale from frustrations with inability to deliver services. Potential for income losses from revenue collection impacts. Unable to meet delivery deadlines on both business as usual and transformation projects. | | <ul style="list-style-type: none"> Spending for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth is continually reviewed and reprioritised Migration of data to SharePoint online providing a cloud resilient and agile service Purchase of Extended Support to help keep legacy services covered for an additional year (2008) 10 year hardware replacement programme created with costs estimates profiled annually Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority Assessment of equipment required replacing to maintain PSN compliance | | | <ul style="list-style-type: none"> Development of lifecycle monitoring for operating systems and software platforms, and clearer customer engagement of upcoming deadlines Pilot leasing scheme within schools to be considered for corporate desktop estate | | | | | | | | | |
| Type(s) of Impact | | Linked Risks | | | Key Indicators / Measures used to monitor the risk | | | | | | | | | |
| <ul style="list-style-type: none"> Service Delivery Reputational Financial Stakeholder | | | | | <ul style="list-style-type: none"> Annual independent testing of external and internal infrastructure via Information Technology Health Check (ITHC) for PSN compliance. | | | | | | | | | |

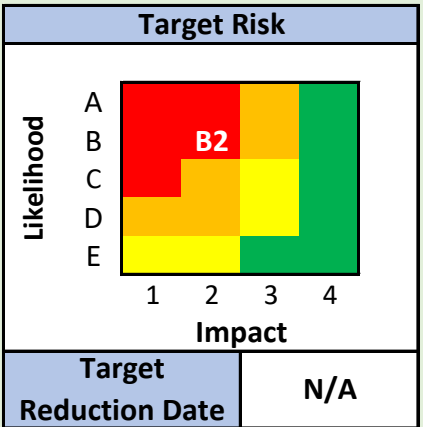
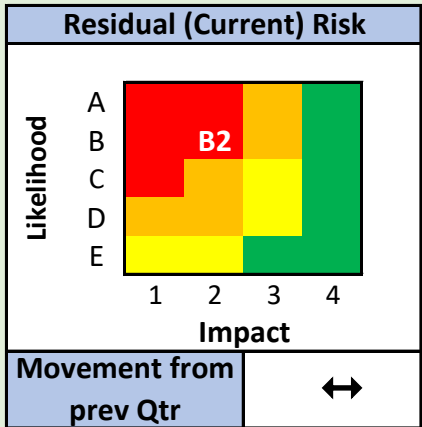
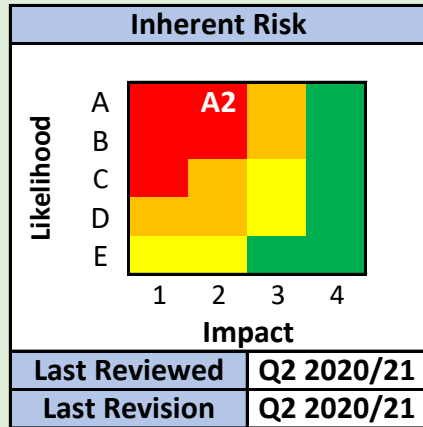
Business Continuity

