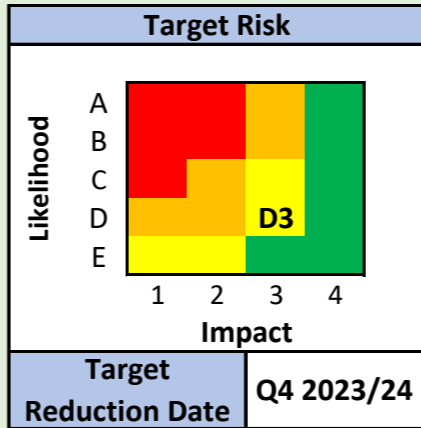
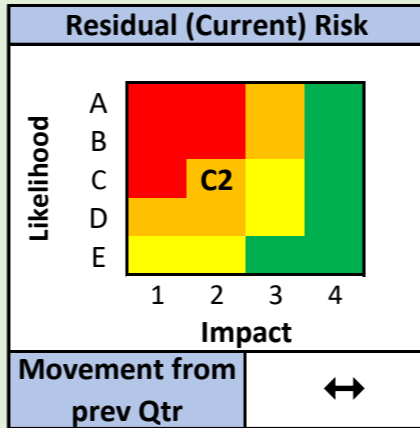
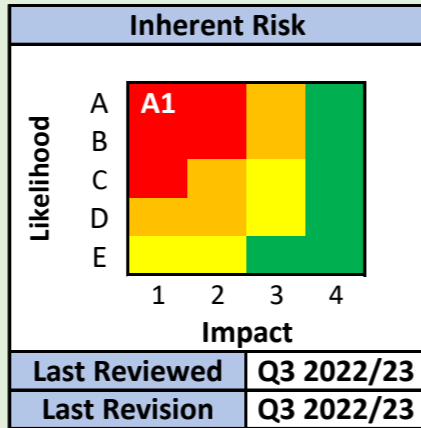


# Non-completion of Statutory Building Equipment Maintenance

**Description**

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



**Risk Owner(s)**

Neil Hanratty (Donna Jones)      Councillor Russell Goodway Investment & Development

**Potential Impact(s)**

Potential consequences of non-compliance with statutory maintenance:

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

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

**Contractor**

- 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 '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.
- Continue to share testing/remedial performance statistics with all Directorates on a monthly basis.

**COVID-19**

- Following initial restrictions on the type of statutory compliance testing being undertaken in Council buildings a full testing programme is now in place. Access issues to some buildings following the COVID pandemic has caused delays to the undertaking of some testing and remedial works which has impacted upon the compliance statistics (service area responsibilities - target 80%, actual 68%; Building Services responsibilities - target 80%, actual 89%; completion of remedial works - target 50%, actual 74%)
- Resolved remaining access issues to buildings that remained closed following COVID-19 all required statutory obligations testing has resumed and resulting remedial works identified.

**Landlord / Occupancy Agreement**

- Service area / County Estates building management principles established as business as usual in the Corporate Property Strategy 2021-26.
- Ongoing management through the established asset management / county estates controls and business processes

**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. **ONGOING**
- Complete a review of arrangements in place to contract statutory inspections/maintenance for non-domestic Council premises, which are currently not being commissioned through the Statutory Maintenance Team (team moved to SED pending restructure) **(Q4 23/24)**.

**Type(s) of Impact**

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

**Linked Risks**

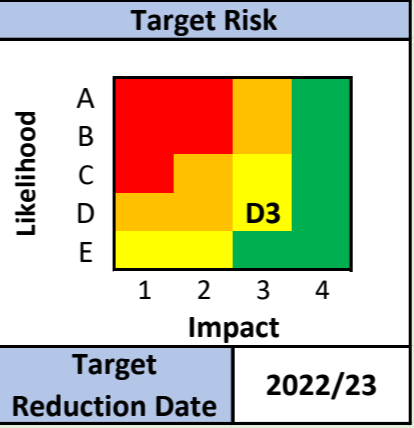
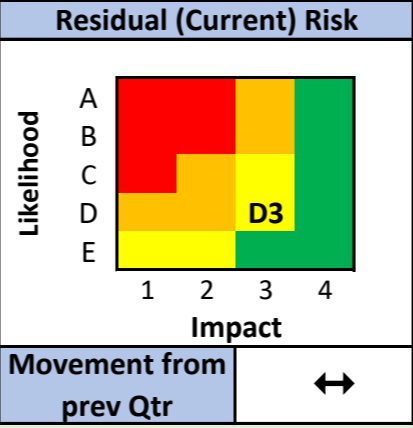
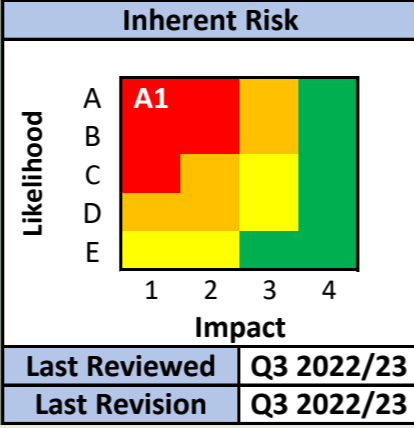
Health & Safety

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

Compliance stats from the Corporate Health & Safety Team.

# Health & Safety

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



**Risk Owner(s)**

**Neil Hanratty**  
 (Donna Jones)

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

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

- RAMIS - reporting recommenced using the new platform, reports submitted to Corporate Health & Safety Forum and Senior Management Team.
- Condition Surveys School Buildings - Complete Dissemination of Condition Survey information to schools as and when COVID-19 restrictions permit.
- 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 2021 the H&S Team resumed normal operations in addition to supporting issues related to COVID-19. In Q4, 2021/22 OH resumed face to face appointments and health surveillance.
- 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. Commenced briefing sessions for technical departments and Building Managers to ensure they understand their responsibilities under the Corporate Asbestos Management (CAM) Plan.

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

- Continue to monitor embedding of current controls to reduce the overall risk **ONGOING**

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

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

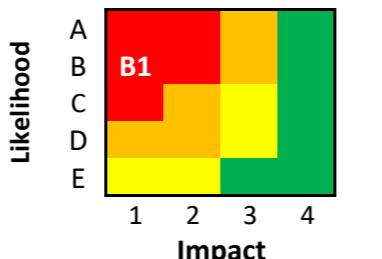
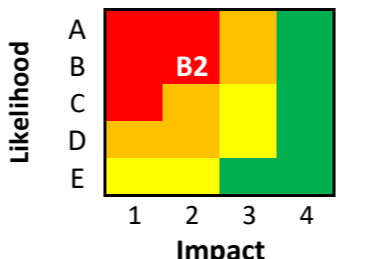
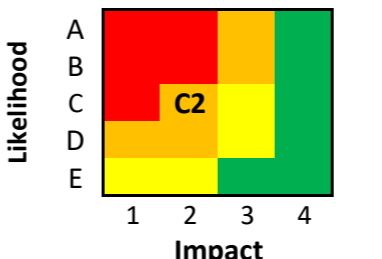
**Linked Risks**

Non-completion of Statutory Building Equipment Maintenance

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

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

# Recycling Performance

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)								
<p>Failure to deliver recycling performance to meet statutory recycling performance targets within waste directive</p> <p>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%</p>	 <p style="text-align: center;"><b>B1</b></p>	 <p style="text-align: center;"><b>B2</b></p>	 <p style="text-align: center;"><b>C2</b></p>	<p style="text-align: center;"><b>Neil Hanratty</b> (Matt Wakelam)</p> <p style="text-align: center;"><b>Councillor Caro Wild</b> Climate Change</p>								
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Potential Impact(s)
<p><b>Financial</b></p> <ul style="list-style-type: none"> <li>Penalties and loss of grant support</li> <li>Continuing financial costs to service</li> </ul> <p><b>Legal &amp; Regulatory</b></p> <ul style="list-style-type: none"> <li>Failure to comply with waste directive, leading to sanctions, penalties or interventions</li> </ul> <p><b>Strategic/ Reputational</b></p> <ul style="list-style-type: none"> <li>Reputational consequence with citizens and key stakeholders</li> </ul>

