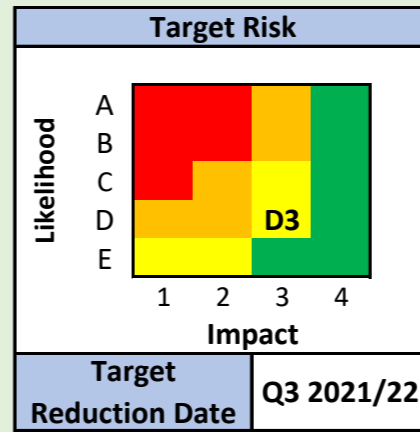
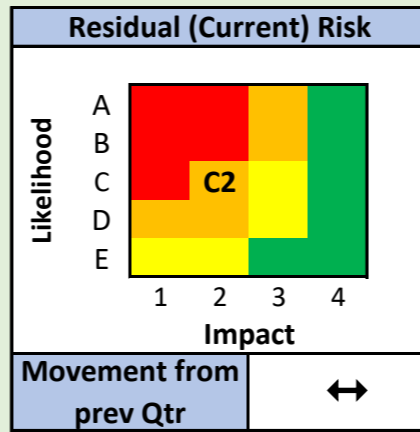
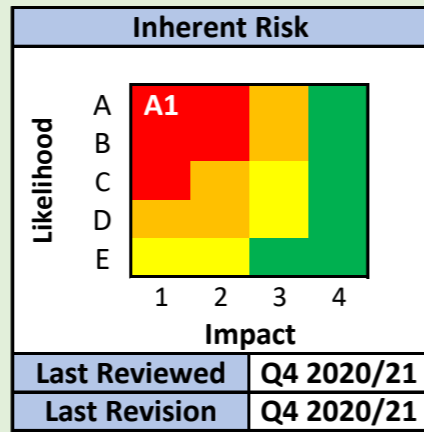


Non-completion of Statutory Building Equipment Maintenance

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 (Donna Jones) Councillor Russell Goodway Investment & Development

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

Contractor

- Building Services have appointed a competent contractor to undertake Statutory Planned Preventative Maintenance (PPM) for which it is responsible. Consequential remedial work identified on test certificates.
- Improved statutory maintenance contracting arrangements in place from Q1 2019/20 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. County Estates - Assistant Director appointed October 2020.
- The occupancy agreement (Memorandum of Agreement) for Schools was issued with the Schools Handbook and 'one front door' established to assist implementation. An occupancy agreement for non-schools properties has been drafted and circulated to relevant OM's for comment. The document is being finalised in conjunction with the completion of the One Planet Strategy by end of Qtr1 21/22 ahead of the Strategy being considered by Cabinet in Qtr2.
- The 'One Front Door' approach was rolled out across the corporate estate by end of Q4 19/20.

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

- Following initial restrictions on the type of statutory compliance testing being done in Council buildings, full testing resumed in Qtr 3 (save PAT testing in schools in the latter stages on Qtr3 as requested by H&S) although there have been issues in gaining access to some schools.

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.
- Review the arrangements for the undertaking of statutory obligations testing across the non-domestic corporate estate.

Landlord / Occupancy Agreement

- Roll out Landlord/Occupancy Agreement as part of the Property Strategy across Corporate Estate in Q2 2021/22 (delayed from 2019/20 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 Buildings Handbook which has been circulated to relevant OM's for comment and is now available for reference through the One Front Door portal.
- This document will be subject to a further review following Cabinets consideration of the Property Strategy in Qtr 2 21/22.

COVID-19

- As the WG restrictions are lifted and building re-open statutory obligation contractor to resume statutory obligations testing.
- Further WG restrictions on construction and / or building maintenance work could delay statutory obligations testing and remedial works.
- Schools imposing access restrictions as a result of COVID-19 has caused some delays and additional costs.

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
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Linked Risks

Health & Safety

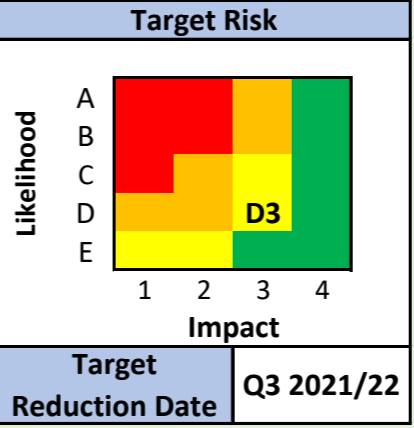
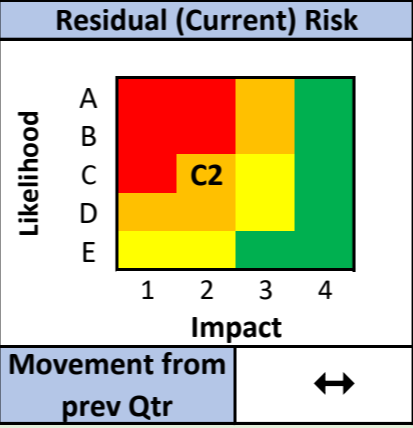
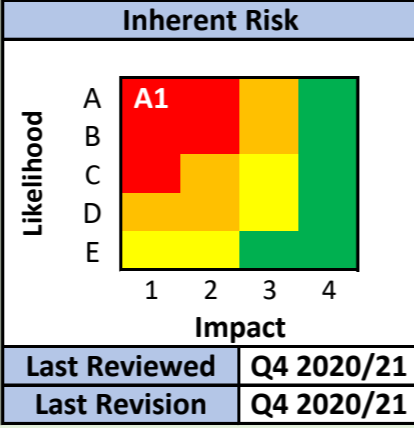
Key Indicators / Measures used to monitor the risk

Compliance stats from the Corporate Health & Safety Team.

Health & Safety

Description

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



Risk Owner(s)

Neil Hanratty
(Donna Jones)

Councillor Chris Weaver
Finance, Modernisation and Performance

- What we've done/are currently doing to achieve the Residual Risk Rating**
- RAMIS - reporting recommenced using the new platform, reports submitted to Corporate Health & Safety Forum and Senior Management Team.
 - Condition Surveys School Buildings - Complete Dissemination of Condition Survey information to schools as and when COVID-19 restrictions permit.
 - 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.
 - HSE visited 10 Cardiff Schools to review COVID-19 arrangements went well with positive feedback provided and no corrective actions required
 - Procedures to support the safe operation of the fire suppression system in Lamby Way MRF completed and Fire Risk Assessment updated, closing out insurance fire safety improvements.
 - Training webinars for building management for community organisations operating Council premises completed, to roll out when COVID-19 restrictions permit.
 - Continuation of Asbestos Training - online and face to face in line with COVID-19 Safety measures.

- What we plan to do to meet target**
- RAMIS - recommence full reporting using the new platform with focus on improvement of compliance on high risk inspections and fault rectification, which have been impacted by the pandemic.
 - Condition Surveys School Buildings - Complete Dissemination of Condition Survey information to schools as and when COVID-19 restrictions permit.
 - 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.

- Potential Impact(s)**
- Fatalities
 - Serious injuries
 - Prosecution – fines for corporate body and/or fines/imprisonment for individual
 - Civil Claims
 - Negative Publicity

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

Linked Risks

Non-completion of Statutory Building Equipment Maintenance

Key Indicators / Measures used to monitor the risk

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

Waste Management

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)								
Failure to deliver cost effective compliance with waste legislation including statutory recycling targets.				<table border="1" style="width: 100%;"> <tr> <td style="text-align: center; width: 50%;">Neil Hanratty (Matt Wakelam)</td> <td style="text-align: center; width: 50%;">Councillor Michael Michael Clean Streets, Recycling and Environment</td> </tr> </table>	Neil Hanratty (Matt Wakelam)	Councillor Michael Michael Clean Streets, Recycling and Environment						
Neil Hanratty (Matt Wakelam)	Councillor Michael Michael Clean Streets, Recycling and Environment											
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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>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 Cardiff Council working in partnership with Welsh Government, WRAP and WLGA to develop a new Recycling Service Strategy and Implementation Plan. Formal Programme Board to commence in May 2021 to review the action plan and to scrutinise business cases relating to improvements. 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, WRAP and WLGA) Hygiene (Absorbent Hygiene Products) from Municipal Solid Waste to Recycling (ongoing project with WG) Trade Waste (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 (completed) Media and communications taking place across Cardiff with focus on key areas for recycling improvement (ongoing) Commencement of new education and enforcement programme to reduce contamination in recycling and garden waste (ongoing) <p>Recycling Development</p> <ul style="list-style-type: none"> The Council's draft Recycling Strategy and action plan being reviewed by Senior Management prior to going informally to Cabinet Circular Economy Funding achieved for:- <ul style="list-style-type: none"> Trials in flats (co-mingled, re-useable sacks (aperture bins)) Segregation of litter from community litter picks (split caged transits, provision of dual hoop litter picking equipment) Providing support to Bentyg, and Llanrumney Hall, on re-use and repair projects, including community fridge- reduction of waste to Energy From Waste, but will not be claimable tonnage Tetra Pak recycling- again, not claimable but reduction of contamination in comingled recycling /reduced material to Energy from Waste 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%. <p>On 26 November, the final validated 2019-20 Local Authority Recovery Target (LART) showed Cardiff achieved a recycling performance of 58.14%</p>	<p>Targeted and tailored intervention to deal with contamination in hot spot areas across the City (ongoing)</p> <ul style="list-style-type: none"> 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) Develop a draft Waste Strategy in 2021 for consultation <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. 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 <p>A meeting took place on 25th January with the Minister. Subsequent to this, further information was requested to be provided to the Minister and Welsh Government by the end of April 2021.</p>

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

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>Mel Godfrey (Richard Portas)</p>	<p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>								
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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"> 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 the current situation, learners do not have access to ICT equipment to support distance learning 	<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, Cathays and St Mary the Virgin have been considered by Cabinet under Band B. Progression of these schemes was delayed as a result of COVID-19 but are now under way. A review of Band B has been completed and identified the priority projects to progress. Further work is required to establish Band C priorities. Successfully negotiated COVID-19 clauses with contractors for ongoing projects such as Fitzalan. 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. 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. The Council is considering additional asset funding in light of the pressing needs. 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. Starting to develop the WESP for the Council to meet the policy requirements. A draft strategic plan for ALN provision is under development, to be submitted to Cabinet June or July 2022. 			<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 progressed as planned so that consultation and engagement can progress ahead of the pre-election period. 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. 									
Type(s) of Impact	Linked Risks		Key Indicators / Measures used to monitor the risk										
<ul style="list-style-type: none"> Reputational Legal Financial Social Health & Safety Stakeholder Health and Wellbeing Sustainability 			<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. 										

