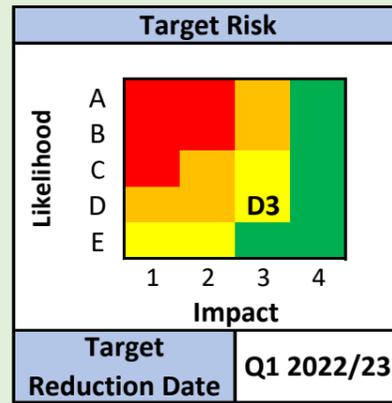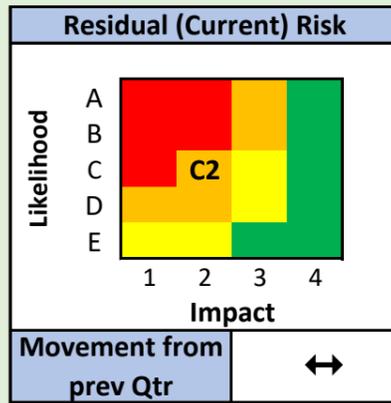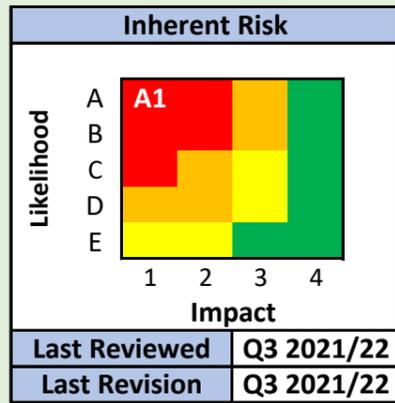# Non-completion of Statutory Building Equipment Maintenance

Description

Non completion of cyclical statutory inspections or the remedial works arising out of the inspections, required to maintain the premises and related installations in a safe and legally compliant condition.

Inherent Risk

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

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4). C2 marked.

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4). D3 marked.

Target Reduction Date	Q1 2022/23

Risk Owner(s)

Neil Hanratty
(Donna Jones)

Councillor Russell Goodway
Investment & Development

Potential Impact(s)

Potential consequences of non-compliance with statutory maintenance:

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

Type(s) of Impact

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

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 Head teachers.
• 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 Q1, 2021/22 ahead of the Strategy being considered by Cabinet in Q3.
• 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 has 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.
• As a direct result of the ongoing COVID variant issue, access into some buildings has been difficult/not possible meaning that some testing works are being delayed. A similar situation applies in respect of the undertaking of some remedial works arising from the testing that has been undertaken. Therefore, the risk reduction target date has changed to Q1, 22/23.

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 Q3, 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.
• As a direct result of the ongoing COVID variant issue, access into some buildings has been difficult/not possible meaning that some testing works are being delayed. A similar situation applies in respect of the undertaking of some remedial works arising from the testing that has been undertaken. This will continue to be monitored going forward.
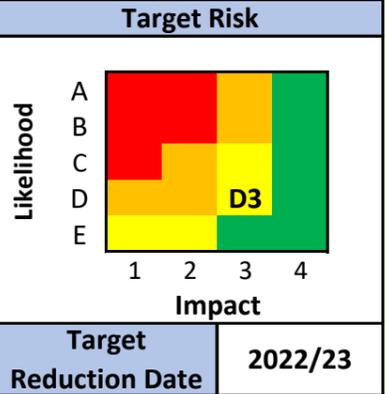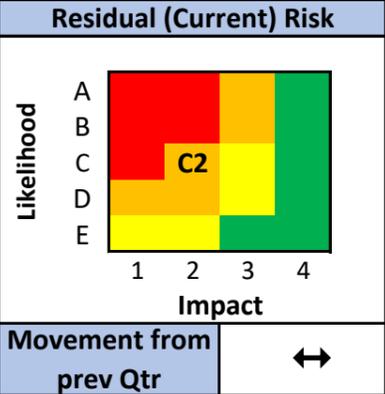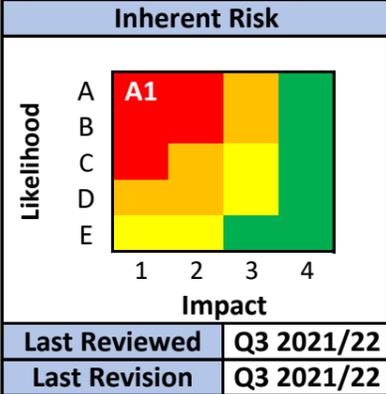
Key Indicators / Measures used to monitor the risk

Compliance stats from the Corporate Health & Safety Team.

Linked Risks

Health & Safety

Health & Safety

Description

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

Potential Impact(s)

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

Inherent Risk

A1

Likelihood: A B C D E
Impact: 1 2 3 4

| Last Reviewed | Q3 2021/22 |
| Last Revision | Q3 2021/22 |

Residual (Current) Risk

C2

Likelihood: A B C D E
Impact: 1 2 3 4

| Movement from prev Qtr | ↔ |

Target Risk

D3

Likelihood: A B C D E
Impact: 1 2 3 4

| Target Reduction Date | 2022/23 |

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.
• Continued Asbestos Training - online and face to face in line with COVID-19 Safety measures is currently being delivered.
• 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.   From September the H&S Team resumed normal operations in addition to supporting issues related to COVID-19.
• 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 to roll out when COVID-19 restrictions permit.
• Continue Asbestos Training - Online and face to face in line with COVID-19 Safety measures is currently taking place, the Asbestos Team recently gained approval from UKATA to deliver Non-Licensable Asbestos training.

What we plan to do to meet target

• The operation of Statutory Inspections is currently under review and a planned meeting has taken place with Audit Wales in Q1, recommendations for improvement to be reported to SMT in Q2, focusing on improvement of compliance on high risk inspections and fault rectification, making up lost ground due to the pandemic. A report has been received from Audit Wales but has not been presented to SMT as there are areas on compliance that are not covered.
• Condition Surveys School Buildings - Complete individual school reports with dissemination to take place before the end of the Summer Term as COVID-19 restrictions permit. (Giles Parker to provide update on this point)
• Due to the continued pandemic H&S and OH resources will continue to be repurposed, in Q1 and Q2, 2021/22 at least, 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.

Type(s) of Impact
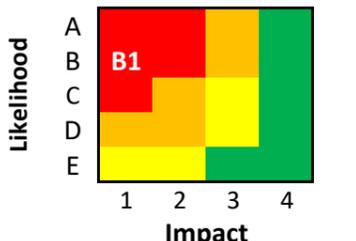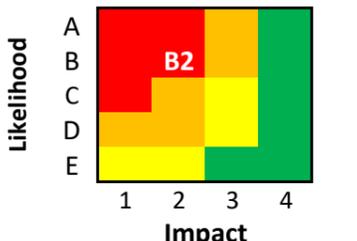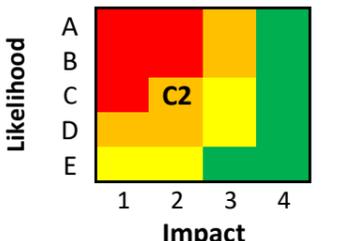
• Service Delivery
• Reputational
• Legal
• Financial

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

Failure to deliver recycling performance to to meet statutory recycling performance targets within waste directive

On 26 November, the final validated 2019-20 Local Authority Recovery Target (LART) showed Cardiff achieved a recycling performance of 58.14% compared to the target of 64%

Inherent Risk

Likelihood (A–E) / Impact (1–4)

B1

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Likelihood (A–E) / Impact (1–4)

B2

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) / Impact (1–4)

C2

Target Reduction Date	2022/23

Risk Owner(s)

Neil Hanratty
(Matt Wakelam)

Councillor Michael Michael
Clean Streets, Recycling and Environment

Potential Impact(s)

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

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

Strategic/ Reputational
• Reputational consequence with citizens and key stakeholders

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

Developing Cardiff's Recycling Strategy, demonstrating how Cardiff aims to improve recycling performance and meet statutory targets - to be published for consultation following Cabinet Meeting on 16 December 2021, which resolved that;
1. Approval be given to the consultation on the draft recycling strategy 2021-25 – 'Make a change to save our planet – Reduce, Re-use, Recycle' and associated resident survey on improving recycling performance.
2. Agreement be given to
  i. support a pilot of 3 stream segregated collections for glass, mixed containers (plastic and metal) and paper / cardboard; alongside the use of reusable bags
  ii. retain the Recycling Centre booking system and 'no black bag' policy
  iii. cease the provision of red and white striped bags for residents living in properties unable to store 140litre residual bins, instead allowing residents to present three refuse bags per fortnight from 2022

Wider Governance & Compliance
• Working in partnership with WG, WRAP & WLGA to deliver new Recycling Strategy, Implementation Plan & individual business cases.
• Programme Board developed to review individual business cases prior to decision making process - Officer/ Cabinet/ Council decisions.
• Modelling of 3-stream recycling collections taking place, working alongside WRAP;
  - includes bottle and glass collections in a single pass with containers (cans and plastics) and paper/card.
• Trade Waste and recycling perfomance review to improve performance in lieu of income (ongoing)
• A review of Recycling Centres has been undertaken, working with Local Partnerships and Welsh Government to ascertain how best to proceed for Cardiff to meet the 70% recycling target in 2024/25. This work has developed a road-map to improve Cardiff's recycling performance, supported by WG
• A review of the performance of the Recycling Centres has been undertaken as part of Recycling Strategy, reviewing the controls at the recycling centres
• On 18 November 2021, the final validated 2020-21 Local Authority Recovery Target (LART) showed Cardiff achieved a recycling performance of 55.79% compared to the target of 64%, with a resultant potential penalty as notifed by WG on 18 January 2022 - impacted by Covid-19

Supply Chain Issues
This situation is also now being exacerbated by a national shortage of drivers - a number of suppliers on the frameworks used for supply of bins, caddies, bags etc have declared a state of emergency in the UK due to the shortage of drivers, with resultant failed or none delivery being classed under 'Force Mejure' to absolve any liability -
• Directorate will work with Commissioning & Procurement and Legal to ascertain the validity of this stance, however further cost increase and delays are anticipated.