What we've done/are currently doing to achieve the Residual Risk Rating
<p><b>Cardiff's Recycling Strategy</b></p> <ul style="list-style-type: none"> <li>Recycling Strategy for Cardiff, which sets out the Council's long-term objectives over the next 5 years and considers economic, social and environmental aspirations, to ensure Cardiff is one of the leading cities in the world for recycling was approved at September 22nd 2022 Cabinet meeting;</li> </ul> <p>Agreement in principle be given to the programme of change set out in the Recycling Strategy 2022-25: 'Greener and Cleaner' and this report and delegate authority to the Director of Economic Development in consultation with the Cabinet Member for Climate Change to roll-out the phased implementation of the programme including: Agreement in principle be given to the programme of change set out in the Recycling Strategy 2022-25: 'Greener and Cleaner' and this report and delegate authority to the Director of Economic Development in consultation with the Cabinet Member for Climate Change to roll-out the phased implementation of the programme including:</p> <ul style="list-style-type: none"> <li>The phased roll-out of segregated recycling as set out in this report across household properties in Cardiff.</li> <li>The phased roll-out of reduced residual waste collections as set out in this report to improve the level and quality of recycling across household properties in Cardiff</li> <li>Undertake further pilot work in relation to Houses of Multiple Occupancy and Flats to improve recycling performance including the testing of communal segregated recycling bins.</li> <li>Review the expansion of kerbside collection services to cover items currently not collected at the kerbside.</li> <li>Enhance and strengthen education and enforcement to deliver improved recycling compliance across household properties in Cardiff.</li> <li>Develop the business case to move from a Material Recovery Facility to a Material Handling Facility required to manage segregated recycling</li> </ul> <p>Improvements to the trade / business waste model to improve recycling and meet new legislative requirements.</p> <p>Identification of wider Council / service area change to value resources and minimise the Council's impact on climate change.</p> <ul style="list-style-type: none"> <li>the plans to enhance the cleansing service, including the move balanced resourcing and 'same day cleanse' following collections for inner wards be noted.</li> <li>the development of a business case for a future repair and re-use 'superstore' be noted. A further report will be brought regarding the business case.</li> </ul> <ul style="list-style-type: none"> <li>Pilot for reusable sacks and segregated recycling commenced 24th Jan 2022 - participation 4000 properties and is now complete.</li> <li>Expansion of segregated recycling implemented in existing pilot areas, alongside further ward expansion from 29th Nov 2022 - completed, and participation now totals 13,000 properties.</li> </ul> <p><b>Wider Governance &amp; Compliance</b></p> <p>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%.</p> <ul style="list-style-type: none"> <li>Working in partnership with WG, WRAP &amp; WLGA to deliver new Recycling Strategy, Implementation Plan &amp; individual business cases</li> <li>segregated recycling modelling and business case</li> <li>material recovery facility to material handling facility, outline design and business case.</li> <li>development of blueprint model for flats, working in partnership with Swansea council</li> <li>trade business waste recycling review in preparation of new legislation</li> <li>Programme Board developed to review individual business cases prior to decision making process - Officer/ Cabinet/ Council decisions -</li> <li>A review of the performance of the Recycling Centres has been undertaken as part of Recycling Strategy, reviewing the controls at the recycling centres - completed</li> </ul>

What we plan to do to meet target
<p><b>Cardiff's Recycling Strategy</b></p> <ul style="list-style-type: none"> <li>The pilot data is informing the development of the business case for the phased citywide roll out - this needs to be re-evaluated using data from the expansion, due to the impact of the cost of implementation on the MTFP - <b>Q4 2022/23</b></li> <li>Outline business case to be developed for a future repair and re-use 'superstore' - <b>Q4 2022/23</b></li> <li>Recycling Performance Targets set within the Strategy are:                      2021/22 = 64% - final validated performance for year is 58.19%                      2022/23 = 64% - Q1 performance is 64.73% (unvalidated)                          - Q2 performance is 63.27 % (unvalidated)                          = average 64% 22/23 to date (unvalidated)                      2023/24 = 66%                      2024/25 = 70%</li> </ul> <p><b>Wider Governance &amp; Compliance</b></p> <ul style="list-style-type: none"> <li>Senior Management to have ongoing regular engagement and discussions with WG and WRAP on Cardiff's Recycling Strategy and collaborative working model - fortnightly meetings <b>ONGOING</b></li> <li>Quarterly meetings with Julie James MS, Minister for Climate Change, and WG to monitor actions to improve recycling performance <b>ONGOING</b></li> <li>Response to Minister re 2020/21 recycling performance - <b>Q4 2022/23</b> Meeting Minister on February 27th 2023 to discuss below target recycling performance (58.19% against target 64%)</li> </ul>

Type(s) of Impact
<ul style="list-style-type: none"> <li>Reputational</li> <li>Legal &amp; Regulatory</li> <li>Financial</li> </ul>

Linked Risks
<p>Workforce &amp; supply chain issues - Directorate Risk Register risks:</p> <p>RNS7 - Rising Fuel Costs</p> <p>RNS8 - Extreme Global External Factors</p>

Key Indicators / Measures used to monitor the risk
<ul style="list-style-type: none"> <li>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%</li> <li>Monthly tonnage monitoring</li> <li>Monthly financial monitoring in each area of waste</li> </ul>

## Schools Organisation Programme (Band B)

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>Failure to deliver on aspects of the School Organisation Programme, which is significant in value and complex. The programme consists of Band B (£284m) 21st Century Schools, asset management improvement work, ICT and sufficiency projects. The programme of work spans across a number of directorates, requires significant capacity and has significant capital spend.</p>				<b>Mel Godfrey</b> (Richard Portas)	<b>Councillor Sarah Merry</b> Deputy Leader & Education, Employment & Skills								
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	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>									
	<ul style="list-style-type: none"> <li>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.</li> <li>A draft strategic plan for ALN provision has been submitted to Cabinet in October 2021.</li> <li>Successfully negotiated COVID-19 clauses with contractors for ongoing projects such as Fitzalan.</li> <li>Work is ongoing to make sure that all learners have access to digital devices, network and infrastructure to support mobile and distance learning.</li> <li>Robust governance model, in line with Corporate Landlord approach is in place and is supporting consistent decision making.</li> <li>Finance have re-profiled the capital and revenue budgets to assess the required budgets for each scheme. There are ongoing discussions with Welsh Government to assess the affordability of the programme in light of the current programme. The Council is considering additional asset funding in light of the pressing needs.</li> <li>Implementing more robust management and monitoring processes for the asset improvement programme, including the three "D" category High Schools, Fitzalan, Cantonian and Willows.</li> </ul>			<ul style="list-style-type: none"> <li>Develop a high level SOP Strategy that outlines the short/ medium and long term aims of the whole programme. The SOP Strategy will be underpinned by the ongoing Band B review. Q4 22/23</li> <li>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. Q4 22/23</li> <li>Prioritise population data development to underpin accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward. Ongoing</li> <li>Ensure consistent monitoring and reporting of all risks to Schools Programme Board. Ongoing</li> <li>Continue to move forward with digital projects to support distance and mobile learning and embed into a long term and sustainable model. Ongoing</li> <li>Starting to develop the WESP for the Council to meet the policy requirements. Ongoing</li> </ul>									
<b>Potential Impact(s)</b>	<ul style="list-style-type: none"> <li>Opportunities to enhance the school estate, and transform education will be missed</li> <li>Insufficient secondary places in some central and north east areas of the city</li> <li>Insufficient places in ALN settings across the city, leading to costly placement in out of county &amp; private settings</li> <li>School buildings that are not suitable for teaching and learning</li> <li>Further degeneration of school buildings &amp; rise in asset management backlog</li> <li>Project cost and time overruns</li> <li>Risk that school ICT infrastructure fails in the short to medium term and does not support the new curriculum</li> <li>Risk that in the current situation, learners do not have access to ICT equipment to support distance learning</li> </ul>												
	<b>Type(s) of Impact</b>	<b>Linked Risks</b>	<b>Key Indicators / Measures used to monitor the risk</b>										
	<ul style="list-style-type: none"> <li>Reputational</li> <li>Legal</li> <li>Financial</li> <li>Social</li> <li>Health &amp; Safety</li> <li>Stakeholder</li> <li>Health and Wellbeing</li> <li>Sustainability</li> </ul>		<ul style="list-style-type: none"> <li>Spend against the asset programme in financial year, in accordance with the responsibilities of schools and corporate landlord (Corporate Plan)..</li> <li>Timelines to deliver projects within the SOP programme.</li> <li>New key performance measures which are being developed as part of the overarching SOP Strategy.</li> </ul>										

## Education - Schools' Delegated Budgets

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>The number of schools with deficit budgets and/or the overall value of deficit budgets increases, or that those schools (particularly in the Secondary sector) with existing deficit budgets do not deliver agreed deficit recovery plans.</p>				<b>Mel Godfrey</b> (Neil Hardee)	<b>Councillor Sarah Merry</b> Deputy Leader & Education, Employment & Skills								
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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.</li> <li>Officers from Education and Financial Services work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible.</li> <li>Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.</li> <li>For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school.</li> <li>A working group was established to examine the impact of the 2021/22 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. A report on the conclusions and recommendations from the task groups has been presented to the School Budget Forum.</li> <li>The LFMS team have undertaken an exercise to project from each schools Month 7 position an estimated year end balance. Given the higher than expected pay awards for both teaching and non teaching staff initial projections indicate that there may be as many as 31 schools ending the financial year in deficit and a significant proportion of schools would reduce their unallocated balance.</li> </ul> </td> </tr> </table>			What we've done/are currently doing to achieve the Residual Risk Rating	<ul style="list-style-type: none"> <li>As at 31st March 2022, two schools have a deficit balance. Both schools have long term plans to emerge from deficit. 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The Directorate will:</p> <ul style="list-style-type: none"> <li>Continue to work with schools projecting a deficit following the LFMS exercise in Q4 2022/23</li> <li>Work with Financial Services to explore whether the LA is able to make a contribution to schools towards the higher than budgeted for pay award costs Q4 2022/23</li> </ul> </td> </tr> </table>		What we plan to do to meet target	<p>There has been a significant reduction in the number of schools with deficit budgets. This is currently two schools. The Directorate will:</p> <ul style="list-style-type: none"> <li>Continue to work with schools projecting a deficit following the LFMS exercise in Q4 2022/23</li> <li>Work with Financial Services to explore whether the LA is able to make a contribution to schools towards the higher than budgeted for pay award costs Q4 2022/23</li> </ul>				
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<ul style="list-style-type: none"> <li>As at 31st March 2022, two schools have a deficit balance. Both schools have long term plans to emerge from deficit. For the 2022/23 financial year, four schools applied to set deficit budgets.</li> <li>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.</li> <li>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.</li> <li>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.</li> <li>Officers from Education and Financial Services work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible.</li> <li>Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.</li> <li>For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school.</li> <li>A working group was established to examine the impact of the 2021/22 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. A report on the conclusions and recommendations from the task groups has been presented to the School Budget Forum.</li> <li>The LFMS team have undertaken an exercise to project from each schools Month 7 position an estimated year end balance. Given the higher than expected pay awards for both teaching and non teaching staff initial projections indicate that there may be as many as 31 schools ending the financial year in deficit and a significant proportion of schools would reduce their unallocated balance.</li> </ul>													
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## Education - School Improvement & Attainment