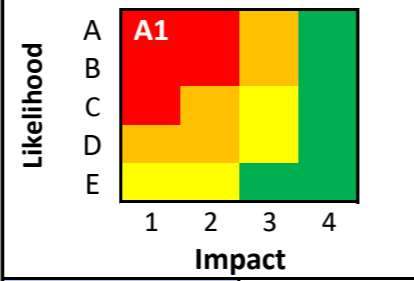
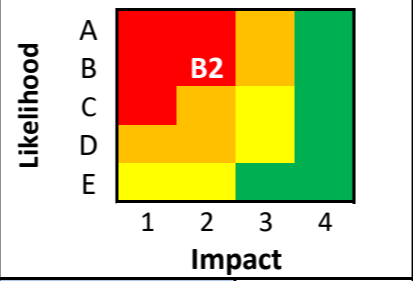
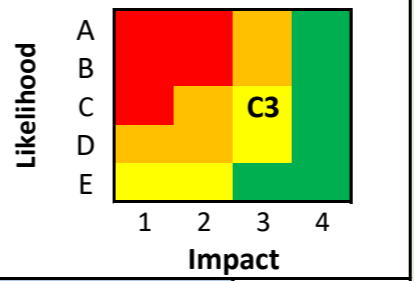
Education - Schools' Delegated Budgets

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>Mel Godfrey (Neil Hardee)</p>	<p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>								
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	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target									
	<ul style="list-style-type: none"> As at 31st March 2021, two schools have a deficit balance. Both schools have long term plans to emerge from deficit. For the 2020/21 financial year, seven schools set deficit budgets. A significant amount of grant funding was issued to schools at year-end. When excluding the impact of these grants, there are 8 schools with deficit balances, four of these are minor. Of the 8, three of these schools set a deficit budget for the year. In the process of agreeing budgets for the 2021/22 financial year. It is anticipated that there will be a low number of deficit budgets, mainly because of the grant funding which has been carried forward from the 2020/21 financial year. 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. A working group has been established to examine the impact of the recent budget settlement for schools, with the aim of reviewing the formula used to distribute school funding and the assumptions underpinning the medium term financial planning process. 			<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 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 									
	Potential Impact(s)	Linked Risks		Key Indicators / Measures used to monitor the risk									
	<ul style="list-style-type: none"> An overall deficit arising from schools budgets would count against the funding available for the Council Schools with deficit budgets may struggle to adequately fund the resources required to achieve the desired levels of educational attainment Schools with deficit budgets may struggle to adequately fund maintenance of school buildings creating an issue for other budgets, eg Capital/SOP Band B Schools that continually fail to address deficit budgets may ultimately require LA intervention, with a corresponding increase required in centralised resources 	<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 									
	Type(s) of Impact												
	<ul style="list-style-type: none"> Reputational Legal Financial 												

Education - School Improvement & Attainment

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>The risk that school improvement is not delivered as planned, in light of changing accountability and assessment arrangements and National Reforms (Curriculum and Additional Learning Needs).</p>				Mel Godfrey (Mike Tate)	Councillor Sarah Merry Deputy Leader & Education, Employment & Skills								
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	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target									
	<ul style="list-style-type: none"> Ensuring the safe reopening of schools to all learners and re-engaging pupils; maintaining access to learning and building the well-being of children and young people has been a priority for the Council as lockdown restrictions are eased. All schools have maintained learning through blended learning options and now that pupils are back in the classroom, targeted support and intervention is being provided to enable pupils to progress their education and prioritise aspects of the curriculum as required. Welsh Government has advised that learning should include: <ul style="list-style-type: none"> o Health and well-being o Literacy, numeracy and digital competence o Broad and balanced learning experiences that span the curriculum. There will continue to be a dependency on a blended learning offer as schools manage instances of pupil isolations when positive COVID-19 cases are reported, and ensure readiness for any future waves. Consortium Improvement Partners are continuing to support schools to develop and enhance approaches to blended learning. Learners undertaking GCSE, AS and A levels approved by Qualifications Wales will have their qualifications awarded through a Centre Determined Grade model in 2021 as in 2020. The Council will continue to work towards its target of equipping every learner with a digital device and connectivity. Since March 2020, 20,017 end user devices and 2,500 4G mobile broadband devices have been distributed to schools for their learners. A further 6,800 Chromebooks will be supplied over the next few weeks. 			<ul style="list-style-type: none"> Support schools through appeals processes following 2021 Centre Determined Grades. There is also some concern regarding the available options for learners who do not achieve the grades that they were capable of this summer due to the extended disruption of the pandemic since March 2020. There will be no resits for Centre Determined Grades as the process was not examination led. Options are being explored with Welsh Government to ensure that progression routes are available for all learners. Schools will be supported and encouraged to ensure that the progression of all their learners is used as a measure of success in their School Improvement Plans in line with the expectations of the emerging new Accountability and Assessment Framework from Welsh Government. The Improvement Partners at the Consortium will challenge and support schools in this respect and provide join up with the Youth Service as required to support the summer transition programme. Ensure that learning is co-constructed with parents, carers and learners building upon the progress seen during the pandemic. Focus on <ul style="list-style-type: none"> o Health and well-being o Literacy, numeracy and digital competence o Broad and balanced learning experiences that span the curriculum. Continue to work towards Curriculum for Wales 2022. 									
Potential Impact(s)	<ul style="list-style-type: none"> 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 												
	Type(s) of Impact		Linked Risks		Key Indicators / Measures used to monitor the risk								
	<ul style="list-style-type: none"> Reputational Legal Financial 				KS4 2018/19 School Performance, Outcomes from Estyn Inspections up to 2020.								

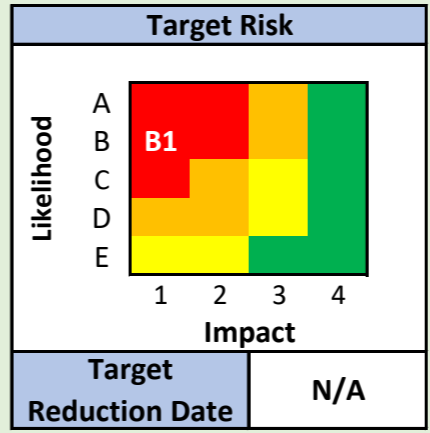
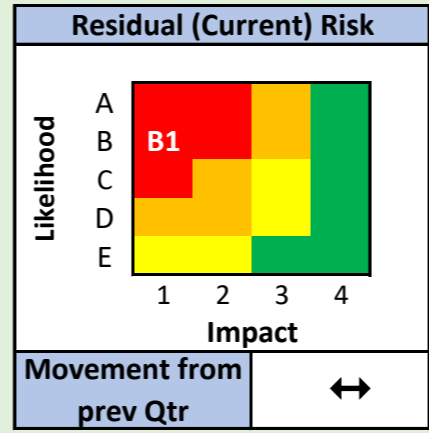
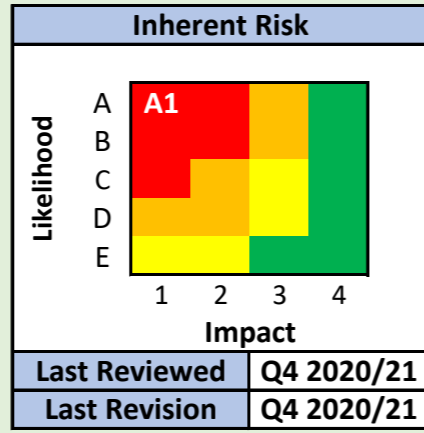
Air Quality & Clean Air Strategy