Workforce Issues:
Shortage of HGV drivers to support delivery of recycling and waste collection services due to Brexit.
• Internal development of officers to obtain HGV qualification - takes 6 months to develop an officer utilising internal training. Training programme commenced beginning of Q3 - 12 mth programme

Development of Recycling Plan for optimising resources including considerations of statutory fines
• Review/ benchmarking completed on tonnages/ recycling levels/ costs of disposal compared to other Welsh Authorities and UK
• Media & communications across Cardiff with focus on key areas for recycling improvement (ongoing)
• New education & enforcement programme to reduce contamination in recycling and garden waste (ongoing)
• Targeted & tailored intervention to deal with contamination in hot spot areas across the City (ongoing)
• Activities supporting optimising resources through successful WG Circular Economy Fund (CEF) grant bids:
  - Wastesavers re-use centre in Lamby Way (Opened Sept 2021)
  - Trials in flats (co-mingled, re-useable sacks, aperture bins)
  - Segregation of litter from community litter picks (split caged transits, dual hoop litter picking equipment)
  - Support for re-use & repair community projects (Benthyg, and Llanrumney Hall)
  - Community fridge (reduction of waste to Energy from Waste - but not claimable tonnage)
  - Tetra Pak recycling (reduction of contamination in co-mingled recycling /reduced material to Energy from Waste)
• Recycling Centres now managed via booking system - the replacement of residual waste & recycling waste skips with a non-recycling skip, supported by new procedures, has meant recycling performance at centres has increased from 70% to 90%.
• Hygiene - Absorbent Hygiene Products (AHP) from Municipal Solid Waste to Recycling as of May 2021

What we plan to do to meet target

Cardiff's Recycling Strategy
• Further develop the new Recycling Strategy for Cardiff. This will set out the Council's long-term objectives over the next 5 years and consider economic, social and environmental aspirations, to ensure Cardiff is one of the leading cities in the world for recycling (ongoing)
• Pilot for reusable sacks and segregated recycling commencing 24th Jan 2022 - participation 4000 properties. Pilot will inform business case for phased citywide roll out, commencing in Q3/Q4 22/23
• Draft Recycling Strategy, following Cabinet approval, to go out to consultation in February 2022
• Recycling Performance Targets set within the Strategy are:
2021/22 = 64%
2022/23 = 64%
2023/24 = 66%
2024/25 = 70%

Wider Governance & Compliance
• Senior Management to have ongoing regular engagement and discussions with WG, WRAP and WLGA on Cardiff's Recycling Strategy and compliance with the WG Blueprint - ongoing
• Quarterly meetings with Julie James MS, Minister for Climate Change, and WG to monitor actions to improve recycling performance

Workforce Issues:
• Continuation of internal training of Officers wanting to become HGV drivers – 12 month programme ongoing

Type(s) of Impact

• Reputational
• Legal & Regulatory
• Financial

Linked Risks

Workforce & supply chain issues linked to Brexit Risk

Key Indicators / Measures used to monitor the risk

• Quarterly monitoring recycling % from waste data flow - 20/21 impacted by Covid-19:
Q1= 43.67% Q2= 59.83% Q3= 58.36% Q4= 60.55
Total final validated 20/21= 55.79%
• Monthly tonnage monitoring
• Monthly financial monitoring in each area of waste

Schools Organisation Programme (Band B)

Description

Failure to deliver on aspects of the School Organisation Programme, which is significant in value and complex. The programme consists of Band B (£284m) 21st Century Schools, asset management improvement work, ICT and sufficiency projects. The programme of work spans across a number of directorates, requires significant capacity and has significant capital spend.

Potential Impact(s)

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

• Insufficient secondary places in some 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

Inherent Risk

Likelihood (A–E) / Impact (1–4)
A1

Last Reviewed	Q3 2021/22
Last Revision	Q2 2021/22

Residual (Current) Risk

Likelihood (A–E) / Impact (1–4)
C2

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) / Impact (1–4)
E3

Target Reduction Date	Q4 2022/23

Risk Owner(s)

Mel Godfrey
(Richard Portas)

Councillor Sarah Merry
Deputy Leader & Education, Employment & Skills

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

• 21st Century Schools Band B funding bid was submitted to Welsh Government in July 2017 and the Strategic Outline Case for £284m was approved in November 2017. Two Cabinet Reports in October and December 2018 outlined the priorities for this second phase of funding. SOP reports for Fitzalan, Doyle Avenue, 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.
• A draft strategic plan for ALN provision has been submitted to Cabinet in October 2021.
• 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.

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

• Starting to develop the WESP for the Council to meet the policy requirements.

• Investigation of market pressures creating material shortages and consideration of mitigations such as storage of materials, back up contractors, and revised programmes.

What we plan to do to meet target

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

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

Linked Risks

Key Indicators / Measures used to monitor the risk

• Spend against the asset programme 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

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.

Potential Impact(s)

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

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

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

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

Inherent Risk

Likelihood (A–E) / Impact (1–4) matrix — **B1**

Last Reviewed	Q3 2021/22
Last Revision	Q2 2021/22

Residual (Current) Risk

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

Movement from prev Qtr		↔

Target Risk

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

Target Reduction Date	Q4 2022/23

Risk Owner(s)

Mel Godfrey
(Neil Hardee)

Councillor Sarah Merry
Deputy Leader &
Education, Employment & Skills

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

• 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.

• The Education Directorate receives regular detailed budget monitoring reports from the LA Financial Services team and manages its budgets within the parameters set by the LA.

• There is good engagement with schools on financial issues through the well established School Budget Forum arrangements with all papers and meeting agenda and minutes made available on the Council's website.

•There is an agreed protocol for dealing with schools in deficit and the LA has agreed local parameters for managing schools surplus balances. These were temporarily amended at the end of the 2020/21 financial year to take account of the increased level of balances following the distribution of grants from Welsh Government in March 2021.

• 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.

• Financial position of schools as at Q2 is improved; there is a reduction in number of schools with a deficit, ; levels of surplus balances.

What we plan to do to meet target

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

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

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

• Improve individual school risk assessment processes in order to provide an early indication of those schools who may be at risk of entering a deficit position

Type(s) of Impact

• Reputational
• Legal
• Financial

Linked Risks

Linked risk to Covid 19 issues particulary with regard to decrease in income, impact on grants and inability to manage staffing changes.

Key Indicators / Measures used to monitor the risk

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

Education - School Improvement & Attainment

Description

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).

Potential Impact(s)

• Learners do not reach their full potential
• Schools are not supported to improve
• Schools are not able to deliver the new curriculum
• Impact on Estyn judgements
• Value for money - CSC

Inherent Risk

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

Last Reviewed	Q3 2021/22
Last Revision	Q1 2021/22

Residual (Current) Risk

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

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) / Impact (1–4): **C4** (green)

Target Reduction Date	Q3 2021/22

Risk Owner(s)

Mel Godfrey
(Mike Tate)

Councillor Sarah Merry
Deputy Leader &
Education, Employment & Skills

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

• 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:
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.

What we plan to do to meet target

• 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
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.

Type(s) of Impact

• Reputational
• Legal
• Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

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

Air Quality & Clean Air Strategy
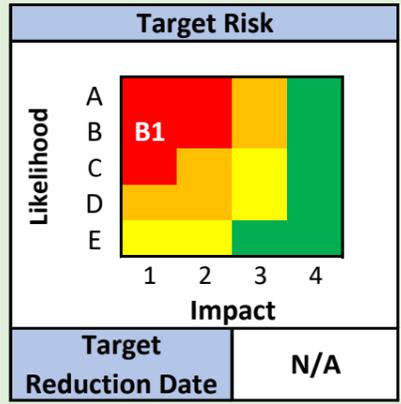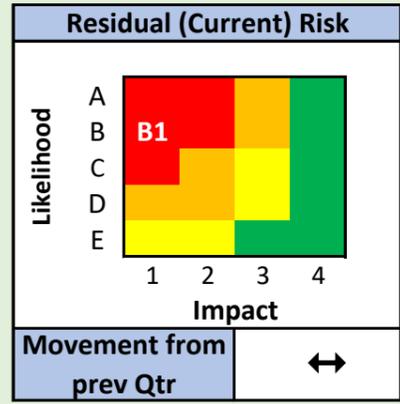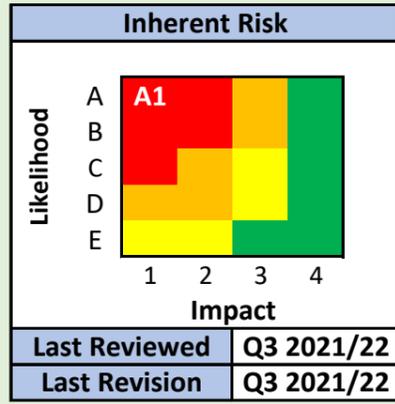
Description

Air quality in Cardiff does not meet statutory requirements set by legislation and continues to have a detrimental impact on health for residents and visitors to Cardiff.

Potential Impact(s)

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

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

Inherent Risk

Likelihood (A–E) vs Impact (1–4)
A1

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4)
B2

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4)
C3

Target Reduction Date	2022/23

Risk Owner(s)

Andrew Gregory
(Jason Bale)

Councillor Caro Wild
Strategic Planning & Transport

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

Monitoring
- Non-automatic nitrogen dioxide (NO2) monitoring sites at 136 locations.
- Data includes monitoring at schools as part of the TRO pilot projects at schools
- There are three live 24/7 monitoring stations:
  - Cardiff Frederick Street: measuring levels of NO2, PM10 & PM2.5, SO2, CO and O3
  - Richard's Terrace, Newport Road: measuring levels of NO2 & PM10
  - Castle Street measuring levels of NO2 PM10 and PM2.5
- 7 near real time indicative automatic analysers located predominantly in Cardiff's City Centre (5), one in Llandaff within the established AQMA and one in Canton on Landowne Road. These sites measure on a 24/7 basis, continuously monitoring for Nitric Oxide, Nitrogen Dioxide, Ozone, PM10 & PM2.5, and does so every 15 minutes
- Order raised with Vortex to install up to 46 indicative low cost sensors – final positions to be agreed and installation programmed for end of Feb/ March 2022. This has been funded through One Planet Cardiff.

Air Quality Management Areas (AQMA's)
- Cardiff has 4 existing declared Air Quality Management Areas (AQMA's) all as a result of elevated NO2 concentrations from road traffic emissions.
- Provisional monitoring results for Castle Street showed annual average for Castle Street was 26 µg/m3 for NO2 .   However this includes closure period between Jan-October. Interim Castle Street Option now implemented and general traffic returned from Nov. Ongoing assessment of results from Nov and Dec. Further results from Jan required to allow initial assessment of impacts by annualising results, as agreed with WG.
- Construction of Ph1 City Centre West scheme (Wood St & Central Square) - ongoing.
- Completion of Bus Retrofitting Programme of 49 buses – buses have been fitted with exhaust technology which reduces NOx emissions from the buses by 90%
- Initial EV buses delivered to Cardiff Bus and in service in December. All 36 will be launched early January
- Ongoing discussions with WG on Castle Street Options in terms of agreement for permanent option and timescales/ funding to do so.