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>The risk that school improvement is not delivered as planned, in light of changing accountability and assessment arrangements and National Reforms (Curriculum and Additional Learning Needs).</p>				<b>Mel Godfrey</b> (Mike Tate)	<b>Councillor Sarah Merry</b> Deputy Leader & Education, Employment & Skills								
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	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>									
	<ul style="list-style-type: none"> <li>Education and Lifelong Learning is supporting schools across the city in returning 'back to normal' operations where possible, moving forward with the new processes that have been embedded over the past two years. The LA is providing continued support to schools to ensure that pupils sitting summer exams have the best possible environment to achieve their best.</li> <li>The LA and CSC are supporting schools to prepare to introduce Curriculum for Wales 2022. There is flexibility in implementing the curriculum considering challenges faced as we continue to manage the pandemic and with ongoing operational issues faced by schools.</li> <li>Estyn concluded in their full inspection of Cardiff Education Services in February 2022 that there has been a sustained and incremental improvement in Cardiff Education in recent years. Inspection outcomes are strong, especially in the primary sector. Outcomes for outcomes for pupils across key stage 4 have been above or well above expectations in the majority of schools in the three years up to the pandemic. Outcomes for pupils that are eligible for free-school meals (efsm) has generally been above that of the same group nationally.</li> <li>Estyn noted that the LA has established strong working relationships with the regional consortium and there are robust processes for the support and challenge to schools causing concern.</li> <li>School inspections have resumed in Q4, with a number already under way, these include school inspections that were delayed as a result of COVID-19, with additional schools scheduled for May and June of this year.</li> </ul>			<ul style="list-style-type: none"> <li>Following the November '21 Inspection, Estyn recommended that the LA ensures that the work of the regional consortium (CSC) is focused appropriately on Cardiff's strategic priorities. Actions to align the work of the LA and CSC more closely will be carried forward into the new Directorate Delivery Plan. Q4 2022/23</li> <li>Closely monitor school exclusions and school attendance, paying particular attention to investigating alternatives to exclusions on a case-by-case basis; also by providing further support to families as well as making sure they are more involved in the process. ONGOING</li> <li>Work with CSC to provide support to schools to develop teaching and learning approaches in line with Curriculum for Wales 2022 and prepare for new assessment arrangements. ONGOING</li> <li>Continue to support schools to prepare for ALN Reform including developing effective systems for quality assuring IDPs and IDP reviews. Q4 2022/23</li> <li>Enhance processes for All Schools Risk monitoring and Schools Causing Concern. Enhanced governance of ASR and SCC processes reporting each half term to Cabinet Member and CEX. Q4 2022/23</li> <li>Develop the Team Around the School approach, which is currently being piloted in the East and West of the city, to ensure that integrated support is offered to schools where there are specific concerns. Q4 2022/23</li> </ul>									
<b>Potential Impact(s)</b>	<ul style="list-style-type: none"> <li>Learners do not reach their full potential</li> <li>Schools are not supported to improve</li> <li>Schools are not able to deliver the new curriculum</li> <li>Impact on Estyn judgements</li> <li>Value for money - CSC</li> </ul>												
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<ul style="list-style-type: none"> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>				KS4 2018/19 School Performance, Outcomes from Estyn Inspections up to 2020.									

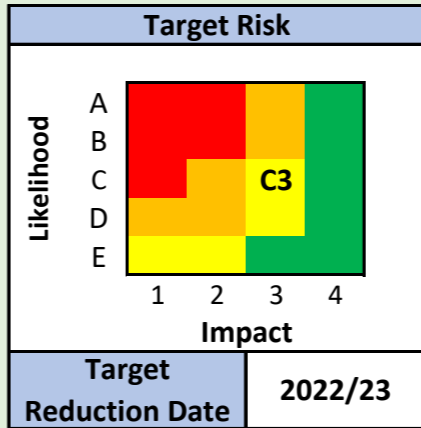
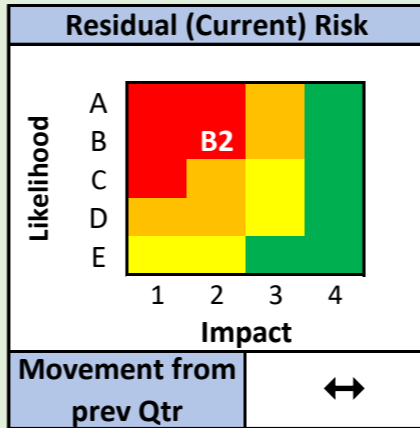
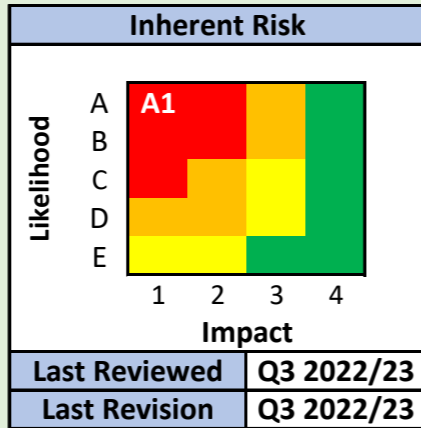
## Ensuring Access

Description		Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner									
<p>Failure to meet our statutory requirements to provide education to all learners of statutory school age, in particular those with Additional Learning Needs associated with Emotional Health and Wellbeing. Associated safeguarding risks due to vulnerable children not being at school, financial risks due to escalating costs of placements and reputational risk to the Council, evidenced by increasing volume of complaints.</p>					<p><b>Mel Godfrey</b></p>	<p><b>Councillor Sarah Merry</b> Deputy Leader &amp; Education, Employment &amp; Skills</p>								
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Potential Impact(s)		What we've done/are currently doing to achieve the Residual Risk Rating				What we plan to do to meet target								
<p>Increase in OOC spend. Children not in education pending identification of suitable ALN provision. Children and young people who are not in an environment where they can be safeguarded could be at risk of significant harm. Outcomes for young people who requiring provision for their ALN related to EHW do not improve and face difficulties in making a positive transition Post 16. Young people with complex mental health needs do not receive psychological support. Children not in education whilst parents attempt to secure places of choice. Financial impact of providing temporary accommodation. Reputational risk due to public interest groups protesting about available places.</p>		<ul style="list-style-type: none"> <li>An emergency plan has been created to identify the Phased Process steps to provide a timeline for weekly review at EMT</li> <li>Review of pupils who are not in provision to identify specialist provision to accommodate their needs</li> <li>An emergency financial plan has been created to highlight the cost of providing the statutory provision</li> </ul>				<p>Phase 1: Urgent Initial Steps</p> <p>Step 1: Spot purchasing – Horizon</p> <ul style="list-style-type: none"> <li>Begin scope and purchase of places to appoint places to those most in immediate need. Begin making use of 'Collective decision making' when moving to Panel. January 2023</li> </ul> <p>Step 2: LA Capacity Model – Basic Plan</p> <ul style="list-style-type: none"> <li>Put together a basic plan for building our own capacity taking into consideration the Horizon Model. Plan to include Scope, Staff, Timescales, Location and Management. February 2023</li> </ul> <p>Step 3: Complex Learning Needs</p> <ul style="list-style-type: none"> <li>Confirm extra capacity for September 2023. Q4 2022/23</li> <li>Update on current places and review predicted numbers for next Academic Year. Q4 2022/23</li> </ul> <p>Step 4: Identify Appropriate Primary locations with EHWB for 2 classes (7/8 pupils each) March 2023</p> <ul style="list-style-type: none"> <li>Hold discussion with Headteachers at Baden Powell, Pen Y Bryn and provide feedback and next steps. Q4 2022/23</li> </ul> <p>Phase 2: Parallel Process</p> <p>Step 1: Work with External Providers</p> <ul style="list-style-type: none"> <li>Begin conversation and process with Procurement to specify how to correctly progress with utilising external providers. (ID providers) Q4 2022/23</li> <li>Establish a 'Best Approach' by testing the market, scope the current provision. Ongoing</li> <li>Establish a list of possible sites, buildings and areas that will meet appropriate need, to lease for the next 5 years at least.</li> </ul> <p>Step 2: Building our Capacity</p> <ul style="list-style-type: none"> <li>Open a new purpose-built Pupil Referral Unit and Carnegie Centre. September 2023</li> <li>Engage with providers and scope of partnerships across the city to incrementally increase places: PRU = 48 places and Carnegie = 48 Places September 2023</li> <li>Long term vision - Establish basic Budget Plan for operational capacity and Establish basic long term Management Board plan. April 2023</li> <li>Develop New post – to include scope of role and vision, structure, costs and benefits within the role. September 2023</li> <li>Look to use the Executive Head Model with 2 Heads of Centre and 1 joint Management Board. Q4 2022/23</li> </ul> <p>Phase 3: Approval</p> <ul style="list-style-type: none"> <li>Agreed Actions - Reporting on progress to EMT - Breakdown - Lead officer(s)</li> <li>Step 1: Link to Greenhill Paper Highlighting COVID implications, stresses on the system and gaps in provision, also highlighting long term cost implications as things stand. Q4 2022/23</li> <li>Step 2: Link to COVID Impact Paper Highlight the added stresses to these school places as a result of COVID, general state of heightened anxiety for young pupil and dangers of Young People not in provision at all. Q4 2022/23</li> <li>Step 3: Prepare Cabinet Briefing Paper – Lead to political Engagement Add date</li> <li>Prepare a paper to outline the vision for Special School Places and provision long term Q4 2022/23</li> </ul>								
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# Air Quality & Clean Air Strategy

**Description**

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



**Risk Owner(s)**

**Andrew Gregory**  
(Jason Bale)

**Councillor Caro Wild**  
Climate Change

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

RESIDUAL RISK RATING AFTER CURRENT CONTROLS BELOW - B2 = LIKELY/ SIGNIFICANT

Monitoring

- Non-automatic nitrogen dioxide (NO<sub>2</sub>) 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 NO<sub>2</sub>, PM<sub>10</sub> & PM<sub>2.5</sub>, SO<sub>2</sub>, CO and O<sub>3</sub>
  - Richard's Terrace, Newport Road: measuring levels of NO<sub>2</sub> & PM<sub>10</sub>
  - Castle Street measuring levels of NO<sub>2</sub> PM<sub>10</sub> and PM<sub>2.5</sub>
- 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, PM<sub>10</sub> & PM<sub>2.5</sub>, and does so every 15 minutes
- Vortex to install up to 46 indicative low cost sensors – final positions have now been confirmed and installation is taking place in Q4 22/23 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 NO<sub>2</sub> concentrations from road traffic emissions.