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>Air quality in Cardiff does not meet statutory requirements set by legislation and continues to have a detrimental impact on health for residents and visitors to Cardiff.</p>				Andrew Gregory (Jason Bale)	Councillor Caro Wild Strategic Planning & Transport								
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Last Reviewed</td><td>Q4 2020/21</td></tr> <tr><td style="background-color: #d9e1f2;">Last Revision</td><td>Q4 2020/21</td></tr> </table>	Last Reviewed	Q4 2020/21	Last Revision	Q4 2020/21	<table border="1" style="width: 100%; border-collapse: collapse;"> <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%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Target Reduction Date</td><td>2022/23</td></tr> </table>	Target Reduction Date	2022/23		
Last Reviewed	Q4 2020/21												
Last Revision	Q4 2020/21												
Movement from prev Qtr	↔												
Target Reduction Date	2022/23												
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target									
	<p>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.</p> <p>There are two live monitoring stations:</p> <ul style="list-style-type: none"> • 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 <p>The primary source of the pollution is road transport emissions, particularly diesel vehicle emissions. 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 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.</p> <ul style="list-style-type: none"> • Bus Retrofit scheme grants awarded to Cardiff Bus and Stagecoach, to retrofit 49 buses with latest emission reducing technology. Project expenditure will carry forward into Q1/Q2 of 2021/22, owing to the timescales for delivery and installation. Projected that all buses will be completed by the end of August. • Ph1 City Centre West scheme (Wood St & Central Square) is ongoing. • Revised modelling for Castle Street, showed further significant air quality benefits from Bus Gate Scheme compared to initial Clean Air Scheme. This would further improve level of compliance on Castle Street. Results did not show any significant negative displacement impacts in terms of NO2 concentrations. Further full scale VDM runs of the model are being undertaken to provide further data and confidence of the revised scheme. These results will account for mode shift and journey cancellations etc. Further review of longer term impacts of COVID will also be considered in the updated assessment. • Welsh Government provided confirmation on the revised Taxi Scheme which consists of two distinct elements. 1) Up to an amount of £6,000 to support the purchase price of full electric vehicles ONLY (Saloon or WAV); and 2) a ringfenced amount to support a WAV lease scheme. These WAV vehicles will be full electric only. The amount will be used to purchase and manage 15 vehicles. As stated by Welsh Government “These vehicles will be procured in batches of 5 ensuring that interest can be tested prior to full roll-out (and paused if it becomes apparent that less than 15 vehicles would be adequate). Work is ongoing to confirm legal requirements to establish both schemes with a view they are launched early summer 2021. 			<ul style="list-style-type: none"> • 'Implement Clean Air Plan - Implement package of measures detailed in Final Plan, as per agreed plan and programme, following successful WG funding award. • Further assessment on Castle Street to undertake more detailed modelling on revised scheme. Decision on timeframes of this will need to be made as could impact on completion date. • Finalisation of Evaluation Plan following comments from expert panel on existing proposals. • 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. • Bid for One Planet Cardiff funding to initiate Phase 1 of Clean Air Cardiff Monitoring Network, with a view of establishing 10 near realtime monitors across city. these will compliment existing network of monitors already installed as a part of the initial Clean Air Plan. 									
	Linked Risks		Key Indicators / Measures used to monitor the risk										
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr style="background-color: #d9e1f2;"><th colspan="2">Type(s) of Impact</th></tr> <tr> <td style="width: 50%; vertical-align: top;"> <ul style="list-style-type: none"> • Health • Regulatory • Financial • Strategic </td> <td style="width: 50%; vertical-align: top;"> <ul style="list-style-type: none"> • Reputational </td> </tr> </table>	Type(s) of Impact		<ul style="list-style-type: none"> • Health • Regulatory • Financial • Strategic 	<ul style="list-style-type: none"> • Reputational 			<ul style="list-style-type: none"> • Implementation Plan for measures (funding dependent) • Monitoring and Evaluation Plan for Clean Air Plan • Ongoing monitoring and reporting under LAQM 						
Type(s) of Impact													
<ul style="list-style-type: none"> • Health • Regulatory • Financial • Strategic 	<ul style="list-style-type: none"> • Reputational 												
Potential Impact(s)													
<p>Health & Safety</p> <ul style="list-style-type: none"> - No improvement to health - Increased burden on health care - Further deterioration of related health conditions <p>Legal & Regulatory / Financial</p> <ul style="list-style-type: none"> - Breach of legal / statutory requirements - Potential significant financial penalty 													

City Security

Description

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



Risk Owner(s)

Chris Lee
(Gavin Macho)

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
- Areas protected against the threat of hostile vehicles include the Principality Stadium, St Mary Street, Queen Street, St David's Dewi Sant and 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
- Cardiff has led the way in Wales in relation to adopting comprehensive security measures for its City centre. This has been recognised in the development of new Welsh national structures, the Protective Security Preparedness Group (PSPG), which follows our historic Protect Group.
- The Cardiff PSPG is chaired by the Chief Executive and meets every 3 months. It has commissioned a major strategic review of all City Centre Security matters with reference to how existing arrangements will fit into the new developments coming online.
- The development of the PSPG has constituted in a CONTEST Board review which with new governance is providing security a growing focus.

What we plan to do to meet target

- The PSPG Chair has commissioned a Director led review across all relevant Service areas to assess current operational and tactical arrangements for City Security to see if they are effective. All opportunities for improvement to captured and costed.
- The PSPG is broadening its remit by taking on a more comprehensive portfolio of security issues inclusive of Cyber Security, Insider threat and personal security. Training and development being planned, projects managed at director level.
- Consideration to be given to incorporating structured and strategic conversations about security and counter terrorism into pre application stage of major developments.
- The PSPG will try to engage with Government to find funding to improve and develop Cardiff's security arrangement. Shovel ready projects ready to go.
- The Cardiff PSPG to reach out to Swansea and Newport so the 3 cities can support each other in the development of best practice.

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

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

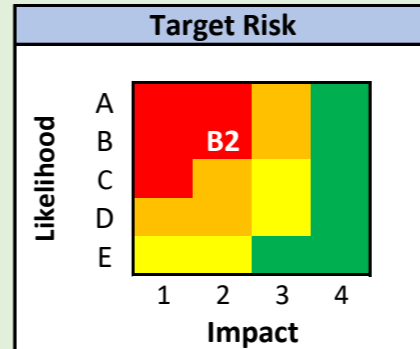
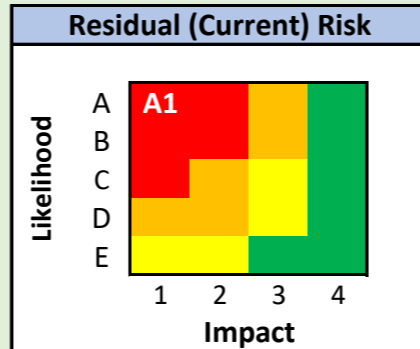
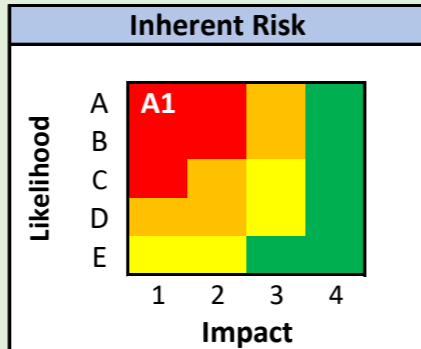
Linked Risks

Key Indicators / Measures used to monitor the risk

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

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

Last Reviewed Q4 2020/21
Last Revision Q4 2020/21

Movement from prev Qtr ↔

Target Reduction Date 2022/23

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

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

The Council has declared a Climate Emergency and instigated a One Planet Cardiff Strategy as its strategic response to this.

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.
- See separate tabs for details
- COASTAL EROSION
- 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

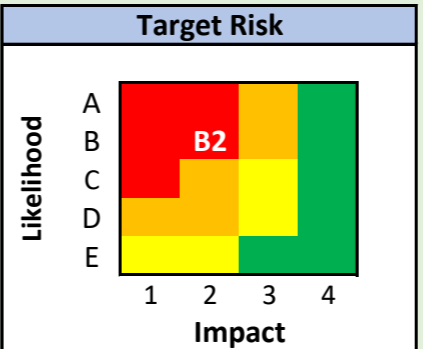
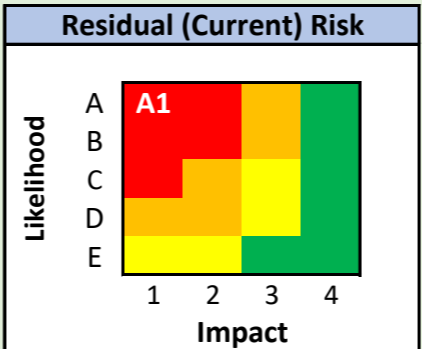
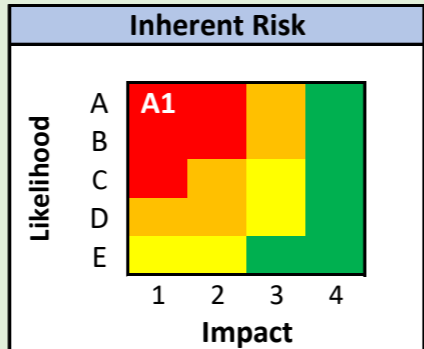
Description
Cardiff is not able to manage the effects of climate change and energy security due to lack of future proofing for key (social and civil) infrastructure and business development.

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

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



Last Reviewed Q4 2020/21
Last Revision Q4 2020/21

Movement from prev Qtr ↔

Target Reduction Date 2022/23

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

- Launch of One Planet Cardiff: October 2020
- 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.
- Response to Environmental Scrutiny Task and Finish on Biodiversity Reported for Cabinet November 2020

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>
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What we plan to do to meet target

- Develop Coed Caerdydd Strategy to maximise tree canopy cover within Cardiff - awaiting funding confirmation
- 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
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.