| Description | | Inherent Risk | Residual (Current) Risk | Target Risk | Risk Owner(s) | | | | | | | | | |
|---|------------|--|---|---|--|--|---|------------------------|---|--|-----------------------|-----|--|--|
| <p>Large scale incident/loss affecting the delivery of services.</p> <p>The potential risk is that our most time sensitive activities are not sufficiently resilient and fail, following an incident which impacts on their delivery and that our incident management structure, used in response to internal incidents and external emergencies, also fails in response to an incident.</p> | |  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p> |  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p> |  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p> | <p>Chris Lee</p> | <p>Councillor Huw Thomas Leader</p> | | | | | | | | |
| | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Last Reviewed</td> <td>Q2 2020/21</td> </tr> <tr> <td>Last Revision</td> <td>Q1 2020/21</td> </tr> </table> | Last Reviewed | Q2 2020/21 | Last Revision | Q1 2020/21 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Movement from prev Qtr</td> <td style="text-align: center;">↔</td> </tr> </table> | Movement from prev Qtr | ↔ | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Target Reduction Date</td> <td>N/A</td> </tr> </table> | Target Reduction Date | N/A | | |
| Last Reviewed | Q2 2020/21 | | | | | | | | | | | | | |
| Last Revision | Q1 2020/21 | | | | | | | | | | | | | |
| Movement from prev Qtr | ↔ | | | | | | | | | | | | | |
| Target Reduction Date | N/A | | | | | | | | | | | | | |
| Potential Impact(s) | | What we've done/are currently doing to achieve the Residual Risk Rating | | | What we plan to do to meet target | | | | | | | | | |
| <ul style="list-style-type: none"> • Health and Safety – potential impact on staff and on the public relying on our most, time sensitive, critical services • Legal action -Failure of key services could lead to Legal action against the council • Financial - Failure of key services could led to significant financial cost both in terms of Ombudsman action and Enforcement action from regulatory bodies, as well as individual legal action against the corporate body where service failure leads to legal action against us from private claimants • Reputational - Impact on key services to the public could lead to significant reputational damage to the organisation • Stakeholder – Impact on key stakeholders as result of failure • Service delivery – Potential significant impact on service delivery to the public, impact of key services could lead to significant impacts to the public and the corporate body un delivering its services | | <ul style="list-style-type: none"> • The Council has a BCM Champion who sponsors BCM at a strategic level • We have an approved Business Continuity Policy which is aligned to ISO22301 • BCM toolkit is now available on CIS • The Council employs a Business Continuity Officer who is a qualified ISO22301 lead auditor • The Emergency Management Unit has developed an Incident Management Plan (Cardiff Council's 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. • 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" • Q4 of 2019/2020 saw the council undertake a full review and update of the activities delivered across the council allowing us to focus on the resilient delivery of key functions as we planned and responded to the COVID19 threat. This review was delivered at the Strategic Level. • Each Directorate was tasked with reviewing and updating their key business continuity plans in preparation for the emerging COVID19 threat. Each Director/Corporate Director was responsible for ensuring this work was undertaken fully and properly. The existing Business Continuity work provided a solid foundation to our response to the COVID19 threat. • The full corporate incident management team was activated in early March. • The Council worked positively at a Local Resilience Forum(LRF) level with partners supporting a wider Wales response to the COVID19 threat. This included daily reporting and escalation of key issues to the LRF. • Areas were forced to change to a far more agile way of operating with our core ICT requirements changing to support far more agile/home working. The mode of delivery worked exceptionally well and provides the potential for longer-term resilient agile working in response to the ongoing COVID19 risk, in addition to positively supporting other aims and corporate risks. • Staff across the council adapted at speed and have worked incredibly hard to deliver key services in new ways, in addition many staff changed roles to support the resilient delivery of key services and new asks on the council to keep the public safe. • Officers are continuing to plan and prepare for the potential impacts of Brexit and a resurgence in the pandemic going into the autumn and winter of 2020 and spring of 2021. | | | <ul style="list-style-type: none"> • Work with ICT to ensure our core infrastructure is as resilient as possible and able to support additional agile working capacity. • 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 continuing a review of 4x4 resources across the council to support our response capability to deal with the potential of winter storms. • The BC officer along with the Resilience Unit are continuing to ensure that corporately we are able to respond to the COVID19 threat and the ongoing risk including of second and third waves until the threat of the pandemic has fully dissipated. | | | | | | | | | |
| Type(s) of Impact | | Linked Risks | | Key Indicators / Measures used to monitor the risk | | | | | | | | | | |
| <ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial | | <p>Brexit Risk</p> | | <p>The Red activity BC plan status is reviewed on a quarterly basis via a report to SMT after the CRR submission. Additionally the risk is managed as part of the Corporate Risk Management process via the CRR returns and the BC risk is also audited by Internal Audit . The last Internal Audit of the Business Continuity Risk was in in 2018.</p> | | | | | | | | | | |
| <ul style="list-style-type: none"> • Health & Safety • Stakeholder | | | | | | | | | | | | | | |

Welfare Reform

Description

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



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 numbers seeking help with homelessness due to loss of private sector accommodation has already been seen.
- Increased rough sleeping
- Increased rent arrears, increased evictions - The impact on Council tenant rent arrears has already been considerable and is having an on the HRA, this will continue to increase as more tenants move to Universal Credit.
- 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- This has already had a negative impact on the number of families where contact can be initiated by advice teams to families who have been affected by the benefit cap.
- 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. The new Landlord portal will be operational
- 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 to provide this service, the sustainability of this is therefore in question.
- 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.

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 being undertaken to cost the potential risks of Universal Credit to the HRA 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.
- a new Advice Team is now in place within the Housing Options Service to assist clients and landlords and to ensure that help available is promoted. This will include an online messaging service making the Service accessible to a wider range of clients.
- Digital and budgeting support available from Into Work and Money Advice on a Saturday for the first time for those who are claiming UC and in work
- Introduction of landlord portal so that HA's and in the future, private landlords can access information quickly about amount of and dates of payments due online