Clean Air Plan

- Provisional annual average for Castle Street was is 33.8 µg/m<sup>3</sup> for NO<sub>2</sub> for 2022.
- Interim Castle Street Option still being implemented
- Mitigation measures to be detailed to WG if annualised results exceed agreed two threshold values of 35 µg/m<sup>3</sup> and 38 µg/m<sup>3</sup>.
- Construction of Ph1 City Centre West scheme (Wood St & Central Square) – ongoing due completion Q4 22/23.
- Completion of Bus Retrofitting Programme of 49 buses – buses have been fitted with exhaust technology which reduces NO<sub>x</sub> emissions from the buses by 90%
- Further assessment works for permanent scheme for Castle Street are progressing. Transportation modelling completed end of December. This will allow updated detailed air quality modelling to be completed in January 2023. Ongoing discussions with WG on Castle Street Options in terms of agreement for timescales / funding.

Taxi Scheme

- 5 WAV EV taxis - Concession agreement contract with Days Hire Limited to facilitate leasing of vehicles. Welsh Gov has agreed to establish a T&F group to assess how better the taxi lease scheme can be taken up due to failure of uptake. Still not leases taken up as of end of Dec 22

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 AQMA's.

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

TARGET RISK RATING AFTER ACTIONS BELOW - C3 = POSSIBLE/ MODERATE

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 timescales with proposed dates set out as follows:
  - Jan 2023 Completion of data/modelling assessment, identification of preferred option and production of a Cabinet Report for decision in March/April.
  - May 2023 Complete the tender process and New Cabinet Paper (to award Tender)
  - June 2023 On site (with the road closed - this will be achieving compliance)
  - June 2024 Castle St scheme completed

Clean Air Strategy and Action Plan

- Roll out of measures (subject to grant bids/ funding)
  - Pilot project Non Idling Zones – Work with WG and Active travel team on potential, targeted around schools – Q4 2022/23
  - Living Walls and other Green Infrastructure – Q1-Q4 2022/23 ongoing work with two new Green Wall Projects in conjunction with colleagues in Parks -Ysgol Mynydd Bychan and Birchgrove Primary Green wall project. This is in addition to ongoing monitoring of two other green wall projects at Kitchener Primary School and Dusty Forge Centre.
    - Progression of EV Infrastructure - Q2-Q4 2022/23
    - Update Air Quality Planning Guidance
    - Schools Active Travel - Q1-Q4 2022/23 continued support on TRO projects and expansion of project.
    - Behavioural Change Promotion, Consolidation of a dedicated Behavioural Change Programme linked to the Behavioural Change Strategy to be developed for One Planet Cardiff.

Review of Clean Air Strategy and Action Plan in 2023/2024

**Potential Impact(s)**

**Health & Safety**

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

**Legal & Regulatory / Financial**

- Breach of legal / statutory requirements
- Potential significant financial penalty

**Type(s) of Impact**

- Health
- Regulatory
- Financial
- Strategic
- Reputational

**Linked Risks**

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

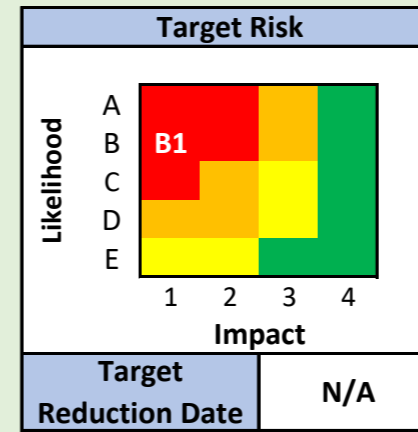
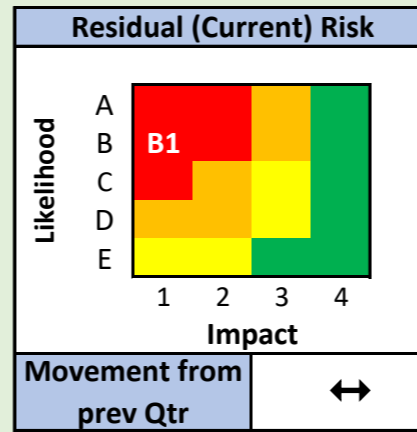
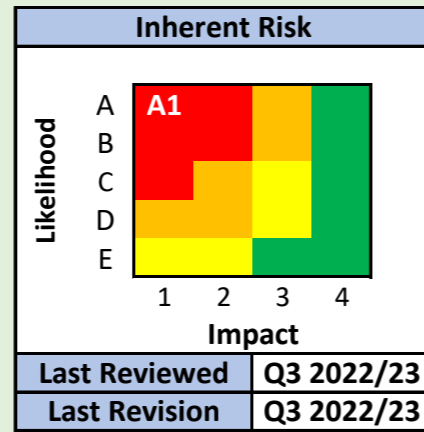
- Implementation Plan for measures (funding dependent)
- Monitoring and Evaluation Plan for Clean Air Plan
- Ongoing monitoring and reporting under LAQM



# City Security

**Description**

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



**Risk Owner(s)**

Chris Lee  
(Gavin Macho)

Andrew Gregory

Councillor Huw Thomas  
Leader

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

- All existing identified high-risk, crowded places have been formally assessed
- Some crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge
- CONTEST Protect/Prepare Task & Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'
- The work done in the city to address security concerns has been predominantly focused on the provision of physical assets to mitigate against the threat of hostile vehicles
- Areas protected against the threat of hostile vehicles include the Principality Stadium, St Mary Street, Queen Street, St David's Dewi Sant and Cardiff Bay.
- The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters

The Cardiff Council Protective Security Preparadness Group (PSPG) as chaired by the Chief Executive remains the focus for the Protect Duty. This Duty is now being prepared to go through the current Parliamentary programme.

The Home Office is to run an event on line on the 1st March to brief the UK on the delivery programme for the Protect Duty and how it will work.

On the 18 January National Counter Terrorism Organisation (NACTSO) along with Counter Terror Police Wales (CTPW) the Cardiff Resilience Unit (CRU) and For Cardiff delivered a briefing for South East Wales and the West on where we stand currently in relation to Counter Terrorism in the UK.

All the indications of the NACTSO briefing delivered on the 18th showed that CTPW, CRU and partners are on track to produce a process that will ensure the Duty can be delivered successfully.

**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. **ONGOING**
- 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. **ONGOING**
- Consideration to be given to incorporating structured and strategic conversations about security and counter terrorism into pre application stage of major developments. **ONGOING**
- 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. **ONGOING**
- Q4** The Security Partnership will develop training and awareness products for City Centre Partners.

**Potential Impact(s)**

**Immediate / Short-Term**

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

**Ongoing / Longer Term**

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

**Type(s) of Impact**

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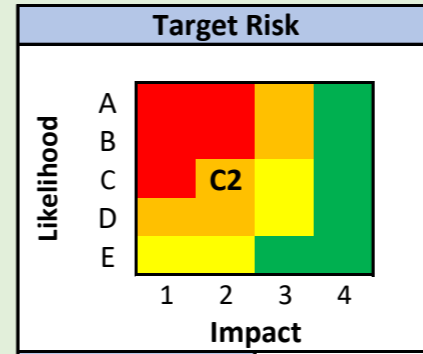
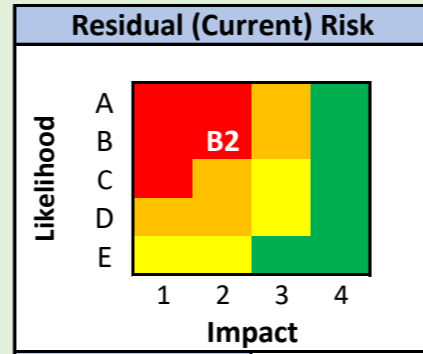
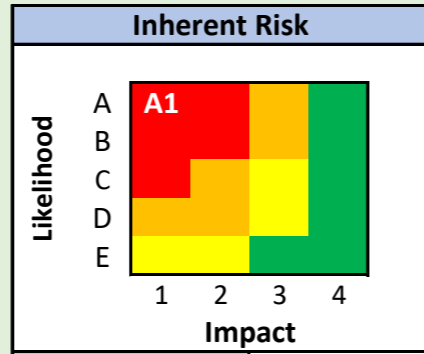
**Linked Risks**