Taxi Scheme
- T&Cs for Grant Scheme signed off and awaiting political approval for launch and website updating for applications.
- 5 WAV EV taxis - Concession agreement contract with Days Hire Limited to facilitate leasing of vehicles. Additional 10 vehicles are due for delivery by mid March.

Clean Air Strategy and Action Plan
A wider Clean Air Strategy and Action Plan has been developed to satisfy the requirements of LAQM. The strategy includes measures that will likely provide further AQ improvements including AQMAs.

What we plan to do to meet target

Implement Clean Air Plan
- package of measures as detailed in Final Plan
- Further assessment on Castle Street to undertake more detailed modelling on revised scheme - ongoing dialogue with WG re timescale and scope of measures
- 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
- Roll out of measures (subject to grant bids/ funding and COVID restrictions:
  - Pilot project - 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.

Type(s) of Impact

- Health
- Regulatory
- Financial
- Strategic
- Reputational

Linked Risks

Key Indicators / Measures used to monitor the risk

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

City Security

Description

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

Inherent Risk

Risk matrix showing A1 in red zone (Likelihood A, Impact 1)

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Risk matrix showing B1 in red zone (Likelihood B, Impact 1)

Movement from prev Qtr	↔

Target Risk

Risk matrix showing B1 in red zone (Likelihood B, Impact 1)

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee
(Gavin Macho)

Andrew Gregory

Councillor Huw Thomas
Leader

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.

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. A Cardiff Infrastructure Report, how we currently manage security infrastructure in the city centre, has been put together. This includes recommendations/ prioritising interventions, as well as input and feedback from key stakeholders. A summary of the report was presented at the PSPG meeting in January 2022. This lead to a Strategic oversight meeting and that in turn has lead to a meeting with Senior Welsh Government to discuss potential funding methods.

• 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.

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.

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

Inherent Risk

Last Reviewed	Q3 2021/22
Last Revision	Q3 2020/21

Residual (Current) Risk

Movement from prev Qtr	↓

Target Risk

Target Reduction Date	2022/23

Risk Owner(s)

Andrew Gregory

Councillor Michael Michael
Clean Streets, Recycling and Environment

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

The Council has declared a Climate Emergency 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	• Health & Safety
• Reputational	• Partnership
• Legal	• Community & Environment
• Financial	• 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 mitatgation and adaptation.

Inherent Risk

Likelihood / Impact matrix: A1

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Likelihood / Impact matrix: B2

Movement from prev Qtr	↓

Target Risk

Likelihood / Impact matrix: C2

Target Reduction Date	2022/23

Risk Owner(s)

Andrew Gregory
(James Clemence/ Simon Gilbert/ Matthew Harris/ Jon Maidment)

Councillor Michael Michael
Clean Streets, Recycling and Environment

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

• One Planet Report to Cabinet in October 2021

• Cabinet Report of 14/10/21 Recommended the Council sign the Edinburgh Declaration.

• 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.

• In September 2021 the Council agreed the Vison, Issues and Objectives for the new LDP.

Objective 10 is: "To ensure the resilience of ecosystems by protecting and enhancing Cardiff's Green and blue Infrastructure, its biodiversity and other natural assets."

• The Coed Caerdydd Project has also resulted in further officer resource to support volunteer activity relating to tree planting and maintenance / aftercare and whereby grant funding has enabled the appointment of a Volunteer Co-ordinator on a fixed term contract up until July 2023.

What we plan to do to meet target

• Review the Cardiff Local Development Plan

• Update the Cardiff Biodiversity and Resilience of Ecosytems Duty Forward Plan, including the Action Plan, in 2022 in line with legislative requirements

• Biodivesity Declaration to be signed as agreed in OPC report

• 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).

• Develop the local Nature Recovery Action Plan through the Local Nature Partnership (LNP)

•Further funding has been obtained which has resulted in the LNP Co-ordinator post being at full time hours up until 31/3/22 and discussions between the Council and the Wales Council for Voluntary Action concerning grant funding for 2022/23 and beyond are on-going

Type(s) of Impact

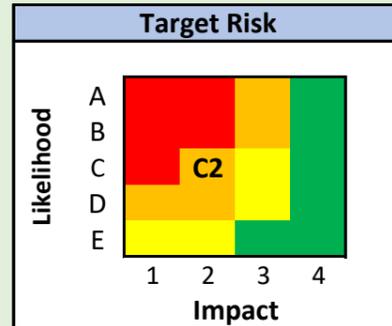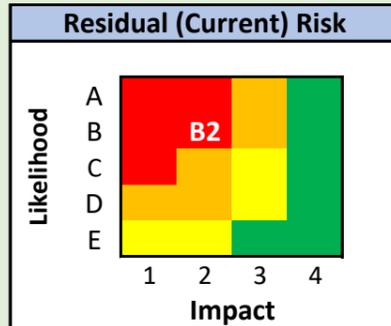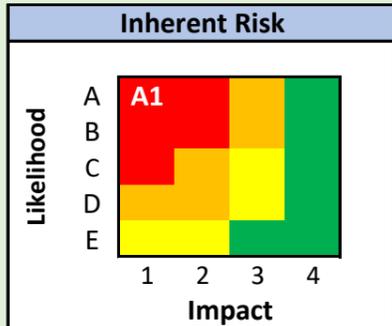|	
• Service Delivery	• Health & Safety
• Reputational	• Partnership
• Legal	• Community & Environment
• Financial	• Stakeholder

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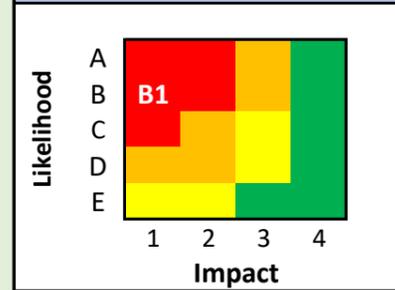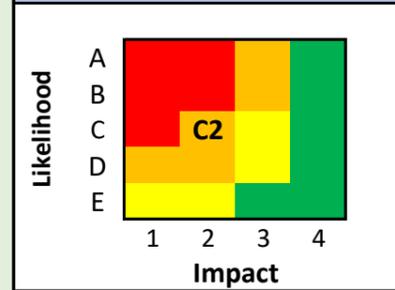
Potential Impact(s)
Energy security (energy efficiency & decarbonisation of supply)
- Inconsistent energy supply
- Increased costs
- Inability to deliver public services
- Decrease in economic output
- Disruption to the supply of utilities
- Increased transport costs
- Increased costs for heating / providing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

Inherent Risk

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

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

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

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4) matrix — **C2**
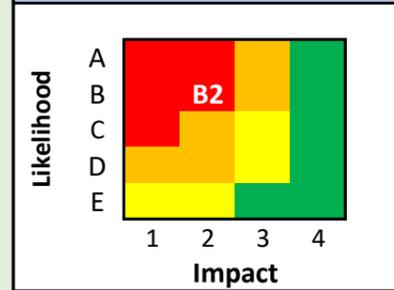
Target Reduction Date	2022/23

Risk Owner(s)
Andrew Gregory
(Gareth Harcombe/ Liz Lambert)

Councillor Michael Michael
Clean Streets, Recycling and Environment

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 the final "One Planet Cardiff" Strategy on October 14th 2021 which addresses the Climate emergency and sets a pathway to a carbon neutral Council by 2030.
- 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 estabished - contruction planned to start in January 2022
- Carbon baselining and impact modelling proces now finalised to assess progress against One Planet Cardiff Objectives
- Scoping additional carbon reduction projects for future action as part of the One Planet Cardiff project with ket target areas confirmed in the OPne PLanet Cardiif Action Plan
- 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
- OPC commits to a long term strategy for public engagement and behavour change to build public resilience and positive action through advice and guidance and based on best practice and observed impact of initiatives eleshere. This work is guided by advice from the Centre for Climate Change & Social Transformations (CAST) .
- Reporting on citywide and Council (scope 1 and 2) carbon emissions via the Carbon Disclosure Project to fulfil our Compact of Mayors commitment
- Electric Vehicle strategy:
  - first tranche of residential chargers delivered, and second tranche now finalised
  - WG funding secured to install EV chargers at council buildings for small fleet vehicles
  - ULEVTF funding secured to install charging infrastructure in car parks and additional in-year funding awarded to implement Rapid charging infrastructure at Lamby Way depot for 12 electric refuse collection vehicles, and to engage consultant/ specialist to scope/design & specification for renewable connection & switch gear to produce green energy from landfill gas and/or the solar farm.

What we plan to do to meet target
Energy security (energy efficiency & decarbonisation of supply)
- Implement and monitor the One Planet Cardiff Strategy with carbon reduction targets and associated action plan for delivery over the to 2030
- Implement "Mission Statements" to secure low/zero carbon development and retrofit in the Council's Estate
- Promote and implement the approved policy position to guide new private sector development in the city
- Implement the Cardiff District Heat Network
- Complete 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 - Proposals to convert council fleet to electric being reviewed/ assessed to allow for impact of Covid-19 and changes to requirements/ working practices

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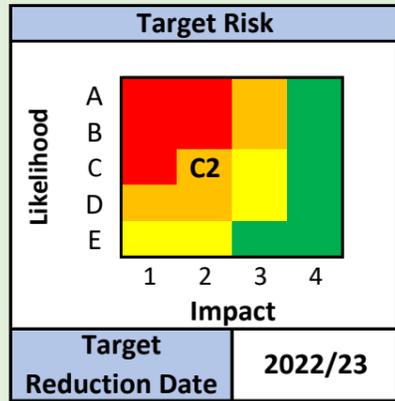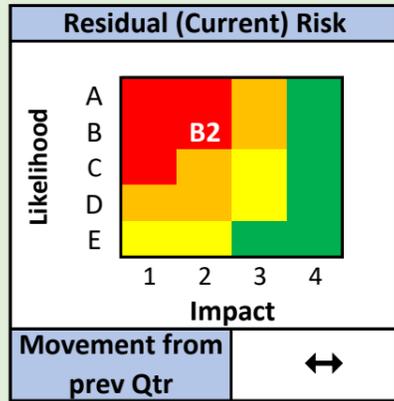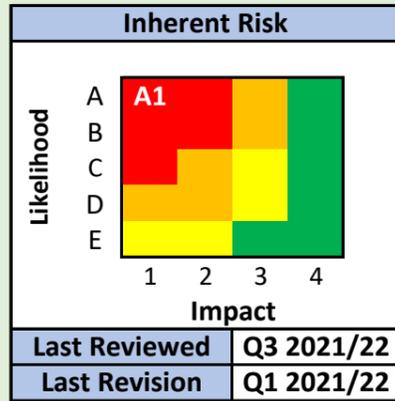https://www.evaccardiff.co.uk/
https://www.cdp.net/en

Key Indicators / Measures used to monitor the risk
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

Inherent Risk

Likelihood / Impact matrix — A1

Last Reviewed	Q3 2021/22
Last Revision	Q1 2021/22

Residual (Current) Risk

Likelihood / Impact matrix — B2

Movement from prev Qtr	↔

Target Risk

Likelihood / Impact matrix — C2

Target Reduction Date	2022/23

Risk Owner(s)

Andrew Gregory
(EMU/Gary Brown)

Councillor Michael Michael
Clean Streets, Recycling and Environment

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

The Council has declared a Climate Emergency

Extreme Heat

• Working with Partners in the LRF to warn them of anticipated heatwave impacts upon vulnerable groups and support response to such a risk

• Supporting the enhancement of the publics own resilience through advice and guidance available form 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:
 - concentration made to build resilience into Winter Service as high risk to staff resource due to illness and the requirements of isolation
 - required training and staff rotas put in place, however there is a limited available resource with the required skillsets within the authority
- investigations into feasibility/ availability of external assistance

Winter Service 20/21 outcome
• Despite challenging & sub zero weather conditions, plus resource pressures, service was delivered in line with statutory requirements. The winter service was extended by 2 weeks to the 18/4/21 due to unseasonally cold overnight temperatures.