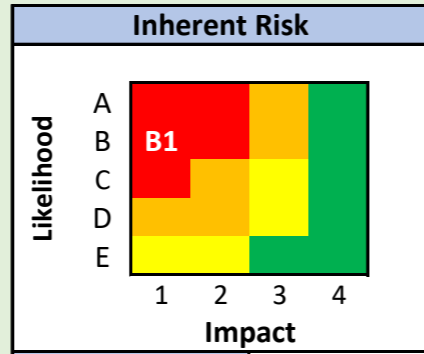
Potential Impact(s)

Energy security (energy efficiency & decarbonisation of supply)

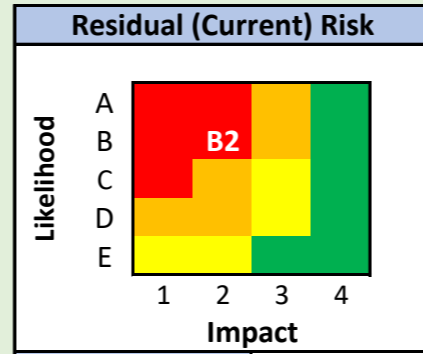
- Inconsistent energy supply
- Increased costs
- Inability to deliver public services
- Decrease in economic output
- Disruption to the supply of utilities
- Increased transport costs
- Increased costs for heating / providing services to buildings
- Increased fuel poverty

Type(s) of Impact

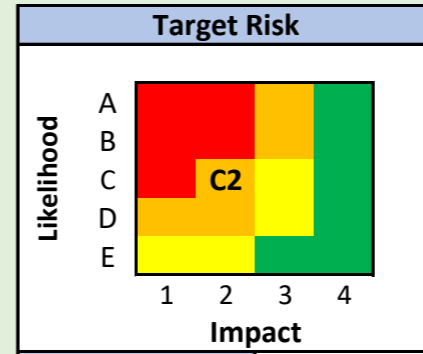
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|--------------------|---------------------------|
| • Service Delivery | • Health & Safety |
| • Reputational | • Partnership |
| • Legal | • Community & Environment |
| • Financial | • Stakeholder |



Last Reviewed Q4 2020/21
Last Revision Q4 2020/21



Movement from prev Qtr ↔



Target Reduction Date 2022/23

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

Energy security (energy efficiency & decarbonisation of supply)

- 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.
- Full consultation process on the One Planet Cardiff Strategy complete.
- Established internal and external partnership and governance boards to steer our response to the climate emergency.
- Energy efficiency measures being installed through Re-Fit and Salix projects - Now managed by FM
- Phase 2 of Re-Fit project finalised and going through due diligence with Salix funding organisations - Schools focus for this tranche
- NPS Consortium approach to purchasing energy to secure best prices - continuing by Economic Development
- Lamby Way solar farm complete.
- District Heat Network - Funding in place, contractor appointed and Special Purpose Vehicle for delivery established - construction planned to start in Autumn 2021
- Carbon baselining and impact modelling process being undertaken to assess progress against One Planet Cardiff Objectives
- Scoping additional carbon reduction projects for future action as part of the One Planet Cardiff project
- 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

Linked Risks

- Coastal Erosion
- Air Quality
- Business Continuity

Linked Documents

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

Risk Owner(s)

Andrew Gregory (Gareth Harcombe/ Liz Lambert)	Councillor Michael Michael Clean Streets, Recycling and Environment
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What we plan to do to meet target

Energy security (energy efficiency & decarbonisation of supply)

- Approve a final One Planet Cardiff Strategy with carbon reduction targets and associated action plan for delivery over the to 2030
- Approve "Mission Statements" to secure low/zero carbon development and retrofit in the Council's Estate
- Approve a policy position to guide new private sector development in the city
- Implement the Cardiff District Heat Network
- Deliver a Private Wire connection from the Lamby Way Solar Farm to the Welsh Water treatment works nearby to help decarbonise the city's waste water processing activities
- Work with WG Energy Services advisors to assess future renewable generation and carbon reduction schemes - ongoing as part of the One Planet Cardiff Project.
- Seek ways to accelerate housing energy efficiency and retrofit schemes across the city and possibly the region as part of the One Planet Cardiff project.
- Electric Vehicle strategy - first tranche of residential chargers delivered and second tranche now finalised. 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

Key Indicators / Measures used to monitor the risk

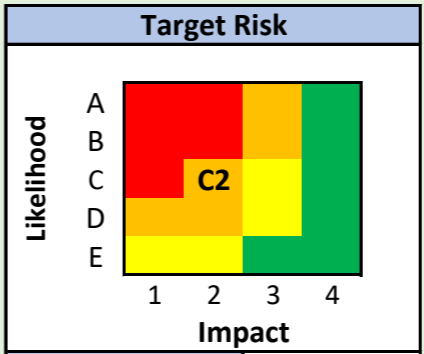
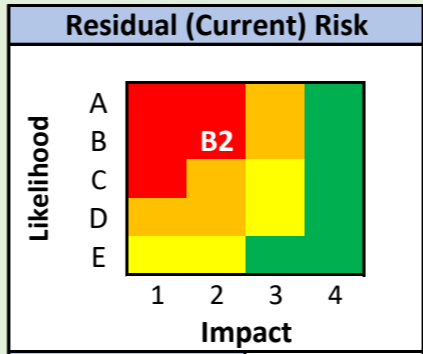
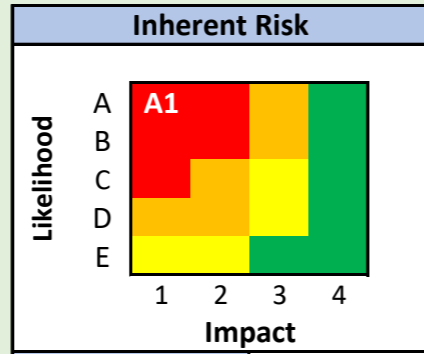
Energy use / renewable energy production of Cardiff Council

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



Last Reviewed Q4 2020/21
Last Revision Q4 2020/21

Movement from prev Qtr ↔

Target Reduction Date 2022/23

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
- 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.

The winter so far has been demanding due to long periods of sub zero road temperatures but the winter service has continued to be delivered despite the adverse effects of Covid 19 on resources. The risk however remains for disruption to the service as detailed above.

The position for Q4 remained the same as Q3, challenging weather conditions and resource pressures but the service was delivered in line with statutory requirements. The winter service was extended by 2 weeks to the 18/4/21 due to unseasonably cold overnight temperatures.

- Linked Risks**
- Coastal Erosion
 - Air Quality
 - Business Continuity

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

Risk Owner(s)

Andrew Gregory
(EMU/Gary Brown)

Councillor Michael Michael
Clean Streets, Recycling and Environment

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 strategy's for future developments, planning the management of this risk

Extreme Cold/ Snow

- Investigate further whether external assistance can be utilised/is available to build future resilience.

Key Indicators / Measures used to monitor the risk

Climate Change - Flooding

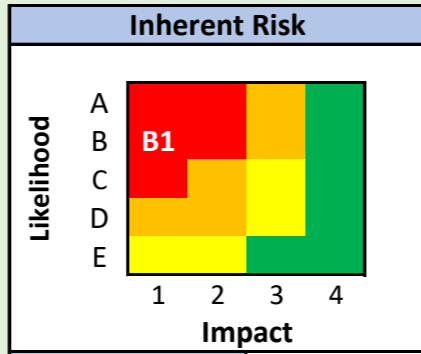
Description
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Potential Impact(s)

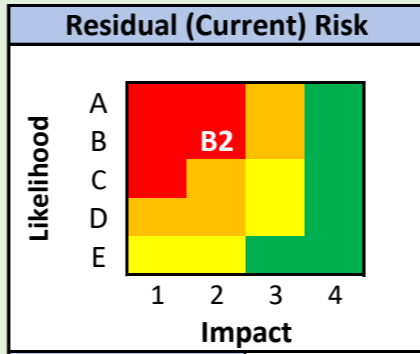
- Flood & Storm**
- Loss of life and risk to life
 - Direct damage to property, utilities and critical infrastructure
 - Blight of Land and Development
 - Disruption to service delivery
 - Contamination and disease from flood and sewer water and flood on contaminated land
 - Increase in health issues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

Type(s) of Impact

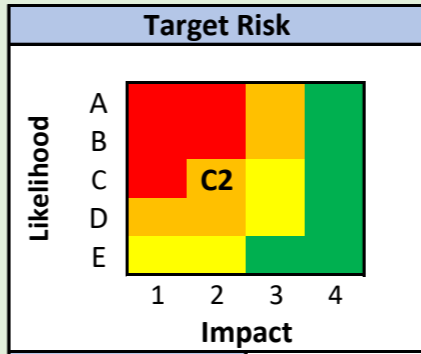
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Last Reviewed Q4 2020/21
Last Revision Q4 2020/21



Movement from prev Qtr ↔



Target Reduction Date 2022/23

Risk Owner(s)

<p>Andrew Gregory (Gary Brown/ David Brain James Clemence/ Stuart Williams)</p>	<p>Councillor Michael Michael Clean Streets, Recycling and Environment</p>
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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.
- Applications to WG have been successful for further grant funding in year and in 2021/22 to support studies and implementation of localised flood prevention 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.

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

Coastal Erosion

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>Breach of current defences resulting in widespread flooding (current defences are ad hoc and are in a very poor condition)</p>				<p>Andrew Gregory (Gary Brown/ David Brain)</p>	<p>Councillor Michael Michael Clean Streets, Recycling and Environment</p>								
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Last Reviewed</td><td>Q4 2020/21</td></tr> <tr><td style="background-color: #d9e1f2;">Last Revision</td><td>Q3 2020/21</td></tr> </table>	Last Reviewed	Q4 2020/21	Last Revision	Q3 2020/21	<table border="1" style="width: 100%; border-collapse: collapse;"> <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%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Target Reduction Date</td><td>2022/23</td></tr> </table>	Target Reduction Date	2022/23		
Last Reviewed	Q4 2020/21												
Last Revision	Q3 2020/21												
Movement from prev Qtr	↔												
Target Reduction Date	2022/23												
	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"> 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. <p>Coastal Defence Scheme:</p> <ul style="list-style-type: none"> 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. 			<p>We will be designing & delivering an effective coastal flood protection scheme as a matter of priority.</p> <p>Detailed design and full business case ongoing</p> <p>Keysteps:</p> <ul style="list-style-type: none"> Completion date for detailed design and Full Business Case (FBC) anticipated late 2021 (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. <p>Extensions for timescales due to Covid 19 delays, and complexities of the ground conditions and therefore design, have been agreed with WG - funding for FBC has been increased to cover additional costs (plus WG grant % increase) and extended to 16 March 2022.</p> <ul style="list-style-type: none"> Anticipated construction starting 2022, subject to the above, with completion 2024. 									
Potential Impact(s)	<ul style="list-style-type: none"> Continued coastal erosion along the coast threatening the Rover Way Traveller site and critical infrastructure including Rover Way and the Rover Way/Lamby Way roundabout Erosion to two decommissioned 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									
				<ul style="list-style-type: none"> 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 									