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

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

# Climate Change & Energy Security

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



**Risk Owner(s)**

<b>Andrew Gregory</b>	<b>Councillor Caro Wild</b> Climate Change
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Last Reviewed Q1 2022/23  
Last Revision Q1 2022/23

Movement from prev Qtr ↔

Target Reduction Date 2022/23

**Potential Impact(s)**

- Flood & Storm**
- Loss of life and risk to life
  - Direct damage to property, utilities and critical infrastructure
  - Blight of Land and Development
  - Disruption to service delivery
  - Contamination and disease from flood and sewer water and flood on contaminated land
  - Increase in health issues
  - Break up of community and social cohesion
  - Increase cost of insurance
  - Migration of ecosystems
  - Inconsistent energy supply
  - Increased costs
  - Inability to deliver public services
  - Decrease in economic output
  - Disruption to the supply of utilities
  - Increased fuel poverty

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

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

The following specific risk areas have been identified:

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

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

- Develop strategic response to the Climate Emergency Declaration to incorporate carbon neutral target.
- See separate tabs for details
- COASTAL EROSION
- FLOODING
- EXTREME WEATHER
- ENERGY SECURITY & DECARBONISATION
- BIODIVERSITY

- Type(s) of Impact**
- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Legal</li> <li>• Financial</li> </ul> | <ul style="list-style-type: none"> <li>• Health &amp; Safety</li> <li>• Partnership</li> <li>• Community &amp; Environment</li> <li>• Stakeholder</li> </ul> |
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- Linked Risks**
- Coastal Erosion
  - Air Quality
  - Business Continuity

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

- Key Indicators / Measures used to monitor the risk**
- Storm Events that meet silver & gold emergency intervention
  - Annual number of flooded properties and severity (statutory reporting)
  - Energy use / renewable energy production of Cardiff Council

## Climate Change - Biodiversity

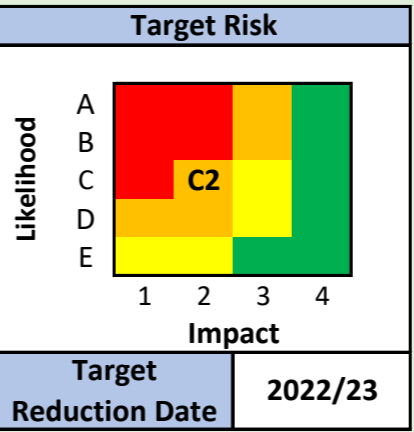
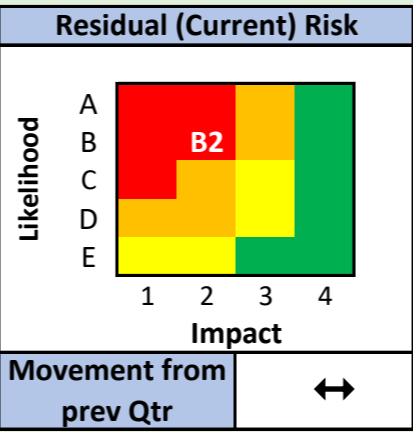
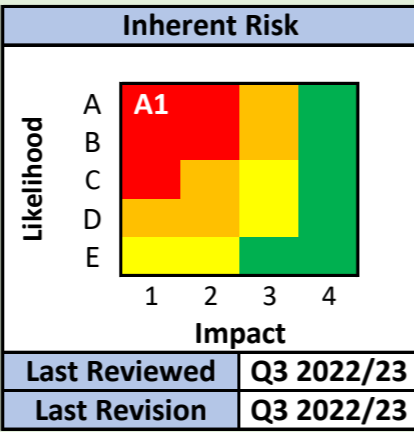
**Description**  
Cardiff is not able to manage the effects of climate change and energy security due to lack of future proofing for key (social and civil) infrastructure and business development.

**Potential Impact(s)**

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

**Type(s) of Impact**

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

<b>Andrew Gregory</b> (Simon Gilbert/ Jon Maidment)	<b>Councillor Caro Wild</b> Climate Change
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**What we've done/are currently doing to achieve the Residual Risk Rating**

- 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 Vision, 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.
- Funding secured for addition Grade 9 Principal Planner Ecologist/Green Infrastructure post in the Planning Service. However, recruitment of replacement G7 Planner (Ecology) failed to find suitable candidates in Q4 2021/22.
- External Consultants appointed temporarily to provide expert ecological advice for planning applications as an interim measure to deliver regulatory planning functions
- Further funding has been obtained which has resulted in the LNP Co-ordinator post being extended at full time hours up until 31/3/23. This funding has also enabled the creation of a temporary Community Ranger Post until 31/3/23 to assist with the delivery of Local Places for Nature funded Projects.

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

- Review the Cardiff Local Development Plan including review of Designations and updated Habitat Regulations Assessment - Q4 2022/23
- Deliver an enhanced tree planting programme for 2022/23 provisional planting numbers of 25,000 trees and hedging plants, with the inclusion of land in private ownership to be completed by 31/3/23 - Q4 22/23
- Update the Cardiff Biodiversity and Resilience of Ecosystems Duty Forward Plan, including the Action Plan, in 2022 in line with legislative requirements - Q4 2022/23
- Recruitment of Principal Ecologist and vacant Planner (ecology) post - Q4 2022/23
- Officer attendance at all Wales Planning and Diversity Forum - Q1, Q2, Q3, Q4 2022/23
- Regular meetings of Council "Green Infrastructure Officer Group" including colleagues from Planning, Parks, Drainage, and Public Rights of Way - ONGOING
- 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). - Q4 2022/23
- Develop the local Nature Recovery Action Plan through the Local Nature Partnership (LNP) - Q4 2022/23
- Discussions between the Council, Welsh Government and the Wales Council for Voluntary Action concerning LNP grant funding for a further 2 years is ongoing. - Q4 2022/23

**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**

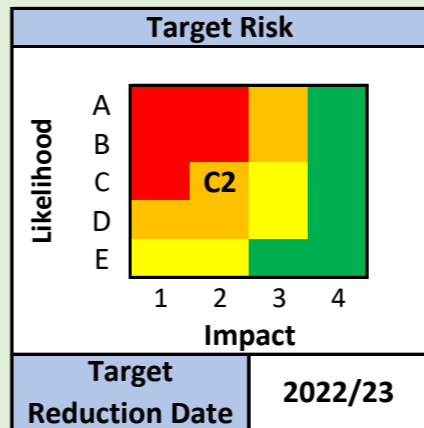
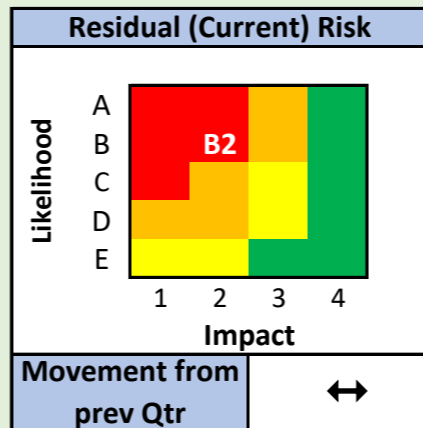
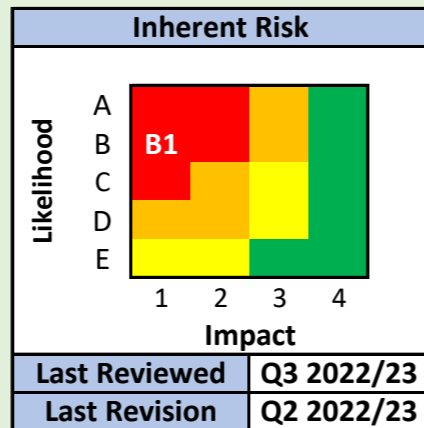
Extent of Green Infrastructure in the City.

# 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



**Risk Owner(s)**

<b>Andrew Gregory</b> (Gareth Harcombe/ Liz Lambert)	<b>Councillor Caro Wild</b> Climate Change
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**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 including the private wire connection to the Welsh Water Waste Treatment Works.
  - District Heat Network - Construction commenced on site in Jan 22 with a 3 year programme to completion
  - Carbon baselining and impact modelling reported to Welsh Govt and included in One Planet Cardiff. This has been used to inform the priorities in the action plan and progress will be monitored and reported annually.
  - Scoping additional carbon reduction projects for future action as part of the One Planet Cardiff project with key target areas confirmed in the One Planet Cardiff Action Plan
  - Delivering Low Emission Transport Strategy - approved April 2018 and implementation of action plan underway:
    - 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.
  - Working with the Cardiff City Region to develop a new domestic retrofit grant scheme using Energy Company Obligation funding. Plans for a major energy retrofit of council owned low-rise domestic blocks also in preparation and Welsh Government ARBED grant funding being targetted at "Hard to Treat" steel framed properties for implementation later this year.
  - OPC commits to a long term strategy for public engagement and behaviour change to build public resilience and positive action through advice and guidance and based on best practice and observed impact of initiatives elsewhere. This work is guided by advice from the Centre for Climate Change & Social Transformations (CAST) .