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 with in WLGA, and PSB to ensure consistent support in managing this risk ensuring the planning process works for all stakeholders to ensure we develop sustainable planning strategy's for future developments, planning the management of this risk

Extreme Cold/ Snow

•Investigate further whether external assistance can be utilised/is available to build future resilience - risk remains for disruption to the service next winter if the current pandemic continues/ other new external factors emerge.

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

Climate Change - Flooding

Description

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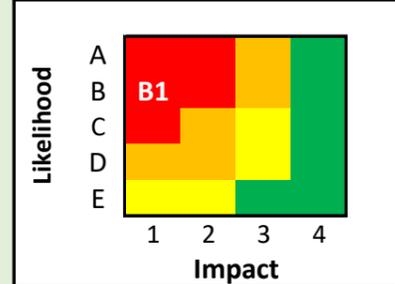
Potential Impact(s)

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

Inherent Risk

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

B1

Last Reviewed	Q3 2021/22
Last Revision	Q2 2021/22

Residual (Current) Risk

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

B2

Movement from prev Qtr	↔

Target Risk

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

C2

Target Reduction Date	2022/23

Risk Owner(s)

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

Councillor Michael Michael
Clean Streets, Recycling and Environment

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

The Council has declared a Climate Emergency

Flood & Storm

• Working with partners within the Local Resilience Forum (LRF) to support the management of this risk including supporting the emergency response to this risk

• Supporting the enhancement of the publics own resilience through advice and guidance available form the EVAC Cardiff Website

• Implementation of Schedule 3 of the Flood and Water Management Act 2010 requires all new development over 100m2 to implement sustainable drainage, resilient to flooding

• Development of Flood Risk Management Strategy

• We have introduced 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). Successful funding bids were submitted and funding awarded in 20/21 for Business Justification Cases for a number of these schemes, with grant funding also now awarded for 21/22 for continuation of these schemes.

• Applications to WG have been successful for further grant funding in 2021/22 to support studies and implementation of localised flood preventions schemes.

• Ongoing CCTV and asset capture work taking place in drainage networks to review high risk areas.

• 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 - Phase 1 of new gully maintenance schedule completed.

What we plan to do to meet target

Flood & Storm

The following actions are ongoing :

• Seek funding to progress the development and delivery of a sustainable water, flood and drainage strategy for Cardiff

• Develop new iteration of the Local Flood Management Strategy & Flood Risk Management Plan in conjunction with WLGA steering group - due for completion October 2023

• Develop enhanced engagement programme with partners supporting the public in enhancing their own resilience - this will be a key aspect of the above Plan - initial discussions with Dwr Cymru/Welsh Water and Natural Resources Wales (NRW) have taken place

• Improve communication on what to do in a flood and raise awareness of risk - as above - initial talks underway to produce a role & responsibilities video, as well as flood safety guidance in co-operation with Dwr Cymru/Welsh Water, NRW and Blue Light organisiations

• Improve the service provided by the SuDS Approval Body (SAB) - ongoing - improvements planned with additional resource

• Deliver guidance to increase standards and ease of development - in development

• Asset management - Phase 2 of new gully maintenance schedule to be delivered by EOY.

Type(s) of Impact

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

Linked Risks

Coastal Erosion
Air Quality
Business Continuity

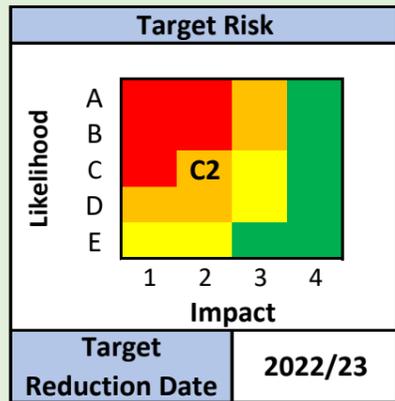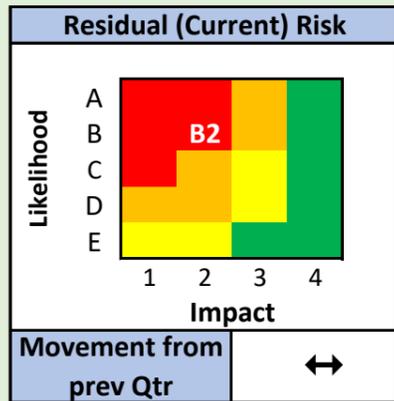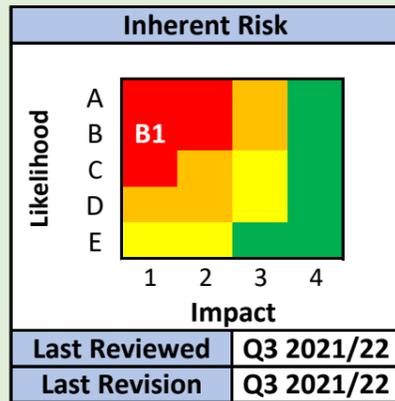## Linked Documents

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

Coastal Erosion

Description

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

Inherent Risk

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

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

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

Movement from prev Qtr	↔

Target Risk

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

Target Reduction Date	2022/23

Risk Owner(s)

Andrew Gregory
(Gary Brown/ David Brain)

Councillor Michael Michael
Clean Streets, Recycling and Environment

Potential Impact(s)

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

• Erosion to two decommissioned 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.

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

• Incident management arrangements are in place, which whilst not preventative, represent a level of emergency management for a flood and coastal erosion risk event occurring in a significant storm event.

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

• The necessary works are holistic and cannot be phased. Therefore the residual risk rating cannot be lowered until the completed construction of the coastal defence scheme in its entirety.

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

• The total costs associated with the Design, Early Contractor Engagement and Construction phases have been estimated at £10.9m (Welsh Government 75% funding = £8.2m and CCC 25% funding = £2.7m)

• Formal application has been submitted to Welsh Government (WG) under the WG Coastal Risk Management Programme and development of the Detailed Design and Full Business Case (FBC) for the coastal defence scheme was programmed for completion in May 2020, however this has been impacted by Covid-19.

• Ground Investigation commenced February 2020. Due to Covid 19 restrictions, ground investigations were postponed during March 2020.

• Work ongoing with Emergency Management to formulate interim measures.

• Draft Full Business Case submitted to Welsh Government for review

• The costs associated with the Outline and Full Business Cases and Design have been 100% funded by WG. To allow for the increase of the allowance for climate change to 40% and additional works required from the ground investigation results the construction phase is now estimated at £25m (Welsh Government 85% funding = £21,250,000 and CC 15% funding = £3,750,000)

What we plan to do to meet target

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

Detailed design and full business case ongoing

Keysteps:
 - Full Business Case (draft) submitted to WG & refined as necessary - final Welsh Government approval & funding confirmation anticipated by late 2021 /early 2022
 - Tender scheme promptly following support from Welsh Government. Contract will be developed as part of detailed design process to support tender process.
 - 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.
 - Anticipated construction starting 2022, subject to the above, with completion 2024.

• A PQQ procurement process has been completed and a select list of 5 contractors has been established. The 5 contractors were required to submit their returns in January 2022. Due to complexities of the project, challenging environmental conditions for construction works and NRW requirements, an extension for submission to mid February has been granted. The submission, assessment , selection and award process is forecast to be completed early 2022.

• The Marine Licence application was been submitted to NRW and the required process followed. Although the Flood Risk Management Team have had prolonged and it was thought, constructive dialogue with NRW staff, NRW have stated that for the Marine Licence to be granted, a derogation will be required to be signed off by Welsh Government Ministers under the process known as Imperative Reason of Overriding Public Interest (IROPI). This process has put the requirement to be on site by the end of this financial year out of reach. WG were therefore contacted, meetings held and agreement secured for the funding deadline to be extended. This allows us to start on site in the new financial year, although we will still be pushing for the earliest possible start date, target June 2022.

• The Cabinet report to seek approval to award the contract to the successful contractor and commit to the 15% Council contribution will now be eneterd into the March 2022 cabinet.

Type(s) of Impact

• Health & Safety
• Health
• Reputational
• Financial

•Strategic
• Service Delivery

Linked Risks

Climate Change risks

Key Indicators / Measures used to monitor the risk

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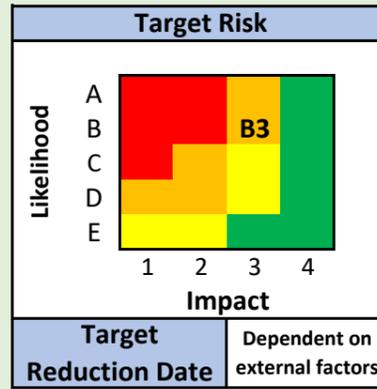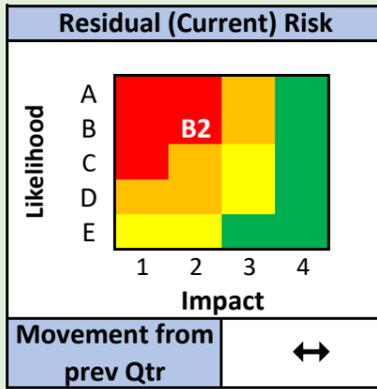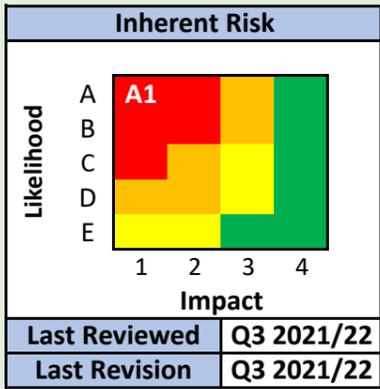• Delivery programme of coastal protection scheme

Brexit

Description

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

Despite a deal (the 'Trade and Cooperation Agreement' (TCA)) being finalised, the UK's departure from the EU will bring change for organisations of every size and sector, and uncertainty remains regarding its impact. No major member state has ever left the EU before; there is little precedent for the situation in which we find ourselves and therefore it is important that we keep in place our relevant plans and mitigations for the foreseeable future.