Performance Management

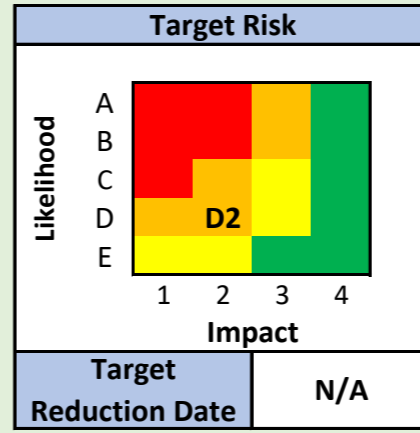
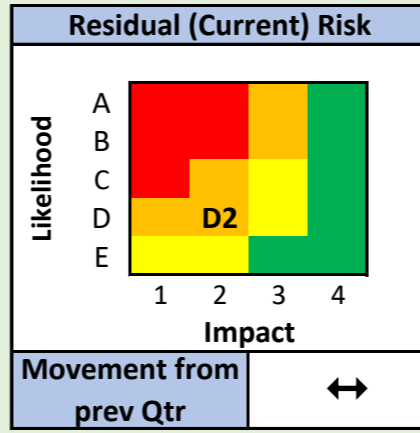
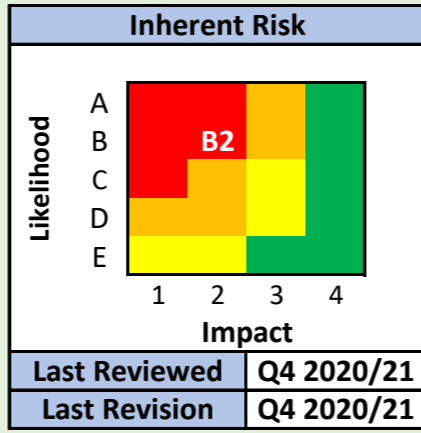
Description

The risk that the Council's Performance Management arrangements do not achieve their stated purpose.

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 have been set out in Local Government Bill and work is being undertaken to ensure the requirements are embedded in 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 Corporate Plan for 2021/24 has been published following detailed engagement sessions with Cabinet and SMT, chaired by the Leader. The approach included an enhanced data visualisation process, to more effectively present key organisational performance data. A weekly Covid Management Dashboard has also been developed to monitor key data sets relating to pandemic management, which is accessible to Cabinet Member and the Council's Senior Management Team.
- An internal audit of compliance with the Future Generations Act provided an assessment of "effective with opportunity for improvement". This follows on from the internal audit of performance management which also provided an "effective with opportunity for improvement" assurance assessment, and the recommendations will be responded to as part of a revised performance management framework being developed in response to the new performance requirements of the Local Government and Elections Act.

What we plan to do to meet target

- Publish an end of year performance review by July 2021 and 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>Chris Lee (Ian Allwood)</p>	<p>Councillor Chris Weaver Finance, Modernisation and Performance</p>								
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Last Reviewed	Q4 2020/21												
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Target Reduction Date	Q4 2021/22												
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target									
	<ul style="list-style-type: none"> Clear financial procedure rules setting out roles and responsibilities for budget management are in place. Due diligence has been undertaken in claiming to the Hardship Fund. The support from Welsh Government in the form of Local Authority Hardship Claims has equated to circa £51m for the full year, Additional Costs, and circa £40m for lost income for the full year. Claim Process on a quarterly basis and a sign off process is in place to mitigate against the risk of any payback requirement at a future point. Claims for loss of income are adjusted for those costs that can be avoided. Claims are also reviewed to ensure they reflect the reality of the time claimed and where applicable adjustments to pay back are made in a timely fashion. As the year progresses the uncertainty of amounts has diminished but the need for evidenced forecasts remain. The Directorate Position is likely to improve as more certainty of support from Welsh Government is received. The Corporate Director of Resources, Chief Executive and Cabinet Members have held challenge meetings throughout the year 2020/21 to ensure there is a focus on understanding any impending financial matters and any mitigations needed to be put in place in order to improve / maintain the respective Directorate financial position where appropriate. This is with a view to gaining an understanding of the likely financial position and the matters that require addressing. Full financial monitoring process is in place for month 3 to 11 of the financial year including achievement of budget savings. 			<p>2021/22 and the Medium Term</p> <ul style="list-style-type: none"> Put in place a risk assessed report on Capital Spend and timescale of completion Maintain an appropriate level of due diligence in respect to Hardship Grant Claims in order to reduce the risk of significant under / over claiming Ensure all Directorate Risk Registers capture the key financial risks and they are reported through as part of the financial monitoring process. 									
Potential Impact(s)	<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 draw down from General Reserves at the year end 												
Type(s) of Impact	Linked Risks		Key Indicators / Measures used to monitor the risk										
<ul style="list-style-type: none"> Service Delivery Reputational Legal Financial 	<ul style="list-style-type: none"> Stakeholder 		<ul style="list-style-type: none"> Financial Resilience Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted Review of use of earmarked reserves and balances - Half Yearly Amount of Hardship Support claimed successfully 										

Financial Resilience

Description

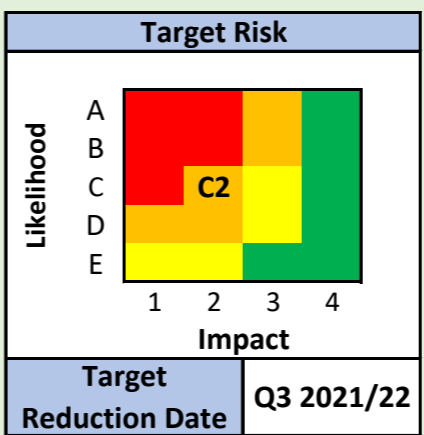
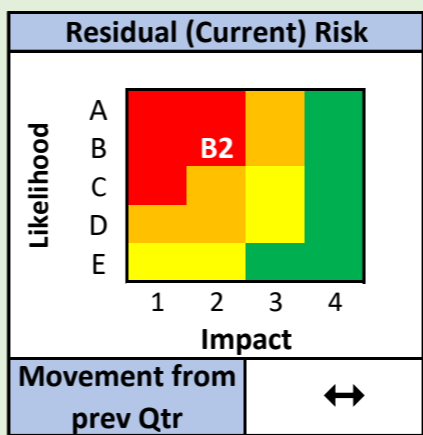
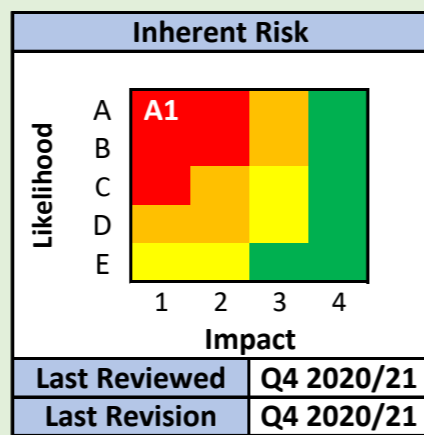
- Failure to deliver a balanced annual budget and a fully informed Medium Term Financial Plan.
- Lack of appropriate mechanisms to identify and manage unexpected financial liabilities.
- The current outlook is that there is a Budget Gap of £85 million for the period 2022/24 to 2025/26.

Potential Impact(s)

- Failing to meet statutory obligations and potential for service delivery to be adversely affected.
- Reaching the point where a s114 notice is required to be issued by the S151 Officer.
- Reputational damage to the Council.
- Needing to draw down significant unplanned amounts from reserves.
- Levels of borrowing become unsustainable.
- Inability to progress policy initiatives.
- Inability to manage adverse external factors - e.g. adverse settlements, WG rent policy etc.
- Financial constraints and budget proposals result in unintended consequences such as increased instances of non-compliance and financial impropriety.
- Requirement for significant savings at short notice that are therefore not identified in a coherent, strategic way and which impact on service delivery.
- Level of borrowing limits the ability of future generations to take forward new priorities.

Type(s) of Impact

<ul style="list-style-type: none"> • Service Delivery • Reputational • Legal • Financial 	<ul style="list-style-type: none"> • Stakeholder
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Risk Owner(s)

<p>Chris Lee (Ian Allwood)</p>	<p>Councillor Chris Weaver Finance, Modernisation and Performance</p>
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What we've done/are currently doing to achieve the Residual Risk Rating

2021/22 and Medium Term

- Regular monitoring to understand the in-year position and gain early insight into emerging risks that need to be factored into the MTFP work.
- Engaging and working in partnership with directorates during the budget process to ensure that budget proposals and services are deliverable within timescales and quantum (revenue and capital)
- Mechanisms in place such as Treasury Management Reserve and Financial Resilience Mechanism in order to dampen the impact of a worse than anticipated financial climate / settlements.
- Preparation of Prudential Indicators and a local affordability indicator to help assess the affordability, prudence and sustainability of the capital programme and associated levels of borrowing
- Close alignment with Corporate Plan objectives, to ensure resources are allocated appropriately, and that longer term financial savings are developed in enough time to be realised.
- Regular review of contingent assets and liabilities, and provisions to ensure the Council has adequate cover for emerging liabilities.
- Robust monitoring of the impact of C19 to ensure all eligible items have been claimed in- year.
- An approved TM Strategy to mitigate risk - incorporates borrowing at fixed rates to reduce exposure to future interest rate fluctuations
- A Major Projects accountancy function supporting the identification of key risks / financial issues in relation to large schemes.
- Maintaining approach to robust financial control mechanisms and strengthening complex / areas of risk through training e.g. VAT.