**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 - Overall target March 2030 with specific project based targets stated in the detailed action plan **ONGOING**
  - Implement "Mission Statements" to secure low/zero carbon development and retrofit in the Council's Estate - (Strategic Estates/ Schools/ Housing) by **2024**
  - Promote and implement the approved policy position to guide new private sector development in the city - Ongoing - Relates to the Planning/development control process **ONGOING**
  - Complete Phase 1 of the Cardiff District Heat Network – by **Q4 2023/24**
  - Develop a pipeline of new renewable generation assets for cabinet approval in 22/23 - by **Q4 2022/23**
  - 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 - Develop options and a position paper by **Q4 2022/23**
  - 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 **ONGOING**
  - Integrate sustainable travel and energy efficiency thinking into the new proposals for Hybrid Working - Hybrid working policy expected by **Q4 2022/23** (Economic Development lead)

**Type(s) of Impact**

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

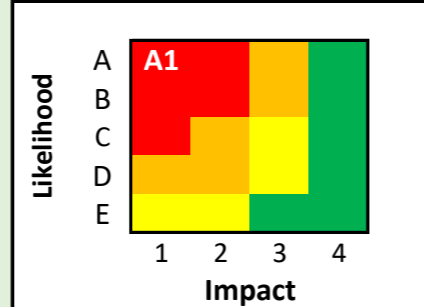
# Climate Change - Extreme Weather

**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)**

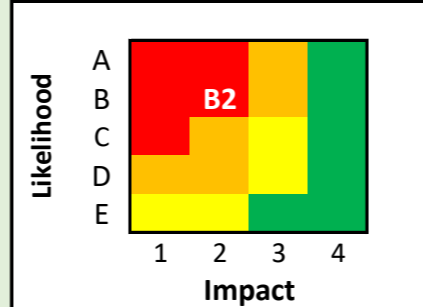
- Loss of life and risk to life
- Damage to infrastructure & utilities
- Service delivery
- Increase in health related issues including air quality
- Blight of development
- Migration of ecosystems

**Inherent Risk**



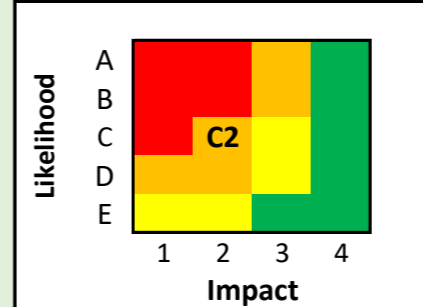
Last Reviewed Q3 2022/23  
Last Revision Q2 2022/23

**Residual (Current) Risk**



Movement from prev Qtr ↔

**Target Risk**



Target Reduction Date 2022/23

**Risk Owner(s)**

**Andrew Gregory**  
(EMU/Gary Brown)

**Councillor Caro Wild**  
Climate Change

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

**The Council has declared a Climate Emergency**

**Extreme Heat**

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

**Extreme Cold/ Snow**

- Implementation of Council's Cold Weather Response Plans
- Winter Service review undertaken to consider the potential impact of Covid-19:
  - 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 21/22 delivered in line with statutory requirements

**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.- **2023/24**
- 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 (WG Technical Advice Note (TAN) 15) - a new updated Technical Advice Note TAN 15 is due to be published in **June 2023**

**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 - **2023/24**

**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.

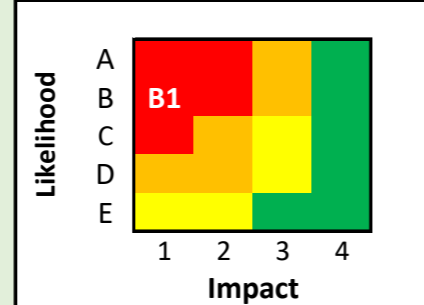
**Potential Impact(s)**

- 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
  - Associated impacts of river flooding not owned by NRW

**Type(s) of Impact**

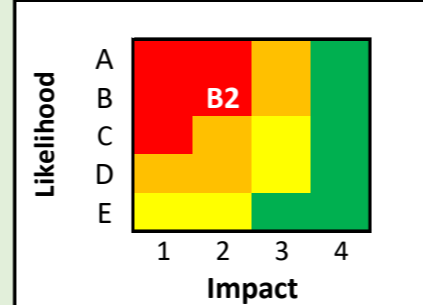
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**Inherent Risk**



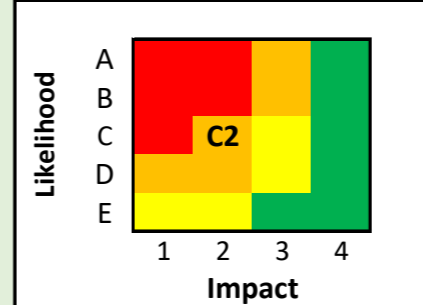
Last Reviewed Q3 2022/23  
Last Revision Q3 2022/23

**Residual (Current) Risk**



Movement from prev Qtr ↔

**Target Risk**



Target Reduction Date 2022/23

**Risk Owner(s)**

<p><b>Andrew Gregory</b> (Gary Brown/ Simon Dooley Simon Gilbert/ Stuart Williams)</p>	<p><b>Councillor Caro Wild</b> Climate Change</p>
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**What we've done/are currently doing to achieve the Residual Risk Rating**

The Council has declared a Climate Emergency

**Flood & Storm**

- Working with partners within the Local Resilience Forum (LRF) to support the management of this risk including supporting the emergency response to this risk
- Supporting the enhancement of the public's own resilience through advice and guidance available from the EVAC Cardiff Website
- Implementation of Schedule 3 of the Flood and Water Management Act 2010 requires all new development over 100m2 to implement sustainable drainage, resilient to flooding
- 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 were successful for grant funding in 2021/22 to support studies and implementation of localised flood prevention 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 :

- Completion by October 2023 of a draft combined Flood Risk Management Strategy and Flood Risk Management Plan as required by The Flood and Water Management Act (2010) and The Flood Risk Regulations (2009) respectively. The final strategy must be submitted to Welsh Government and published by March 2024
- 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, work is ongoing - Target Q3 2023/24
- 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 organisations ONGOING
- Improve the service provided by the SuDS Approval Body (SAB) - ongoing - improvements planned with additional resource Recruitment process commenced and due to be implemented in Q3/4 2022/23. Recruitment has been unsuccessful to date, review of grades ongoing, target date Q1 2023/24
- Deliver guidance to increase standards and ease of development - in development Q4 22/23
- Asset management - ONGOING
- Develop Flood Risk Management Strategy - Phase 2 of new gully maintenance schedule delivered by EOY Q1 23/24

**Linked Risks**

- Coastal Erosion
- Air Quality
- Business Continuity

**Linked Documents**

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

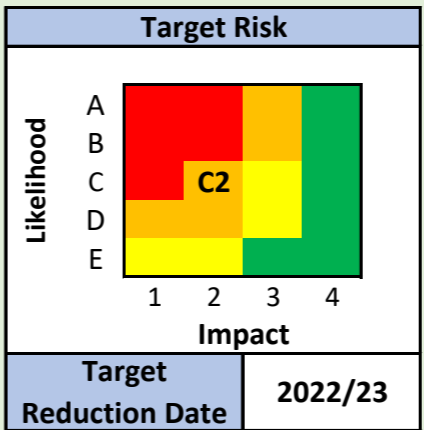
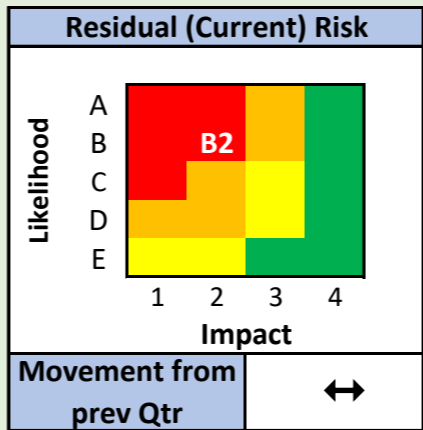
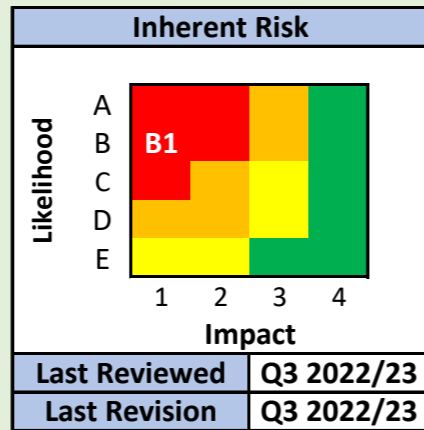
**Key Indicators / Measures used to monitor the risk**

- 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)