The Council will need to prepare for regulatory adjustment and economic disruption, as changes are phased in over time, which will impact how we do business, future growth and development and ultimately the role of the Council in meeting local need.

Inherent Risk

Likelihood (A–E) / Impact (1–4) matrix with **A1** in red.

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Likelihood (A–E) / Impact (1–4) matrix with **B2** in red.

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) / Impact (1–4) matrix with **B3** in amber.

Target Reduction Date	Dependent on external factors

Risk Owner(s)

Paul Orders
(Senior Management Team)

Councillor Huw Thomas
Leader
(Brexit)

Potential Impact(s)

Watching Brief Required:
• Impact on Council supply chains (including delays and price increases)
• Citizens and Community Cohesion
  - Increases of tension/ hate crime
• Emergency Management
  - Responding to civil contingencies/ major disruption (potential for food shortages, disruption to water supply (infrastructure) and fuel shortages)
  - Shortage/ loss of key supplies
• Preparedness of local businesses for changes to trade (of both goods and services) with the EU/ economic disruption

Short-term Issues Identified:
• Citizens and Community Cohesion
- Implementing the EU Settlement Scheme (the deadline to apply to the scheme is 30 June 2021)

Medium to Long-term Issues Identified:
• Regulatory adjustment
• Labour Market and Council Staff
• Impact on Public Finances – Central Government and Welsh Government Analysis suggests that as a result of Brexit, the economy is Wales likely to be up to around 10% smaller than otherwise over the long-term.
• The future of regional funding (the future UK Shared Prosperity Fund)
• Investment, Trade and Industrial Strategies

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

General Activity:
Each Directorate has a Brexit Liaison Officer who is responsible for monitoring the impacts of Brexit in their area. A Cardiff Council Brexit Bulletin is provided to Brexit Liaison Officers every 2 weeks, to ensure that they are aware of the latest information and updates. Furthermore, regular meetings are held between the Council's Resilience Unit and Brexit Liaison Officers, to ensure any issues are raised.

The Council's Brexit Issues Register is no longer being utilised. Officers have reviewed the register and ensured that issues are transferred to/ captured on individual Directorate Risk Registers or within a relevant Corporate Risk.

Current Pressures:
Control and assurance processes have identified issues across the Council in relation to staffing, as well as supply chain shortages, delays, and cost increases.

The drivers of these pressures remain unclear; however, the impact of Brexit, ongoing pandemic management and a UK-wide pipeline of recovery projects are all considered potential drivers.

In September 2021, the Resilience Unit issue a questionnaire in order to understand current pressures. Responses highlighted issues with the following goods:

• Food (costs increases and decreases in the frequency of deliveries affecting food availability).
• Construction and building materials (delays, shortages, and cost increases)
• Technology-based items, such as computer chips and nodes, affecting, for example, laptops, screens and lighting (delays and shortages).
• Kerbside caddies for food waste (delays)

Responses also identified staff shortages which are being experienced across the Council. This is largely due to vacant posts but in some cases is being compounded by high levels of staff sickness:

• Staff across the Social Care Sector
• HGV drivers (impacting cleansing and waste)
• School meal staff
• Inclusion Service staff
• Agency staff (with shortages highlighted in terms of social care staff, waiting/hospitality staff and cleaning staff)
• Schools ICT Support Team staff
• Construction workers
• Housing Services staff
• Building Control staff
• Surveying and Contract Manager Teams staff (impacting building maintenance work)
• Internal Audit staff
• Childcare lawyers
• Shared Regulatory Services staff (40% of staff are currently working on TTP)

Daily Reporting:
Since Monday 20 December 2021, on-call Silver Officers have been required to complete a Winter Preparedness report for their Directorate, even if it is a nil return, by 10am each day (with exception reporting on weekends). This reporting will continue for the foreseeable future.

The reporting process was initiated due to increasing levels of the Omicron Covid-19 variant in Wales, as well as to help manage the Council's response to current issues (such as those mentioned above - demand pressures, staff shortages, supply chain shortages, delays, and cost increases, as well as other typical winter pressures).

Mitigation is being put in place by each Individual Directorate/ Service Area (where necessary/ the area is able).

What we plan to do to meet target

Moving forward, work will continue to be undertaken to understand the implications of the UK-EU Trade and Cooperation Agreement. Brexit issues will continue to be monitored and mitigations updated, ensuring that the Council is alert and ready to respond to new arrangements/ any potential disruption.

Citizens and Community Cohesion:
As the deadline to apply to the scheme has now passed, moving forward, should late applications be required to the scheme, individual cases will be raised with the Council's Cohesion Team, who will see how the case fits in with Home Office late application guidance. The individual will be signposted to legal advice if required. Furthermore, engagement is ongoing with Welsh and UK Governments to ensure an alignment of messaging and of advice on support pathways available.

Support for Local Businesses:
In order to support businesses, the Council is implementing a three-tiered communications approach (national, regional and local), alongside continuing to push a signposting service, including to UK Government/ Welsh Government support and guidance.

Workforce and Supply Chain Issues:
Appropriate reporting arrangements have been put in place moving forward, to allow workforce and supply chain issues, as well as other issues related to Winter Pressures, to be escalated in a timely manner by the Council's Silver Officers.

Type(s) of Impact

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

Linked Risks

Business Continuity
Workforce & supply chain issues linked to Waste Mgmt Risk

Key Indicators / Measures used to monitor the risk

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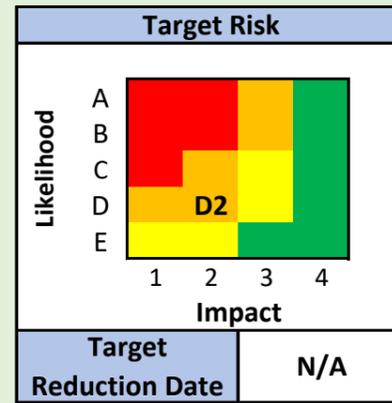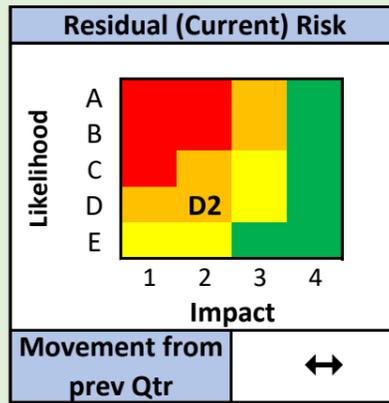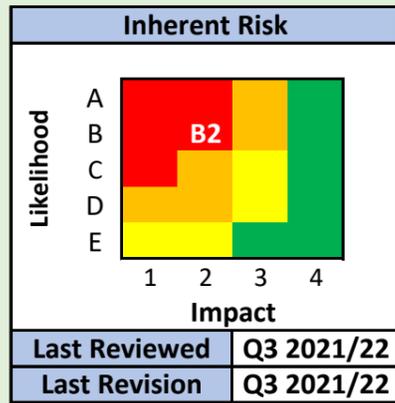• Numbers enrolled in settlement scheme

Performance Management

Description

The risk that the Council's Performance Management arrangements do not provide timely performance information to allow the Council's political and manaerial leadership to effectively deliver corporate priorities, statutory services or performance improvement

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 Requirementshave been set out in Local Government Bill and work is being undertaken to ensure the requiremnets are embedded in theCouncil's performance regime.

Potential Impact(s)

• Council unable to effectively deliver corporate priorities, statutory services or performance improvement

• Failure to comply with performance duties set out in the Wellbeing of Future Generations Act and Local Government and Elecections Act.

• Compliance failure leading to external sanctions and reputational damage.

Inherent Risk

Impact

| Last Reviewed | Q3 2021/22 |
| Last Revision | Q3 2021/22 |

Residual (Current) Risk

Impact

| Movement from prev Qtr | ↔ |

Target Risk

Impact

| Target Reduction Date | N/A |

Risk Owner(s)

Sarah McGill
(Gareth Newell)

Councillor Chris Weaver
Finance, Modernisation and Performance

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

Work has been undertaken to strengthen the Council's Planning and Performance Management Arrangements, with adaptations to the process also implemented in response to the Local Government and Elections Act (Wales) 2021.

The amendments have been consulted upon with the Lead Cabinet members, Senior Management Team, Policy Review and Performance Scrutiny Committee, Chairs of Scrutiny and the Governance and Audit Committee with many process improvements already implemented. An Internal Audit has also been undertaken of performance management arrangements.

What we plan to do to meet target

A revised Planning and Performance Framework will be brought forward for Cabinet consideration in February and a reassement of the risk rating will be undertaken following Cabinet's decision.

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

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

Inherent Risk

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

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4) matrix: **C2** (red)

Movement from prev Qtr	↔

Target Risk

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

Target Reduction Date	Q4 2021/22

Risk Owner(s)

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

Potential Impact(s)

• Inability to balance spend against budget, for the financial year

• Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet Corporate Plan objectives

• Requirement to draw down from General Reserves at the year end

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

• Clear financial procedure rules that reduce the level of risk of financial commitments being identified late in the financial year. The rules clearly set out the roles and responsibilities for budget management and are an area of interest for internal audit

• The nine months have seen monthly WG Hardship claims for additional expenditure and the first quarter of lost income. Continued due diligence is in place to ensure that all claims are solely related to the pandemic and follow the terms and conditions of the claims process. Review of assumptions of the rate in which services will return to budgeted levels over the financial year and align it with assumptions on WG Hardship grant. These controls plus regular review with impacted service areas and a sign off process is in place to mitigate against the risk of any payback requirement at a future point.

• Loss of income 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. The forecast for the latter three months has a level of uncertainty due to incidence of the pandemic, financial and the economic climate.