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 because of the impact of the Covid 19 crisis.
- Continue to refresh assumptions at key stages as relevant information becomes available.
- Consider and take any opportunities to increase earmarked reserves in order to provide first line of defence against financial shocks.
- Review corporate approach to business case development, approval and post project monitoring to ensure expenditure assumed to pay for itself can do so over its expected life.
- Strengthening links between financial planning and asset management strategies, which consider the current condition of assets and future requirements.
- Identify clear, detailed plans and timescale for delivery of capital receipts targets.
- Enhance focus on a multi-year position (recognising limitations where settlement information is for one year only.)
- Review approach to governance and financial monitoring of special purpose vehicles to ensure liabilities and any financial guarantees are understood and are appropriate.
- Undertake Self-Assessment against the CIPFA FM code and Balance Sheet Review and implement any findings or recommendations, which provide further financial resilience.
- Confirm approach and reporting of commercial investments as part of standard monitoring processes and reports.

Linked Risks

Budget Monitoring (Control)

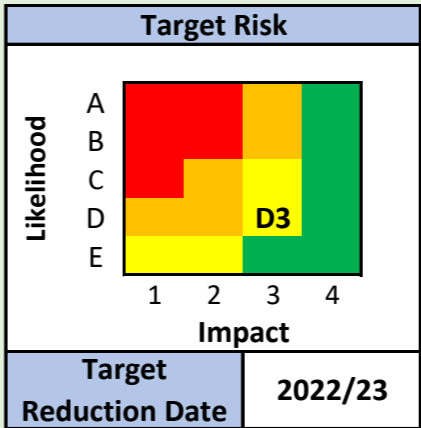
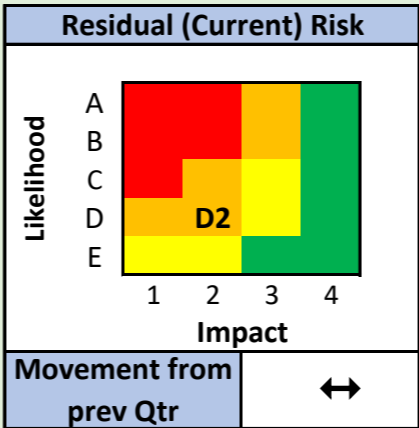
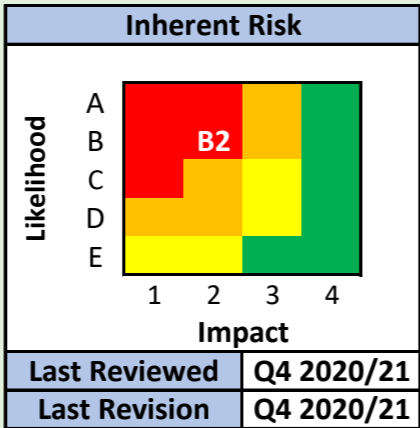
Key Indicators / Measures used to monitor the risk

- Financial Snapshot which highlights historical & current performance with regards budget monitoring, achievability of savings, levels of borrowing, and financial ratios.
- 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.
- Section 151 Officer Statement in respect of capital strategy, adequacy of reserves and other statutory commentary.

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, Anti-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 Audit Wales.
- Receipt and dissemination of fraud intelligence alerts from law enforcement agencies.
- Regular reports to the Section 151 Officer, Governance and Audit Committee, Portfolio Cabinet Member and the Chief Executive.
- Governance and 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.
- 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.
- Fraud Publicity Strategy, 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 2019, with associated Fraud Awareness eLearning rolled out to all pc users commencing.
- 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, undertaken annually thereafter.
- 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.
- Revised 'Anti-Money Laundering Policy' approved by Cabinet in Q3 2020/21 and eLearning rolled out to officers with key roles and those working in high-risk areas.
- 'Authorisation and Protocol Requirements for Review of Work Activities' approved by Cabinet in Q4 2020/21.

What we plan to do to meet target

- Development of an Internet Investigation Procedure.
- Review the suite of Counter-Fraud Operational Policies alongside the review of the Council's Disciplinary Policy commencing 2021/22.
- Monitoring and reporting completion rates of mandatory fraud awareness training and anti-money laundering 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

- Mandatory Fraud Awareness eLearning completion and face-to-face attendance rates
- Anti-Money Laundering eLearning completion rates
- Delivery of Fraud Awareness week campaign annually
- Delivery of Policy updates in accordance with associated targets
- Delivery of mandatory investigating officer training and the note taker training
- Timely completion of casework and investigations
- Provision of timely investigation and counter-fraud advice, guidance and support to Directorates
- Adherence to the NFI Security Policy and annual completion of compliance forms

Type(s) of Impact

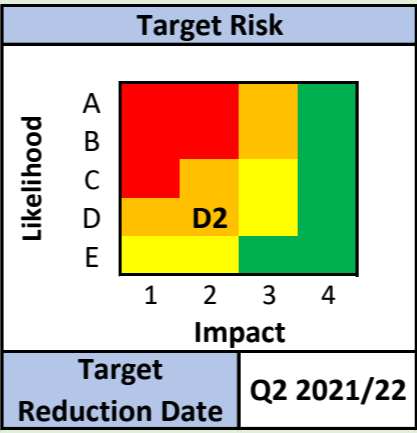
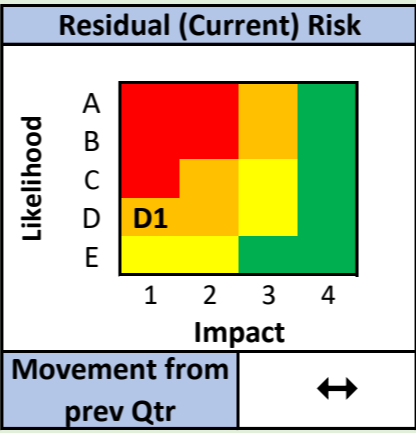
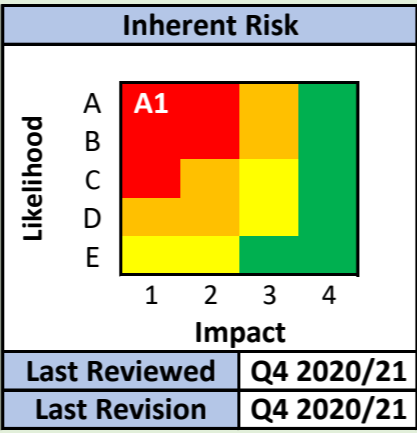
- Service Delivery
- Reputational
- Legal
- Financial
- Stakeholder

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

- Annual updating of Information Governance Processes, Policies and Strategies with a focus on communication of content in order to mitigate risk of data breaches / transgressions occurring due to lack of knowledge.
- Gold level assurance achieved through the annual Cyber Security Plus ISAME Accreditation in order to mitigate likelihood of cyber security breaches due to out dated knowledge.
- Processes established through procurement and ICT acquisition processes to ensure Data Protection Impact Assessments are completed if personal data is being processed, including Data Processing Agreement with third party contractors. This helps to reduce the incidence of cases that arise after procurement and implementation
- A corporate Information Asset Register, details personal data assets held by each Council directorate and enables. This enables the Council to respond to requests for information or enquiries in a more timely manner.
- Service Level Agreements in place where Cardiff Council is the Data Controller for regional services, including Rent Smart Wales, National Adoption Service and Cardiff Capital City Deal to ensure clear steps in dealing with multi agency requests.
- 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 with alternative delivery contracts in place to support increased paper storage demands.
- Data Protection e-learning training released with an extended period for completion during 2020/21 and compliance reports are regularly issued.
- An Information Governance Champions Group has been established and received monitoring reports and provides a means for escalation of issues to improve compliance. The Group of IG Champions will be responsible for monitoring and reporting IG compliance into the Information Governance & Security Board

What we plan to do to meet target

- Conduct a review of all directorates Information Asset Registers to ensure that these are accurate and up to date which will reduce the impact or likelihood of a data transgression.
- Further staff awareness sessions on Information Governance communicating the need to comply with policies and highlighting the responsibilities of staff and managers.
- Build on the work initiated with Information Governance Champions and implement a set of activities over 2021/22 with a particular focus on high likelihood risks.
- Initiate a review of the Council's Publication Scheme to determine next steps for continued assurance and ensuring material is up to date and fit for purpose against the risks.

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
- A Decision Notice could be issued as a result of non compliance with an FOI/EIR request which would require information disclosure
- 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

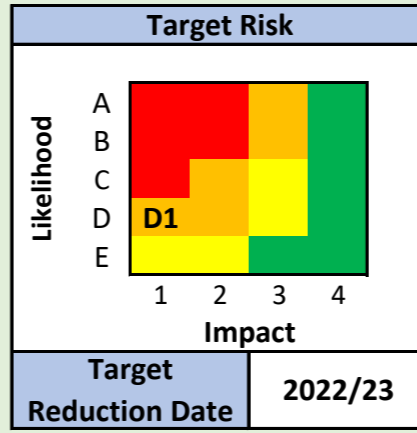
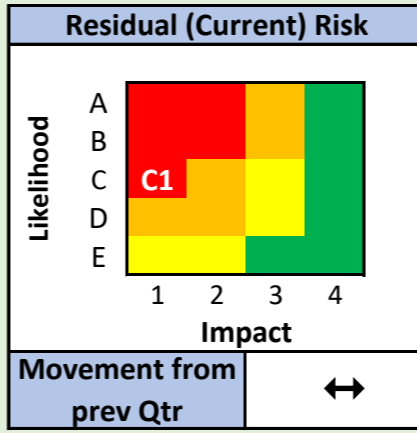
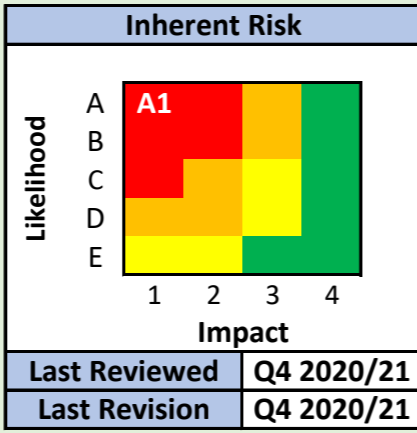
There are 11 areas of potential risk within the National Cyber Security Centre cyber risk model. Of these, nine are assessed as well controlled within the Council

Three 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

Secure Configuration - Increased risk from malware and ransomware.