Type(s) of Impact

Linked Risks

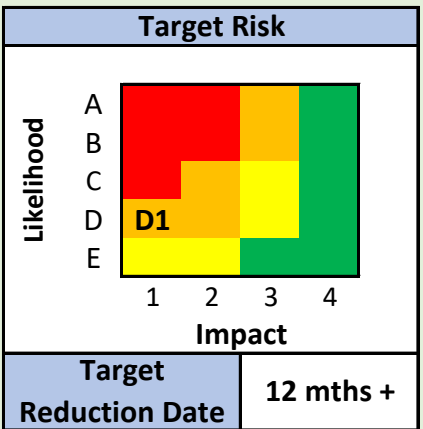
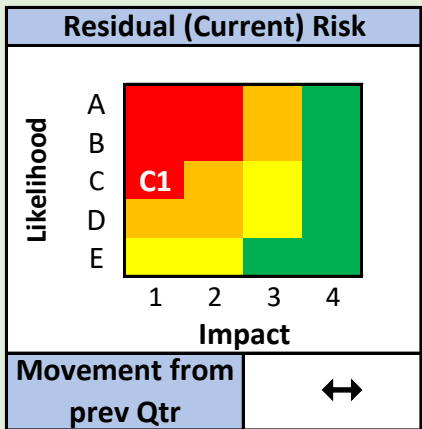
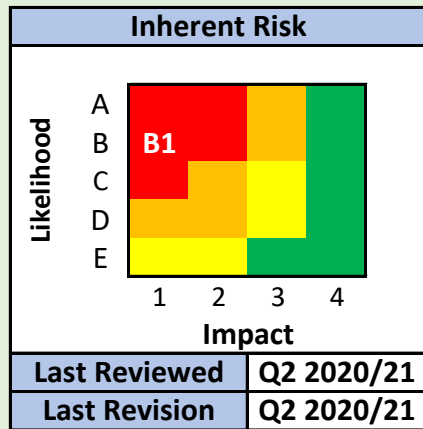
Key Indicators / Measures used to monitor the risk

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

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.



Risk Owner(s)

Sarah McGill
(Deborah Driffield)

Councillor Graham Hinchey
Children & Families

- 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
 - Direct Payments
 - Young Carers Action Plan
 - Families First Services recommissioned
 - Signs of Safety implementation plan
 - "Delivering Excellent Outcomes" Children's Services Strategy
 - Recruitment and retention strategy in place to address children's workforce issues.
 - Flexible approach to the deployment of staff utilising people's skills and capacity to solve problems / take projects forward and reduce "silo" working.
 - Focussed on what ONLY social workers can do and identified what tasks can be completed by other workers – further work on skill mix is ongoing.
 - Working hours flexible to meet service and personal needs.
 - Referrals to Safe Families.
 - Referrals to Ymbarel.
 - Provision and analysis of performance information being tailored to meet arising issues (e.g. monitoring domestic violence).
 - Managed Team resource secured - graduated exit plan in place.
 - Care & Support staff resources secured until 31st March 2021.
 - Work to develop a Reunification Framework has restarted.
 - Family Group Conferencing

- 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)
 - Following initial dip in demand in the post lock down period, demand has started to rise again; ongoing monitoring due to potential for impact of COVID-19 crisis to increase demand for services.
 - Potential for backlog of private law cases noted.

- 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

- Linked Risks**
- Workforce Planning (Social Services)
 - Safeguarding

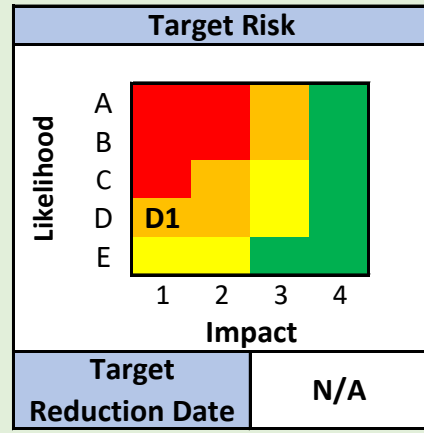
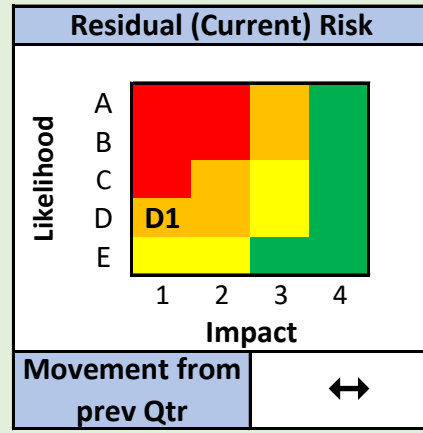
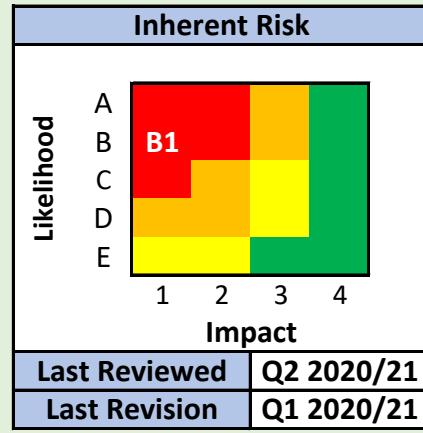
- Key Indicators / Measures used to monitor the risk**
- Children's Services:
- Early Help 1 - Number of people supported through the Family Gateway
 - Early Help 2 - Number of people supported by the Family Help Team
 - Early Help 3 - Number of people supported by the Family Support Team
 - Contacts 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