• The Corporate Director of Resources, Chief Executive and Cabinet Members have held three challenge meetings in the first nine months of 2021/22 in order to ensure there remains 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.

• Continued monitoring of exceptional price fluctuations in respect to Building, transport, energy and infrastructure materials in order to forecast the extent and duration of these pressures. Close working with Service areas in order to identify cost pressures and compensating mitigation strategies that impact on delivery of Capital Programme and repair schedules to ensure works remain within budget.

• Risk assessment process put in place for 2022/23 Capital Programme which will identify obstacles to cost and timescale thus encourage early mitigations.

What we plan to do to meet target

2021/22 and the Medium Term

• Develop with directorates the risk assessments and mitigations for each area of capital spend.

• For the last quarter, Maintain an appropriate level of due diligence in respect to Hardship Grant Claims in order to reduce the risk of significant under / over claiming

Type(s) of Impact

• Service Delivery	• Stakeholder
• Reputational	
• Legal	
• Financial	

Linked Risks

Financial Resilience

Key Indicators / Measures used to monitor the risk

• Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted

• Review of use of earmarked reserves and balances - Half Yearly

• Amount of Hardship Support claimed successfully
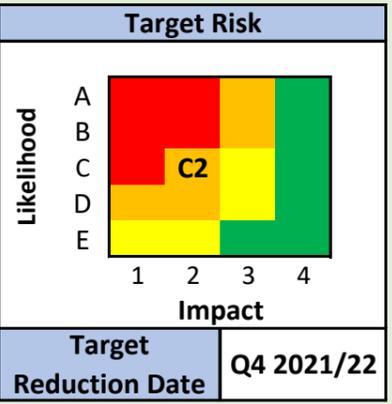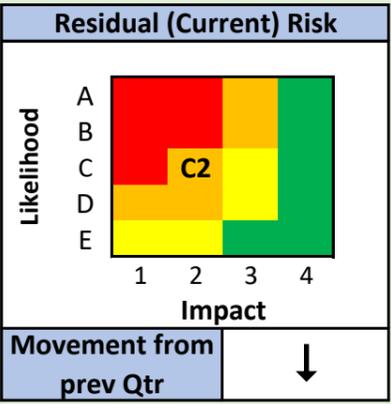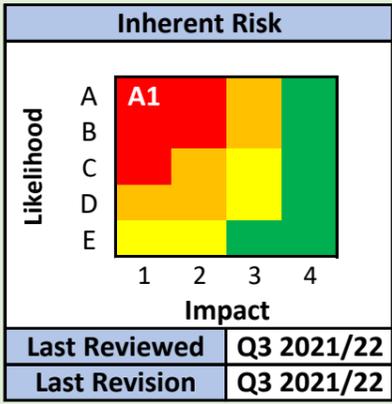
Financial Resilience

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 £69 million for the period 2023/24 to 2026/27.

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

• Service Delivery	• Stakeholder
• Reputational	
• Legal	
• Financial	

Inherent Risk

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

A1

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

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

C2

Movement from prev Qtr	↓

Target Risk

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

C2

Target Reduction Date	Q4 2021/22

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

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.
• Undertaken intial assessment against CIPFA FM code with high level findings
• 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, and detailed log of budgetary issues affecting 2022/23.

Linked Risks

Budget Monitoring (Control)

What we plan to do to meet target

2021/22 and the Medium Term
• 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.
• Complete self-assessment against the CIPFA FM code and Balance Sheet Review and develop implementation plan in respect of any findings or recommendations, which provide further financial resilience.
• Confirm approach and reporting of commercial investments as part of standard monitoring processes and reports.
• Continue to keep cost pressures arising from BREXIT, supply chains issues and labour / skills shortages under review in terms of their impact on costs, inflation and interest rates and the impact of these for the MTFP and Capital Programme
• Continue work to frame how the better than anticipated Local Government Settlement for 2022/23 can support financial resilience next financial year and beyond.
• Implement requirements, where relevant arising from CIPFA's 2021 update of the Prudential Code and Treasury Management Code. To include development of some of the listed indicators below with regards commercial investment.

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.
• Consider usefulness of benchmarking data re: financial resilience produced by External Audit Bodies - e.g. Audit Wales
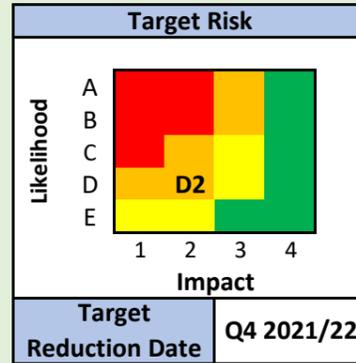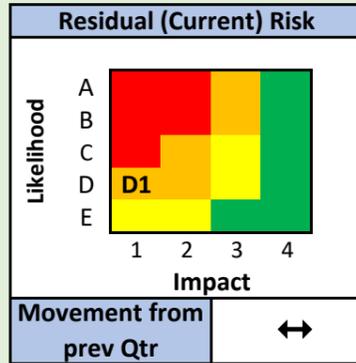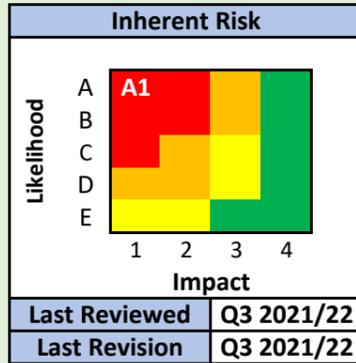
Fraud, Bribery & Corruption

Description

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

Inherent Risk

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Movement from prev Qtr	↔

Target Risk

Target Reduction Date	2022/23

Risk Owner(s)

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

Potential Impact(s)

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

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

- The Council communicates a zero-tolerance approach to fraud, bribery and corruption.
- Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, 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 counter-fraud updates 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.
- 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, with associated Fraud Awareness eLearning and face-to-face training rolled out.
- Annual participation in International Fraud Awareness week.
- Investigation Team provision of investigation and counter-fraud advice, guidance and support.
- SMT annual participation in CIPFA fraud tracker assessment and response.
- 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

- Consultation 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.

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.

Potential Impact(s)

Leads to the Information Commissioner issuing notices of non-compliance

These could consist of:

• A "Stop Now" Order which would mean that no personal data could be processes by the Council in its entirety
• An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery
• 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	• Stakeholder
• Reputational	
• Legal	
• Financial	

Inherent Risk

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

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Risk matrix (Likelihood A–E vs Impact 1–4): D1

Movement from prev Qtr	↔

Target Risk

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

Target Reduction Date	Q4 2021/22

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

• Accreditation in September 2021, the next annual accrediation of this process will take place in September 2022.
• An established Information Governance & Security Board meets quarterly. A quarterly Information Governance Report and briefings of decisions or recommendations for Board are provided on a quarterly basis.
• Processes are established through procurement and ICT for ensuring Data Protection Impact Assessments are completed if personal data is being processed
• A corporate Information Asset Register is held which details personal data assets held by each Council directorate. This is annually reviewed with the next review scheduled for August 2022.
• 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
• Advice, guidance and support is provided to all Cardiff Schools through Service Level Agreements.
• Corporate Retention schedule in place and updated annually in line with any legislative changes or in line with any requests from services to update.
• 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 are in place with alternative delivery contracts in place to support increased paper storage demands, with processes established to support corporate programmes.
• Data Protection e-learning training available for Council staff to complete before 31 December 2021. Managers are able to monitor compliance with information provided as part of the Information Governance Board Report.
• National and Regional Information Governance Agreements in place in respect of covid-19 data processes
• An updated data processor agreement, representing changes to UK laws post Brexit in place to support data processor arrangements and the Council's standard contract terms and conditions
• An Information Governance Champions Group has been established. The Group of IG Champions will be responsible for monitoring and reporting IG compliance into the Information Governance & Security Board
• Processes have been established to enable Information Governance & Security Board to have oversight of DPIA's completed against Procurement Contract Awards where personal data is processed
• A new streamlined surveillance system DPIA process is established to ensure services manage privacy responsibilities and link into corporate infrastructure solutions
Whilst the Council has a Record of Processing Activity (RoPA) this is incomplete with signifcant gaps.
• The Data Protection Officer has established a Data Protection Impact Assessment Panel to ensure that all changes to data processing activities are considered and any risks documented and esclated where necessary
• Corporate esclation processes have been agreed to improve directorates failure demand with answering and providing information in respect of FOI requests

What we plan to do to meet target

• Support Information Governance Champions with a review of their directorates Information Asset Registers and duplicate assets to ensure that these are accurate and up to date. Q1 2022/23
• Information Governance continue to support Legal Services and HR with ensuring that an appropriate agreement is put in place to manage data protection risks associated with employee information data transfers and handling with TCS. Q4
• Continue to support Social Services with compliance with data protection e-learning training in line with the revised target date for completion and work with the academy to create new content for 2022. Q3/Q4
• Work with Childrens Services and implement new service delivery model for management of social services requests. This will improve compliance, accountability and processes for managing social service disclosures. Q4
• Continue to monitor directorate risk registers for information governance risks and reporting any concerns to Governance & Security Board. Ongoing with escalations if identified
• Continue to work with Schools to develop DPIA's on MyConcern and Skodel with support with relevant school. Q4   • Review data breach claim processes and reports and determine support models for future claim handling. Q4
• Explore options for alternative service delivery models for the Council's Records Centre linked to the Recovery and Renewal Programmes, including potential external support options. Q4
• Conduct a review of the Council's Publication Scheme against the October 2021 ICO update and provide a recommendation for progress to the Information Governance & Security Board. Q4
• Support ICT with a review of security and protection linked with Cloud Impact Assessment processes Q4
• Release training and education communications to support schools with their Information Governance responsibilities   • Develop an Information Governance awareness week to link into national data protection day. Q4   • Develop e-learning training for Council officers and Schools on FOI/EIR and provide a recommendation to Information Governance & Security Board on its mandate Q1 2022/23

Linked Risks

Key Indicators / Measures used to monitor the risk

• Suite of IG Indicators/Service Metrics
• No. of ICO complaints
• No. of FOI /EIR SAR Requests
• No. of individuals trained on Data Protection
• No of Data Protection Impact Assessments being undertaken
• No of data protection breach complaints/claims

Cyber Security

Description

There are 10 areas of potential risk within the National Cyber Security Centre cyber risk model.