**Risk Owner(s)**

**Andrew Gregory**  
(Matt Wakelam/ Gary Brown/ Simon Dooley)

**Councillor Caro Wild**  
Climate Change

**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 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, which 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 were originally estimated at £10.9m (Welsh Government 75% funding = £8.2m and CCC 25% funding = £2.7m)
  - Formal application was submitted to Welsh Government (WG) under the WG Coastal Risk Management Programme and development of the Detailed Design and Full Business Case (FBC) was programmed for completion in May 2020, however was impacted by Covid-19.
  - Work ongoing with Emergency Management to formulate interim measures.
  - Detailed design and full business case ongoing
- Scheme Delivery Progress update:
  - Cabinet report June 2021 resolved that;
    - the principle design for the coastal protection scheme and the requirements within the draft full business case to be submitted to WG for the Coastal Risk Management Programme be noted
    - the procurement approach and evaluation criteria/weightings set out in the report be approved
    - the commencement of procurement for the construction contract to deliver the coastal defence improvements estimated at £23.5M be approved
    - a further report be presented to Cabinet with the final Full Business Case, including final tender costs, project risks and mitigations.
  - Draft Full Business Case submitted to WG & refined as necessary - final WG approval & funding confirmation anticipated by early 2022
  - Extensions for timescales due to Covid 19 delays, and complexities of ground conditions and therefore design, agreed with WG - funding for FBC increased to cover additional costs (plus WG grant % increase) and extended to 16 March 2022.
  - Costs associated with the Outline and Full Business Cases and Design now 100% funded by WG. To allow for increase of allowance for climate change to 40% and additional works required from ground investigation results, the construction phase is now estimated at £25M (WG 85% funding = £21.250M and CC 15% funding = £3.750M)
  - PQQ procurement process completed and select list of 5 contractors established - required to submit returns in Jan 2022. Due to complexities of project, challenging environmental conditions for construction works and NRW requirements, extension for submission granted to mid Feb, with submission, assessment, selection and award process forecast to be completed early 2022.
  - Marine Licence application submitted to NRW and required process followed. Although the Flood Risk Management Team have had prolonged and 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 end of 21/22 financial year out of reach. WG were therefore contacted, meetings held and agreement secured for funding deadline to be further extended to 31st Aug 2022. This allows us to start on site in the new financial year, although we will still be pushing for the earliest possible start date. Marine licence has now been granted and advertised and Environmental Impact Assessment approved.
  - Tenders returned in Feb 2022 and although clarifications, advice and extensions of time were granted, only one contractor made a submission. The estimated costs of circa £30M, that included risk and optimism bias, was far exceeded and an estimated cost, including risk, of circa £40 - £45M was received.
  - The Cabinet report to seek approval to award the contract to the successful contractor and commit to the 15% Council contribution was due to be entered into the March 2022 cabinet - due to the necessity to fully analyse and understand the submission and establish reasons for the significant increase, the March Cabinet Report was withdrawn.
  - Further meetings with WG have taken place, they have expressed their concerns over the price increase and explanations have been presented. The funding for the east side would present an additional cost of circa £7 to 9M for Cardiff Council if it chose to protect the tip from erosion and coastal inundation.
  - Cabinet report taken to September 22 Cabinet to seek approval to go to tender with the reduced scheme
  - Funding pressure bid submitted in October 2022 as part of the capital programme submission for 2023/24
  - Planning committee target date November/ December 2022 - planning consent achieved Q3 2022/23

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

We will be designing & delivering an effective coastal flood protection scheme as a matter of priority - Anticipated construction starting 2023, with completion 2025/26.

Due to the costs of funding the East side (Lamby Way), that WG will not fund, it has been removed from the scheme. Further meetings have taken place with WG to inform them of the decision and the potential way forward. Scheme commencement now not forecast until Q4 2022/23. Following completion of scheme the risk to properties will be addressed, however, a risk to significant infrastructure including Lamby Way landfill will remain in place, and will be dealt with as a directorate based risk.

**Keysteps:**

- Tender analysis to be completed Jan 2023
- Submission to and for approval of Welsh Government the Final Business Case (FBC)
- Approval by Welsh Government of the FBC and funding allocation to start construction in Q4 2022/23 - now anticipated construction start in Q1 2023/24, following WG extension of funding programme due to various challenges.

**Potential Impact(s)**

- Continued coastal erosion along the coast threatening the Rover Way Traveller site and critical infrastructure including Rover Way and the Rover Way/Lamby Way roundabout
- Erosion to two decommissioned landfill sites, with risk of releasing landfill material into the Severn Estuary and having significant environmental impacts
- Flood risk to 1,116 residential and 72 non-residential properties over 100 years, including risk to life, property, infrastructure and services
- N.B. the predicted rates of erosion threaten the Rover Way Travellers Site and the adjacent electrical substation within 5 years, and further release of large volumes of unknown tip material from the Frag Tip into the Severn Estuary.

**Type(s) of Impact**

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

# Performance Management

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>The risk that the Council's Performance Management arrangements do not provide timely performance information to allow the Council's political and managerial leadership to effectively deliver corporate priorities, statutory services or performance improvement</p> <p>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.</p> <p>The Council must therefore maintain a focus on the Key Performance Indicators it has identified within the Corporate Plan as a pointer to overall organisational success. The Council must also ensure that more granular indicators of performance- the Council's Core Data which is managed by individual Directorates- are established and monitored to provide more detailed insight into the drivers of corporate performance.</p> <p>Changes to the Statutory Performance Requirements have been set out in Local Government Bill and work is being undertaken to ensure the requirements are embedded in the Council's performance regime.</p>				<p><b>Sarah McGill</b> (Gareth Newell)</p>	<p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>								
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Last Reviewed</td><td>Q3 2022/23</td></tr> <tr><td style="background-color: #d9e1f2;">Last Revision</td><td>Q3 2022/23</td></tr> </table>	Last Reviewed	Q3 2022/23	Last Revision	Q3 2022/23	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Movement from prev Qtr</td><td style="text-align: center;">↔</td></tr> </table>	Movement from prev Qtr	↔	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Target Reduction Date</td><td>N/A</td></tr> </table>	Target Reduction Date	N/A		
Last Reviewed	Q3 2022/23												
Last Revision	Q3 2022/23												
Movement from prev Qtr	↔												
Target Reduction Date	N/A												
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>									
	<p>The Council's Annual Self-Assessment of Performance was considered by</p> <ul style="list-style-type: none"> <li>- the Performance Panel, which brings together all Scrutiny Chairs, on Monday 12 September.</li> <li>- PRAP Scrutiny Committee on 19 September 2022</li> <li>- Governance and Audit Committee on 27 September 2022</li> <li>- Cabinet on 20 October 2022</li> <li>- Council on 27 October 2022</li> </ul> <p>The Council's Half Year Assessment of Performance was considered by</p> <ul style="list-style-type: none"> <li>- PRAP Scrutiny Committee on 17 January 2023</li> <li>- Governance and Audit Committee on 24 January 2023</li> <li>- Cabinet on 19 January 2023</li> </ul>			<p>A joint regulatory assessment will be provided to the Council's Senior Management Team on 14 February 2023. <b>Q4 22/23</b></p> <p>As part of the Council's Audit Programme, an audit of performance management will also be undertaken across all Directorates during Quarter 1 2023/24. The audit will provide assurance that:</p> <ul style="list-style-type: none"> <li>- There are robust performance management arrangements and systems at the Directorate level.</li> <li>- Directorate performance management arrangements are effectively applied at all stages of planning, monitoring, review and reporting.</li> <li>- There are effective Directorate oversight, escalation and improvement arrangements in place. <b>Q1 23/24</b></li> </ul> <p>The overall purpose of the audit is to provide assurances that there is a sound system of internal control within the area under review. Where it is considered that improvements to the internal control environment can be made, these will be highlighted and discussed with you, so that controls can be enhanced.</p>									
<b>Potential Impact(s)</b>	<ul style="list-style-type: none"> <li>• Council unable to effectively deliver corporate priorities, statutory services or performance improvement</li> <li>• Failure to comply with performance duties set out in the Wellbeing of Future Generations Act and Local Government and Elections Act.</li> <li>• Compliance failure leading to external sanctions and reputational damage.</li> </ul>												
<b>Type(s) of Impact</b>	<b>Linked Risks</b>		<b>Key Indicators / Measures used to monitor the risk</b>										
<ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Stakeholder</li> </ul>			<p>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.</p>										



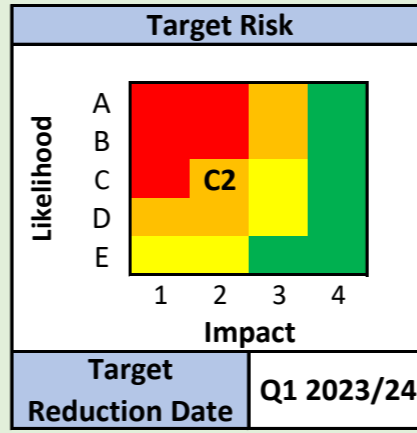
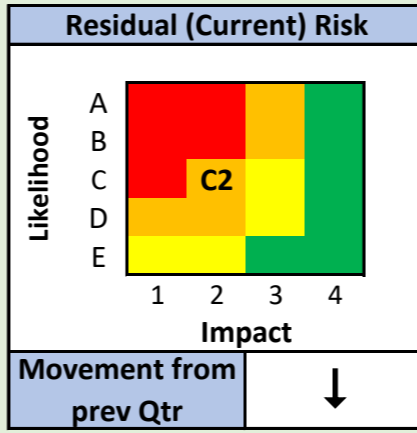
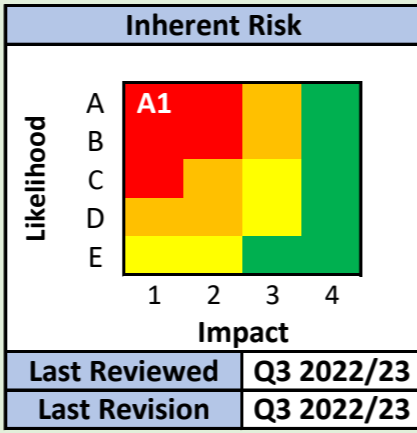
## Budget Monitoring (Control)