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

Secure Configuration

- Corporate - Procurement of replacement devices and outdated applications
- Above will facilitate management review of cost of replacement and enable greater planning of replacements.
- ICT: Early and clear notification to service and systems owners of when solution will need replacing or upgrading.
- ICT: Tougher stance on removing or blocking systems and services that are not fully supported by suppliers and as such may pose a risk to security and compliance.
- ICT Malware / Ransomware Risk Report has been submitted for review by ICT Management.

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

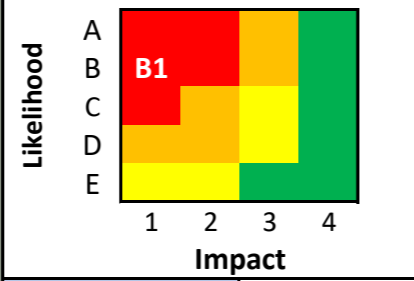
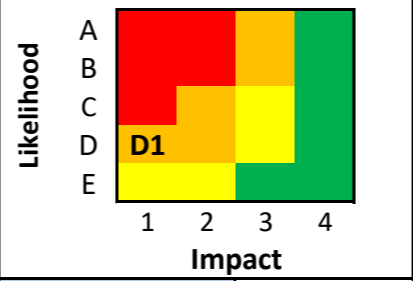
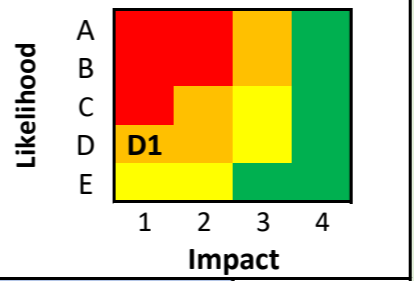
Key Indicators / Measures used to monitor the risk

- 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
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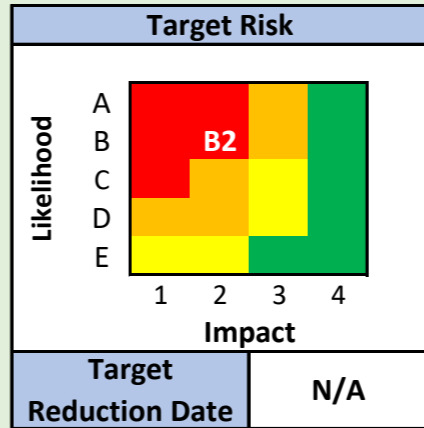
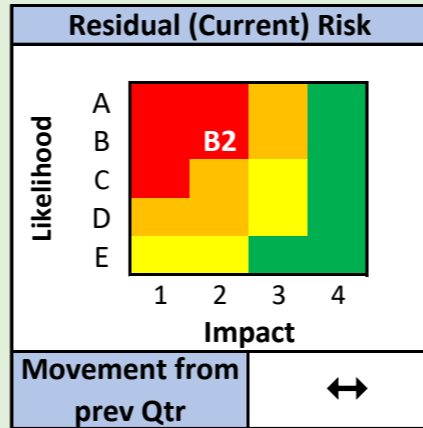
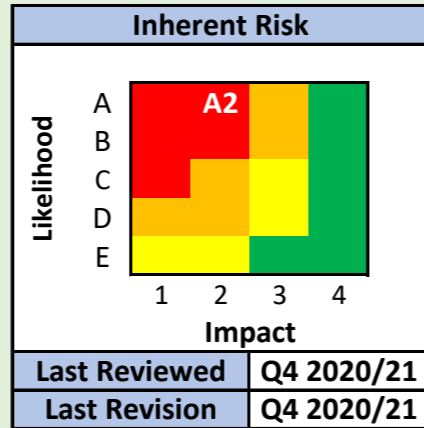
Business Continuity

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>Large scale incident/loss affecting the delivery of services.</p> <p>The potential risk is that our most time sensitive activities are not sufficiently resilient and fail, following an incident which impacts on their delivery and that our incident management structure, used in response to internal incidents and external emergencies, also fails in response to an incident.</p>				Chris Lee	Councillor Huw Thomas Leader								
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Last Reviewed</td><td>Q4 2020/21</td></tr> <tr><td style="background-color: #d9e1f2;">Last Revision</td><td>Q4 2020/21</td></tr> </table>	Last Reviewed	Q4 2020/21	Last Revision	Q4 2020/21	<table border="1" style="width: 100%; border-collapse: collapse;"> <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%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Target Reduction Date</td><td>N/A</td></tr> </table>	Target Reduction Date	N/A		
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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

What we plan to do to meet target

Further additional resource has been agreed for supporting council tenants following the implementation of Universal Credit Full Service as rent arrears have increased significantly, staff have been recruited to assist with this and the new team is working well. Rent arrears procedure has been reviewed to include a more preventative and flexible approach and more assistance for more vulnerable tenants. After an initial sharp increase in rent arrears, the rate of increase has stabilised. This will be monitored over the coming months.

- Work has been undertaken to cost the potential risks of Universal Credit to the HRA and this will continue to be updated as more information is known.
- Temporary funding has been allocated to the Money Advice Team for 1 year to increase staffing, which will help with the negative impacts of both Welfare Reform and the pandemic on citizens.
- Regular meetings are held with social housing providers to monitor and improve processes.
- DHP spend is being monitored carefully. Expenditure for 2020/21 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
- Extensive publicity campaign was launched early 2021 promoting the Advice Services to encourage people to seek sooner rather than later and to raise awareness of the service.

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.
- Discretionary Housing payments are used to top up benefit claims and offer rent rescue packages to those most affected by the changes, and to pay rent in advance and bonds to help tenants to move accommodation where necessary.
 - Housing Options have undertaken a review of staffing levels due to increased demand on the service with prevention of homelessness its core objective. A range of support interventions are offered to tenants and landlords to reduce those needing to access homeless services.
 - Increased partnership working to ensure that specific groups are encouraged to access help at the earliest opportunity including prison leavers, asylum seekers and those with no recourse to public funds. Marketing the service to reach as many vulnerable clients as possible working with rent smart wales, community hubs, citizens advice bureau and Cardiff Credit Union. To ensure clients affected by reduced income due to the pandemic an additional marketing drive has been delivered using social media.
 - 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.
 - A new rent rescue pathway has been launched to support any clients who disclose rent arrears with Hub, Money Advice and Cardiff and Vale Credit union and HOC working together to support those identified. Letters have also been sent to landlords advising them of the support the HOC can provide them if their tenants are in arrears.
 - 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. Welfare Liaison team work 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. (Paused during Covid but Economic taskforce set up to support people affected by the economic downturn due to the pandemic.)
 - Information Briefings continue to be provided to Members on Welfare Reform as appropriate.
 - Digital inclusion training and Universal Credit Support has been rolled out across all the new Community Hubs.
 - Into Work Services has been expanded to include Adult Learning and Cardiff Works, providing more pathways into work. The team can provide help and support to anyone in the city from light touch support to intensive one to one mentoring.
 - Adviceline resource increased over since March 2020 so support can be provided throughout the pandemic. This has been vital to support residents during some very hard times
 - New Money Advice Website launched providing local, up to date information in money related issues and help.

Type(s) of Impact

Linked Risks

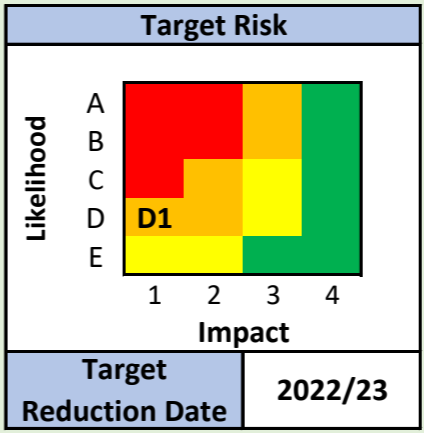
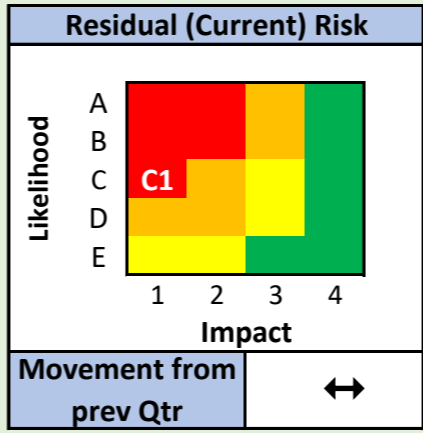
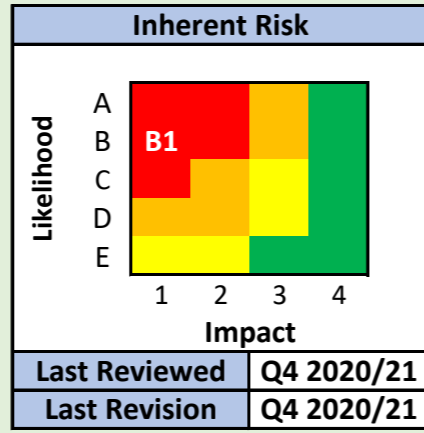
Key Indicators / Measures used to monitor the risk

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 (and respond to increasing demand due to Covid-19), resulting in increase in number of children requiring services 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 - Cardiff Family Advice and Support Services.
- Resource Hub being developed.
- Referrals to Safe Families.
- Referrals to Ymbarel.
- Dedicated worker to focus on young carers.
- Adolescent Resource Centre.
- Development of Assessment Unit.
- Direct Payments.
- Signs of Safety / Reunification Framework / Family Group Conferencing / Safeguarding Families / blueprint for social work.
- "Delivering Excellent Outcomes" Children's Services Strategy and Board to oversee progress.
- Recruitment and retention strategy in place to address children's workforce issues.
- Prudent social work / skill mix - ensuring social workers do what only social workers can do and recruitment to support staff / multi disciplinary staff.
- Care & Support Plan Reviewing Officers.
- Implementation of 4th team in each locality to increase management capacity.
- Managed Team and 11+ social workers integrated into locality teams.
- Working hours flexible to meet service and personal needs.
- Provision and analysis of performance information being tailored to meet arising issues (e.g. monitoring domestic violence).
- Children's Commissioning Strategy and Market Position Statement.
- Appropriate use of COVID expenditure claims from Welsh Government; and financial planning around how longer term needs will be met.