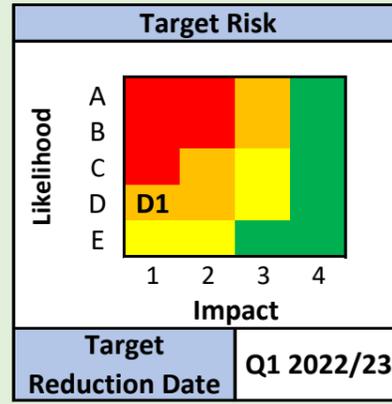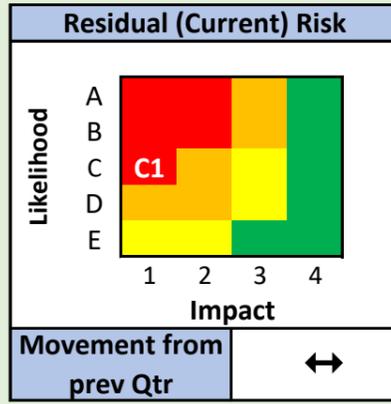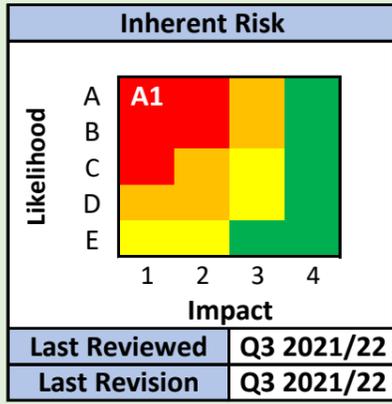Five of the 10 areas have been identified as high risk as follows:

Architecture and Configuration - The need to ensure that good cyber security is baked into systems and services and can be maintained and updated to adapt effectively to emerging threats and risks.

Vulnerability Management - The majority of cyber security incidents are the result of attackers exploiting publicly disclosed vulnerabilities to gain access to systems and networks.

Data Security - With the increasingly tailored ransomware attacks preventing organisations from accessing their systems and data stored on them, security measures should include maintaining up-to-date, isolated, offline backup copies of all important data.

Logging and 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

Supply Chain Security - 2018 Internal Audit identified contract, SLA and service management weaknesses in externally hosted services

Potential Impact(s)

The intent of cyber attackers includes, but is not limited to:
• financial fraud;
• information theft or misuse,
• activist causes to render computer systems intolerable and to disrupt critical infrastructure and vital services.

The impact of a cyber-attack / incident has the potential to involve the realisation of the risks associated with:
• An information governance breach (i.e. Stop Now Order, Information Notice, Enforcement Notice, Financial Penalty etc.)
• A business continuity incident – with a potential for major loss of service and legal, health and safety and financial implications.
• A financial / fraud related attack.

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

Type(s) of Impact

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

Inherent Risk

A1

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

C1

Movement from prev Qtr	↔

Target Risk

D1

Target Reduction Date	Q1 2022/23

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

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

• Architecture and Configuration - ICT Management reviewed Ransomware report and has implemented improvement action dates.

• Data Security - security risk outputs for Cloud Impact Assessments and internal services are tested using WebInspect. TLS Email is used for protecting email in transit. Internal backup solution backs up all virtual and physical servers.

• Logging and 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.

• Supply Chain Security - Maturing PIA & CIA process used to assess risks to data and technology solutions

Risk Owner(s)

Chris Lee
(Phil Bear)

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

What we plan to do to meet target

SMT
• To implement NCSC Board Toolkit review to increase overall Cyber Security posture.

Architecture and Configuration
• Governance and management requirements to be formalised for periodic and systematic review of all ICT systems.
• To ensure strong ICT 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.
• ICT and Information Governance (IG) Teams to liaise with FM for physical security assurances and to promote an incident reporting culture.

Vulnerability Management
• Implement vulnerability management programme to bring services in-line with existing ICT internal patch policy.
• Meet patching obligations that exist within compliance frameworks and contractual obligations with vendors.

Supply Chain Security
• 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.
- 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.

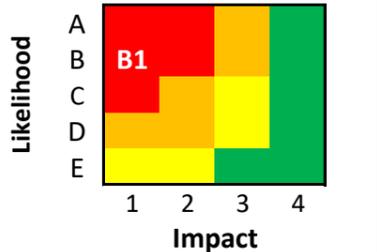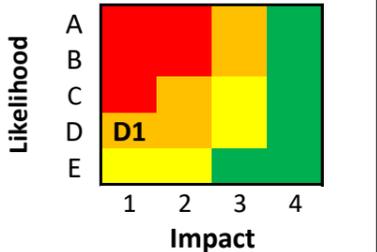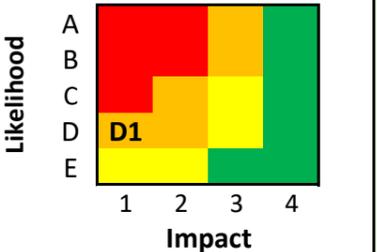## Linked Risks

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
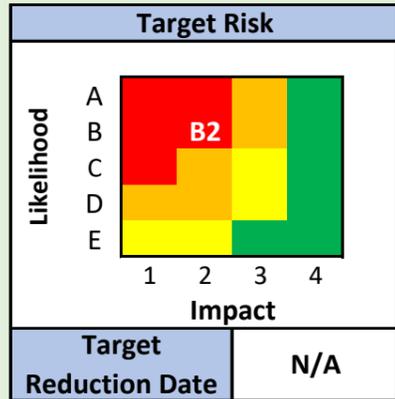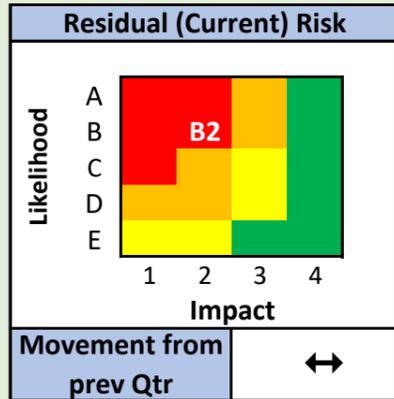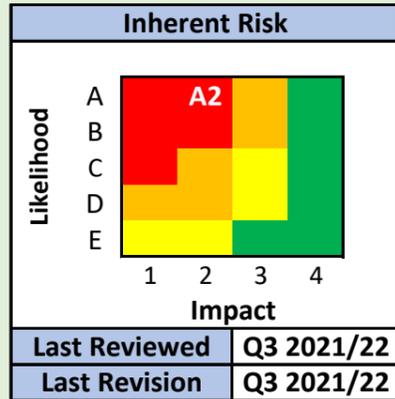
Business Continuity

Description

Large scale incident/loss affecting the delivery of services.

The potential risk is that our most time sensitive activities are not sufficiently resilient and fail, following an incident which impacts on their delivery and that our incident management structure, used in response to internal incidents and external emergencies, also fails in response to an incident.

Inherent Risk

Likelihood (A–E) / Impact (1–4)

B1

Last Reviewed	Q3 2021/22
Last Revision	Q2 2021/22

Residual (Current) Risk

Likelihood (A–E) / Impact (1–4)

D1

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) / Impact (1–4)

D1

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee

Councillor Huw Thomas
Leader

Potential Impact(s)

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

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

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

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

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

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

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

• The Council has a BCM Champion who sponsors BCM at a strategic level
• We have an approved Business Continuity Policy which is aligned to ISO22301
• BCM toolkit is now available on CIS
• The Council employs a Business Continuity Officer who is a qualified ISO22301 lead auditor
• The Emergency Management Unit has developed an Incident Management Plan (Cardiff Council's Emergency Management Plan) to ensure alignment with ISO22301. This was fully updated in March 2019.
• The Council has a 24 hour Incident Management structure for Gold and Silver Officers.
• Cardiff Council is a member of the Core Cities Business Continuity Group
• Internal Audit completed an audit of the Business Continuity Risk in September 2018 and the assurance statement was "Effective with opportunity for improvement"
• Q4 of 2019/2020 saw the council undertake a full review and update of the activities delivered across the council allowing us to focus on the resilient delivery of key functions as we planned and responded to the COVID19 threat. This review was delivered at the Strategic Level.
• Each Directorate was tasked with reviewing and updating their key business continuity plans in preparation for the emerging COVID19 threat. Each Director/Corporate Director was responsible for ensuring this work was undertaken fully and properly. The existing Business Continuity work provided a solid foundation to our response to the COVID19 threat.
•The full corporate incident management team was activated in early March.
•The Council worked positively at a Local Resilience Forum(LRF) level with partners supporting a wider Wales response to the COVID19 threat. This included daily reporting and escalation of key issues to the LRF.
• Areas were forced to change to a far more agile way of operating with our core ICT requirements changing to support far more agile/home working. The mode of delivery worked exceptionally well and provides the potential for longer-term resilient agile working in response to the ongoing COVID19 risk, in addition to positively supporting other aims and corporate risks.
• Staff across the council adapted at speed and have worked incredibly hard to deliver key services in new ways, in addition many staff changed roles to support the resilient delivery of key services and new asks on the council to keep the public safe.

What we plan to do to meet target

• Work with ICT to ensure our core infrastructure is as resilient as possible and able to support additional agile working capacity.
• Work with the teams involved with looking at the potential of using alternative delivery models for council services. Identifying risks associated with alternative delivery models for specific services and recommend potential risk management solutions for implementation, to protect the delivery of our most critical services.
• The BC Officer is working to develop and enhance individual Directorate response capability to ensure Directorates are in a stronger position to respond to incidents which could impact on the Council and our most time sensitive activities
• The BC officer is continuing a review of 4x4 resources across the council to support our response capability to deal with the potential of winter storms.
•The BC officer along with the Resilience Unit are continuing to ensure that corporately we are able to respond to the COVID19 threat and the ongoing risk including of a third wave until the threat of the pandemic has fully dissipated.
• The Resilince Unit will undertake a lessons learned review of key lessons from the first 2 waves of the pandemic and ensure that key risks/lessons/processes that feed into the councils resilience capability are incorporated into our ongoing planning to support us in being ready for ongoing risks. This will, where appropriate, involve a review and update of individual BC plans by Directorates and also a review and update of the councils Emergency Management Plan.
• The Resilience Unit will support Directorates in their Autumn/Winter 2021 resilience planning with targeted work and support around the councils most time critical activities. As the challenges the pandemic continues to pose for the council along with the other current and emerging risks this work will focus on a continual and sustainable delivery of key services.

Type(s) of Impact

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

Linked Risks

Brexit Risk

Key Indicators / Measures used to monitor the risk

The Red activity BC plan status is reviewed on a quarterly basis via a report to SMT after the CRR submission. Additionally the risk is managed as part of the Corporate Risk Management process via the CRR returns and the BC risk is also audited by Internal Audit . The last Internal Audit of the Business Continuity Risk was in in 2018.

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.