Safeguarding

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

- 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



Risk Owner(s)

Sarah McGill

Councillor Huw Thomas
Leader

Councillor Susan Elsmore
Social Care, Health & Well-being

Councillor Graham Hinchey
Children & Families

Councillor Chris Weaver
Finance, Modernisation and Performance

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

- Linked Risks**
- Increase in Demand (Children's Services)
 - Workforce - Social Services

- What we plan to do to meet target**
- (Relevant DDP 2019/20 actions noted in brackets.)
- 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.
 - 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).

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 Exploitation Strategy.
- Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with Child Exploitation.
- 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 Assessment reviews completed.
- Regular performance monitoring meetings with Children's and Adult Social Services.
- Overarching Quality Assurance Framework under development.
- All Wales Safeguarding Procedures launched.
- WAO review of corporate safeguarding.
- Communication with partners and public to ensure they are aware of how to contact Children's Services during the crisis.
- Risk rated all cases and included contingency plans on file.
- Face to face visits reintroduced on the basis of risk assessment - all statutory visits are now face to face where it is safe to do so.
- Face to face contact with all children and families reinstated on the basis of risk assessment.
- High risk panel Terms of Reference reviewed with partners.
- Priority safeguarding activity continues with partners – joint management and response to risks - agile decision making through Bronze & Silver.
- OMs have oversight of all high risk cases and share decision making responsibility.
- Regular communication with staff.
- Procedures updated and shared in response to COVID-19 crisis.
- Education provision secured for high risk children throughout the COVID-19 crisis.
- Working hours flexible to meet service and personal needs.
- Surveys undertaken with staff, children and families / carers to determine what has / has not worked well during the crisis and how we can use this experience to shape services going forward, e.g. use of technology.
- Practice development group set up with leads allocated to workstreams to shape good practice going forward.
- MISPER Strategy under development.

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
- Under development - Part IV Referrals
- Under development - Professional concerns
- Under development - Escalating concerns

Legal Compliance

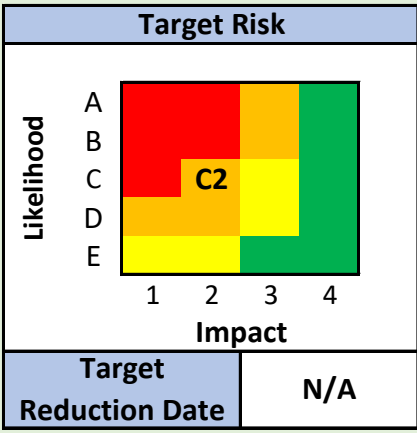
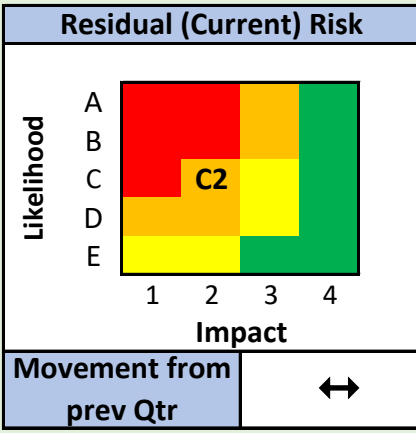
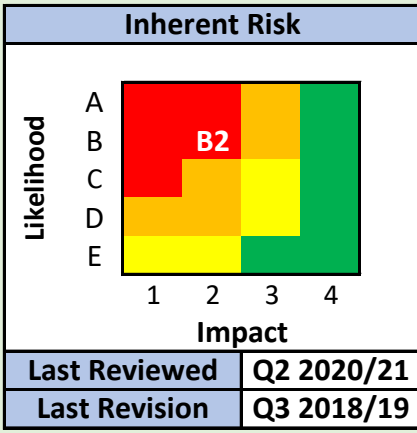
Description

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

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

In each case leading to increased risk of challenges.

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



Risk Owner(s)

Davina Fiore

Councillor Huw Thomas
Leader

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

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

What we plan to do to meet target

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

Potential Impact(s)

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

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial

Linked Risks

Key Indicators / Measures used to monitor the risk