What we plan to do to meet target

- Business processes to be reviewed as part of implementation of Eclipse system.
- Use of short term Welsh Government funding to test new initiatives as proof of concept.
- Review of knock on impact of increased demand on safeguarding and reviewing service to be completed.
- Family Drug and Alcohol Court pilot.
- Work with judiciary re: planned changes to private and public law.
- Implementaiton of a Resources Hub.
- Safe & Together Model for working with domestic violence.

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 resulting in increase in numbers living outside Cardiff.
- Challenges in improving outcomes for children leading to children being less likely to achieve their potential and to be fully participating citizens.
- Delays in issuing care proceedings because of existing capacity in Children's Services and consequential impact on budgets if work needs to be outsourced.
- Challenges in effectively managing service and financial pressures.
- Impact of high caseloads on staff and potential increase in social worker turnover.

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

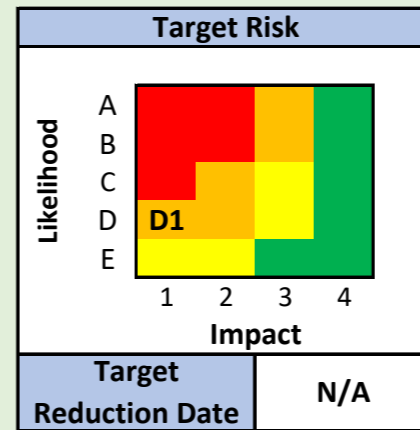
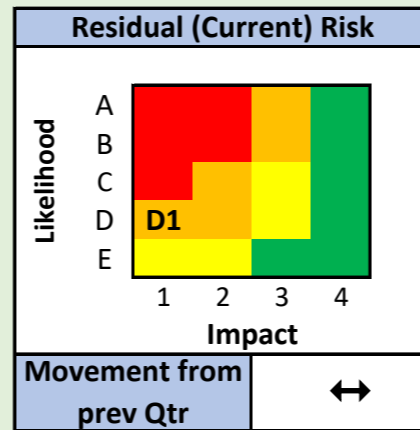
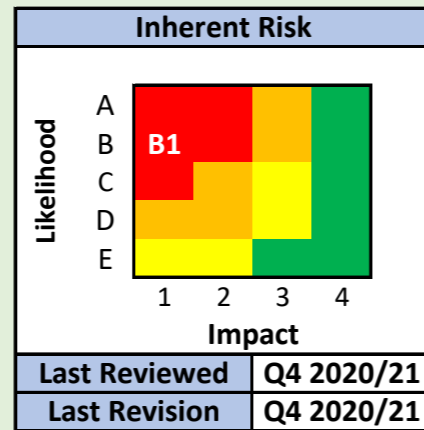
Type(s) of Impact

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

Description

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



Risk Owner(s)

Sarah McGill
(Deborah Driffield)

Councillor Huw Thomas
Leader

Councillor Susan Elsmore
Social Care, Health & Well-being

Councillor Graham Hinchey
Children & Families

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

- A child(ren) or adult(s) suffer(s) preventable abuse or neglect which may result in 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

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

- Regional Safeguarding Board oversee the safety and well-being of children and young people across the partnership.
- Corporate Safeguarding Board strengthened with development of Corporate Safeguarding Steering Group and focus on safeguarding in every Directorate Delivery Plan; lead OM with corporate oversight in place.
- Operational Manager Safeguarding Forum meets quarterly to ensure corporate oversight of safeguarding issues.
- Safeguarding issues included in Senior Management Assurance Statement.
- Delivering Excellence for Children's Service's Strategy being reviewed.
- Systems in place to learn lessons from and address recommendations from Child Practice Reviews, Adult Practice Reviews and multi agency practitioner forums.
- Recruitment and retention strategy in place to address children's workforce issues.
- Exploitation Strategy - to be led corporately with community safety approach.
- Quality Assurance Framework in place; learning workshops introduced to complete feedback loop.
- Wales Safeguarding Procedures training held and systems updated.
- WAO review of corporate safeguarding.
- Regular review of operating model.
- High Risk Panel facilitate robust and timely multi-agency decision making at senior management level for our highest risk young people.
- OMs have oversight of all high risk cases and share decision making responsibility.
- Education provision secured for high risk children throughout the COVID-19 crisis.
- Surveys undertaken with staff, children and families / carers to determine what has / has not worked well during the crisis to shape services going forward, e.g. use of technology.
- Practice development group set up with leads allocated to workstreams to shape good practice.
- MISPER Strategy under development.
- Children's Services and Education working closely re: child friendly recovery.
- Review of escalating concerns process underway to strengthen arrangements and interface with safeguarding procedures/large scale enquiries.
- Development of an enhanced quality assurance process for care homes that includes monitoring visits undertaken by SWs in addition to Contracts staff and the commitment to undertake urgent (same day) on-site monitoring when serious concerns are raised.
- Advice / guidance is being produced for family members to inform them of what they should look for when choosing a care home for a loved one / when visiting a loved one in a care home and what they should do if they are worried / concerned about the quality of care.
- Quality assurance frameworks are currently in development for the new Dynamic Approved Provider List (DAPL) for care homes and Dom Care.
- Strategic alignment of Sex Worker Operational Team (SWOT) and Multi-Agency Risk Assessment (MARAC) arrangements to deliver measurable outcomes to the population of street based sex workers, fixed base sex workers and internet based sex workers in the locality area.
- Development of MARAC arrangements for people who hoard and self-neglect and those presenting with the highest level of risk in society who may not necessarily meet other eligibility for services.
- Implemented processes for measuring quality in registered settings for Adults and improved response mechanisms for when quality in case is not to a standard expected, including strengthened links between Adult Safeguarding and commissioning based services.
- Strengthening of working relationships between Adult Safeguarding, Social Work, Health, Independent Living Services by regular monthly meetings and attendance at team meetings to feedback service updates.
- Amendment of Adult Safeguarding Duty arrangements to enable same day responses to concerns raised in line with the Wales Safeguarding Procedures (2019) and for provision of advice and information.
- Adult Safeguarding pathway for people subject to immigration and asylum restrictions in development in partnership with the Home Office and Ready Homes housing provider.

What we plan to do to meet target

- Strengthen arrangements for responding to professional concerns.
- Strengthen contractual arrangements in relation to safeguarding.
- Development of best practice handbook.
- Improving systems for monitoring supervision.
- Child Sexual Abuse practice leads training programme with Centre of Excellence.

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
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Linked Risks

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

Key Indicators / Measures used to monitor the risk

- 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

Legal Compliance

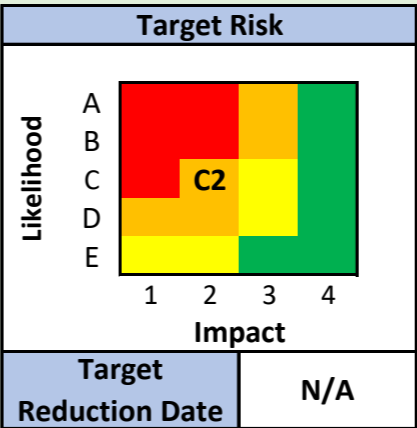
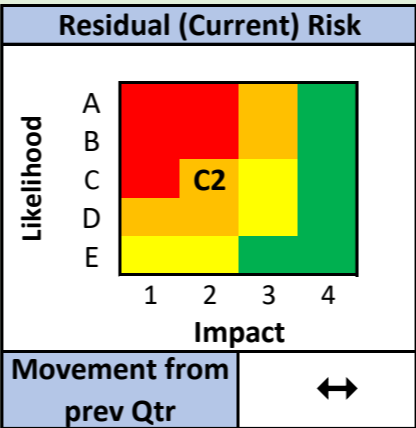
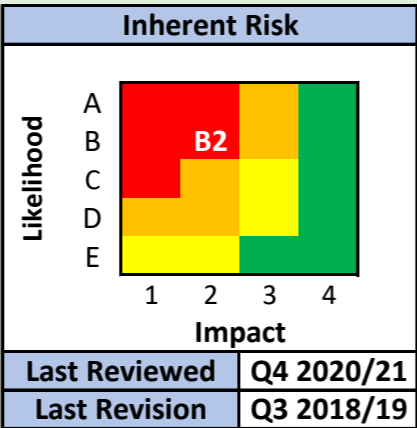
Description

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