Inherent Risk

Likelihood		Impact
A2		

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

B2 — Impact / Likelihood

Movement from prev Qtr	↔

Target Risk

B2 — Impact / Likelihood

Target Reduction Date	N/A

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. A request has been made to extend this by another year
• Regular meetings are held with social housing providers to monitor and improve processes.
• Spend across the different finance support packages is being monitored carefully. Expenditure for 2021/22 will continue focusing on the most vulnerable individuals, helping people with the transition into work and mitigating the risk of homelessness.
• Continue to work with WG to ensure that any new schemes are designed in consultation with us.
• Services for private landlords are being further developed to help prevent them withdrawing from the market Including incentives and support.
• Increase in Homeless Prevention staff to work with clients at risk of homelessness at the earliest opportunity Service can be provided from a partner building, community hub or in a client's home to increase engagement.
• In depth assessments continue to be completed at point of presentation to include a financial statement which will allow discussion to be had around possible expenditure concerns
• 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 single point 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.
• 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

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. This is expected to increase further with the end of the evictions ban.
• Increased rough sleeping
• Increased rent arrears, increased evictions - The impact on Council tenant rent arrears has already been considerable and is having an impact?? on the HRA, this will continue to increase as more tenants move onto 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 may be affected by changes and therefore unable to put mitigation steps in place This has already had a negative impact as the number of families affected by the Benefit cap who the advice teams have been able to initiate contact has reduced.
• Increase in poverty and child poverty, potentially an increase on demand on social services

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

Communities staff continue to work closely with private sector landlords and advice agencies to mitigate wherever possible the reduction in benefit income to help prevent eviction.
• The Rent Arrears Pathway has been created using a one front door approach, supporting people to access the help they need to pay their rent or any arears they have accrued.
•New schemes and incentives have been created to support both Landlords and tenants to obtain and retain accommodation in the PRS these include rent in advance and bonds, Help with the cost of repairs and bespoke packages, guarantor.
• 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., young people and clients leaving hospital
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 who may not be aware of homeless services an additional marketing drive has been delivered using social media.
• Housing Solutions and Housing Help line has moved to the Advice service. This will ensure that those who are homeless or threatened with homelessness can access advice and support in their own community, or over the phoneand be triaged into the right help. Prevention advice will be expended to Hubs following an initial successful pilot in the winter of 2021
• 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 with low support needs who have lived in supported accommodation.
• 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
• Digital inclusion training and Universal Credit Support has been rolled out across all the Community Hubs, Adviceline and Housing Helpline. Additional training will be provided when the migration of UC commences.
• Into Work Services has been expanded to include a new pathways into work team and the new Cardiff Works ready team. The team can provide help and support to anyone in the city from light touch support to intensive one to one mentoring.

Type(s) of Impact

Linked Risks

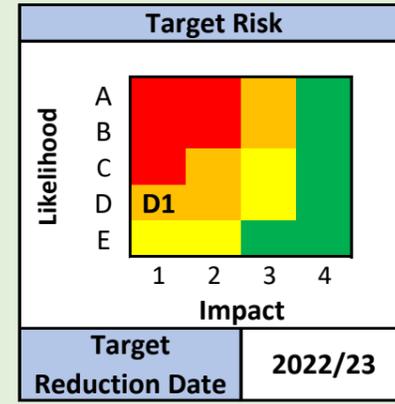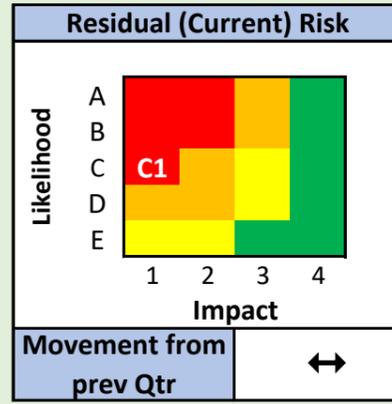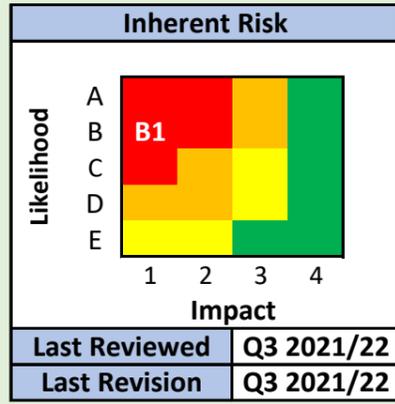## Key Indicators / Measures used to monitor the risk

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.

Inherent Risk

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

		Last Reviewed	Q3 2021/22
		Last Revision	Q3 2021/22

Residual (Current) Risk

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

Movement from prev Qtr	↔

Target Risk

Likelihood (A–E) vs Impact (1–4). D1 marked.

Target Reduction Date	2022/23

Risk Owner(s)

Sarah McGill
(Deborah Driffield)

Councillor Graham Hinchey
Children & Families

Potential Impact(s)

• Family breakdown leading to children becoming looked after.
• Growth in the number of children entering the looked after system and associated costs for the Authority.
• Insufficient placements to meet need 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.
• Welsh Government programme of work to eliminate profit from the care sector and potential impact on destabilisation of placements.
• Increase in use of unregulated placements.
N.B. All demand risks carry safeguarding implications.

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

• Early Help - Cardiff Family Advice and Support Services.
• Interventions Hub being developed.
• Referrals to Safe Families.
• Referrals to Ymbarel.
• Dedicated worker to focus on young carers.
• Adolescent Resource Centre.
• Assessment Centre and emergency pop up / pop down residential provision.
• Direct Payments (review being undertaken).
• Signs of Safety / Reunification Framework / Family Group Conferencing / Safe and Together model / No Wrong Door approach.
• Delivering Excellent Outcomes Children's Services Strategy to be reviewed.
• Children's Commissioning Strategy and Market Position Statement.
• Refreshed workforce strategy developed 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.
• Reviewing Hub being developed.
• Implementation of 4th team in each locality to increase management capacity.
• 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 and development of PowerBi reports).
• Appropriate use of COVID expenditure claims and recovery fund from Welsh Government and other funding streams; and financial planning around how longer term needs will be met.
• Temporary Resource Assistants recruited for OMs and social workers to test proof of concept.
• Vulnerability Change Project reviewing police mechanism for referrals to Children's Services - with the aim of reducing PPNs on low level cases.
• In house respite provision being reviewed to ensure it meets demand and need.
• Resource Panel oversees decisions regarding placements.
• Services being delivered under Amber level of business continuity model with focus on highest risk cases.
• Family Drug and Alcohol Court pilot.

What we plan to do to meet target

• Business processes to be reviewed as part of implementation of Eclipse system.
• Work with judiciary re: planned changes to private and public law.
• Systems review being arranged to ensure sustainability of services going forward.

Linked Risks

• Workforce Planning (Social Services)
• Safeguarding

Key Indicators / Measures used to monitor the risk

• Children's Services:
• Early Help 1 - Number of people supported through the Family Gateway
• Early Help 2 - Number of people supported by the Family Help Team
• Early Help 3 - Number of people supported by the Family Support Team
• Contacts 1 - Number of Contacts / Referrals Received
• SSWB 24 - Percentage of assessments completed for children within statutory timescales
• CS LAC 3e - Number of children looked after

Type(s) of Impact

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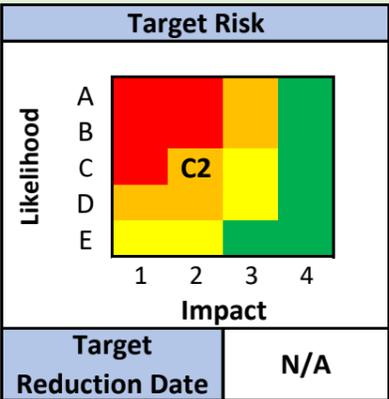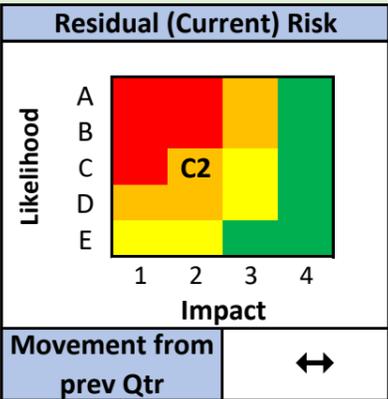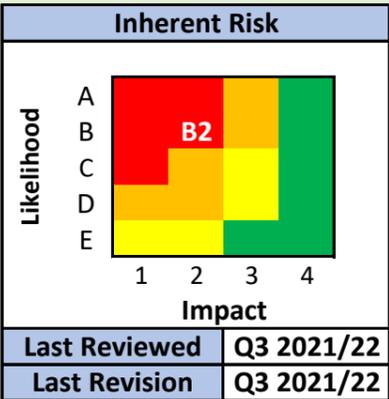• Community & Environment
• Stakeholder

Legal Compliance

Description

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

• gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate;

• inability to deliver the services in accordance with all duties and responsibilities due to lack of resource:

In each case leading to increased risk of challenges.

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

Potential Impact(s)

• Increase in number of challenges and complaints with consequences in terms of already stretched resources and impact of adverse decisions

• Implementation of decisions delayed due to challenges and potentially fatally disrupted

• Impact on projects if reputation for sound management and implementation of projects is damaged

• Major incident

• Adverse press/media reaction

• Involvement from Welsh Government in terms of performance standards or measures

• Increased costs

• Impact on capacity to deal with proactive legal work

Inherent Risk

Likelihood / Impact grid — B2

Last Reviewed	Q3 2021/22
Last Revision	Q3 2021/22

Residual (Current) Risk

Likelihood / Impact grid — C2

Movement from prev Qtr	↔

Target Risk

Likelihood / Impact grid — C2

Target Reduction Date	N/A

Risk Owner(s)

Davina Fiore

Councillor Huw Thomas
Leader

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

• Professional internal legal and financial advice provided to a high standard

• Maintaining robust decision making process with legal implications on all Council, Cabinet and Committee reports and Officer Decision Reports at Director level

• Appropriate use of NPS Legal Services by Solicitors Framework to increase resilience

• Dedicated teams in specialist areas e.g. equalities, FOI / DPA

• Sharing training/publications received

• Encourage Directorates to ensure reports are discussed at preliminary stage in development to ensure all legal issues are addressed early

• Decision Making Training to both the Senior Management Forum and the Managers Forum carried out in 2020 and Pre Election Period and Decision making Pre and Post the Local Election briefings given to the Senior Managers Forum and the Cardiff Managers Forum in January 2022, and a specific Decision Making training session held for the Environment Directorate managers in Jan 2022

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.

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

Number of Judicial Reviews and Number of Successful Challenges