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the unplanned drawdown of reserves.</p>				<p><b>Chris Lee</b> (Ian Allwood)</p>	<p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>								
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Last Reviewed</td><td>Q3 2022/23</td></tr> <tr><td style="background-color: #d9e1f2;">Last Revision</td><td>Q3 2022/23</td></tr> </table>	Last Reviewed	Q3 2022/23	Last Revision	Q3 2022/23	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Movement from prev Qtr</td><td style="text-align: center;">↔</td></tr> </table>	Movement from prev Qtr	↔	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: #d9e1f2;">Target Reduction Date</td><td>Q4 2022/23</td></tr> </table>	Target Reduction Date	Q4 2022/23		
Last Reviewed	Q3 2022/23												
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Movement from prev Qtr	↔												
Target Reduction Date	Q4 2022/23												
	<b>What we've done/are currently doing to achieve the Residual Risk Rating</b>			<b>What we plan to do to meet target</b>									
	<ul style="list-style-type: none"> <li>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</li> <li>Month 6 Monitoring report indicated a significant overspend of £7.394 million if current spend trajectory continues. Management controls have been put in place which include reviews on all vacant posts as well as controls on spend.</li> <li>The Corporate Director of Resources and Chief Executive have continued to hold challenge meetings with each individual Director in order to ensure joint understanding of financial matters and any mitigations to be put in place in order to improve / maintain the respective Directorate financial position where appropriate.</li> <li>Regular meetings held in respect to key overspend areas in Children's Services and Education (Home to School Transport). The regularity of the meetings has in some instances moved from weekly in order to ensure available capacity to deliver improvement actions and ensure focus on key areas.</li> <li>Maintain oversight on areas of food, fuel, construction and energy in order to ensure impact of price fluctuations is both understood and managed so that the impacts of rising costs are mitigated as much as possible. Work undertaken to ensure short and medium term impacts of price inflation are considered for both in year monitoring reports and future budget reports.</li> <li>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. Where those budgets cannot be maintained then consideration of delays / reprofiling of programme are undertaken.</li> <li>Regular review and refresh of key matters / risks in order to ensure focus is maintained in areas of high uncertainty and cost impact as a result of exceptional inflationary pressures that arise</li> <li>Capital spend reviewed as part of Month 9 monitoring report for risk assessment and identified mitigations for areas of capital spend.</li> </ul>			<p>2022/23 and the Medium Term</p> <ul style="list-style-type: none"> <li>Proceed with timetable to produce M9 2022/23 Report for Cabinet in February 2023 Q4 2022/23</li> <li>Ensure that all pressures identified as part of the budget Monitoring report are considered as part of the 2023/24 Budget report in order to avoid any ongoing financial challenges.</li> </ul>									
<b>Potential Impact(s)</b>	<b>Linked Risks</b>			<b>Key Indicators / Measures used to monitor the risk</b>									
<ul style="list-style-type: none"> <li>Inability to balance spend against budget, for the financial year</li> <li>Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet Corporate Plan objectives</li> <li>Requirement to draw down from General Reserves at the year end</li> </ul>	<p>Financial Resilience</p>			<ul style="list-style-type: none"> <li>Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted</li> <li>Review of use of earmarked reserves and balances - Half Yearly</li> <li>Amount of Hardship Support claimed successfully</li> </ul>									
<b>Type(s) of Impact</b>	<b>Key Indicators / Measures used to monitor the risk</b>			<b>Key Indicators / Measures used to monitor the risk</b>									
<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder</li> </ul>			<ul style="list-style-type: none"> <li>Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted</li> <li>Review of use of earmarked reserves and balances - Half Yearly</li> <li>Amount of Hardship Support claimed successfully</li> </ul>									

# 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 £113 million for the period 2024/25 to 2027/28.



**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**

**2022/23 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. This includes the identification of earmarked reserves that were either increased during outturn of 2021/22 and those being reviewed to establish level of need reflecting the current priority is balanced budget.
- 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 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.
- Annual review of contingent assets and liabilities, and provisions to ensure the Council has adequate cover for emerging liabilities.
- An approved TM Strategy that identifies borrowing interest cost as a significant risk to be managed. Security, Liquidity and Yield in that order to preserve investments.
- A Major Projects accountancy function supporting the identification of key risks / financial issues in relation to large schemes. Targetted accountancy support to Children's Services, VAT and Outside Bodies.
- Maintaining approach to robust financial control mechanisms and strengthening complex / areas of risk through training e.g. VAT.
- Undertaken initial assessment against CIPFA FM code with high level findings. There will be a future need to review and refresh.
- Inclusion within the 2022/23 Budget of a £10 million COVID Contingency Budget to protect the Council's resilience in light of the ending of the Hardship Fund on 31/3/22.
- Established a 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 thus providing assurance that financial resilience will not be undermined by projects exceeding their cost parameters.

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

**2023/24 and the Medium Term**

- Strengthening links between financial planning and asset management strategies, which consider the current condition of assets and future requirements. **Q2 2023/24**
- Work with Property Service to ensure 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.) **Q2 2023/24**
- Review approach to governance and financial monitoring of special purpose vehicles to ensure liabilities and any financial guarantees are understood and are appropriate. **Q4 2022/23**
- Refresh 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. **Q3 2023/24**
- Confirm approach and reporting of commercial investments as part of standard monitoring processes and reports. **Q3 2023/24**
- Continue to keep cost pressures arising from economic turbulence, 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 **QUARTERLY**
- Include development of some of the listed indicators below with regards commercial investment. **Q4 2022/23**
- Continue to work within current structures to ensure appropriate governance is undertaken

**Linked Risks**

Budget Monitoring (Control)

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

- Financial Snapshot which highlights historical & current performance with regards budget monitoring, achievability of savings, levels of borrowing, and financial ratios.
- Outturn vs Budget: Main budget lines under or overspend as a % of budgeted expenditure.
- Delivery of planned savings: Total (£) unachieved planned savings as a % of total (£) planned savings.
- Use of reserves: 1) Ratio of useable reserves to Net Revenue Budget (NRB), 2) Amount of useable reserves used to balance budget as % of NRB.
- Council tax: 1) Council tax and other income as % of NRB, 2) Council tax collection rates (in-year actual).
- Borrowing: 1) Total commercial investment income as % of total net general fund budget, 2) Total (£) commercial investments and (£ plus%) amount funded from borrowing, 3) Borrowing related to commercial investments as % of General Fund total borrowing, 4) Capital interest costs and MRP as a proportion of NRB.
- Performance against Budget Timetable.
- Frequency / timeliness of engagement with SMT/Cabinet.
- Proportion of Savings Proposals in Realised or at Delivering stage.
- Section 151 Officer Statement in respect of capital strategy, adequacy of reserves and other statutory commentary.
- Consider usefulness of benchmarking data re: financial resilience produced by External Audit Bodies - e.g. Audit Wales

**Potential Impact(s)**

Failing to meet statutory obligations and potential for service delivery to be adversely affected.

- Reputational damage to the Council.
- Needing to draw down significant unplanned amounts from reserves.
- Inability to progress policy initiatives through incomplete Full Business Cases and no forthcoming external funding to bridge any affordability gap
- 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.
- Reaching the point where a s114 notice is required to be issued by the S151 Officer.

**Type(s) of Impact**

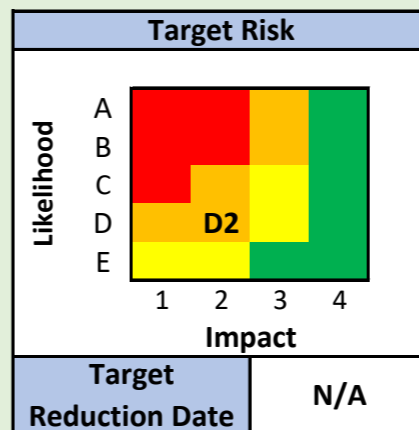
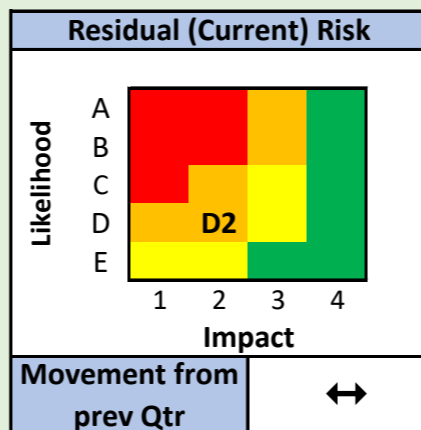
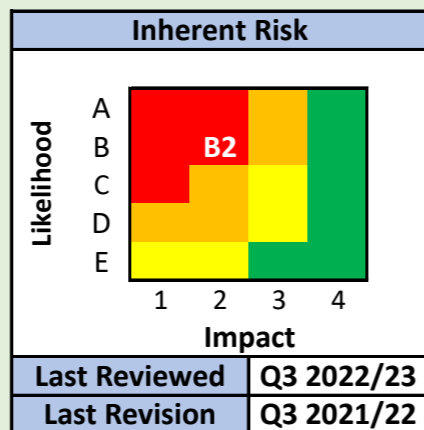
- Service Delivery
- Reputational
- Legal
- Financial

• Stakeholder

# Fraud, Bribery & Corruption

**Description**

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



**Risk Owner(s)**

<p><b>Chris Lee</b> (Ian Allwood)</p>	<p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>
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**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**

- Review the suite of Counter-Fraud Operational Policies alongside the review of the Council's Disciplinary Policy underway. Targeted to conclude during **2023/24**.
- Monitoring and reporting completion rates of mandatory fraud awareness training and anti-money laundering training. **Ongoing**

**Type(s) of Impact**

<ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Legal</li> <li>• Financial</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder</li> </ul>
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**Linked Risks**

**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

# Information Governance

Description
Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools.

Inherent Risk	
Likelihood	Impact
A	A1
B	
C	
D	
E	
	1 2 3 4
Last Reviewed	Q3 2022/23
Last Revision	Q3 2022/23

Residual (Current) Risk	
Likelihood	Impact
A	
B	
C	
D	D1
E	
	1 2 3 4
Movement from prev Qtr	↔

Target Risk	
Likelihood	Impact
A	
B	
C	
D	D2
E	
	1 2 3 4
Target Reduction Date	Q4 2022/23

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

- Gold level assurance has been achieved through the annual Cyber Security Plus ISAME Accreditation in September 2021, the next annual accreditation of this process will take place in September 2022.
- A quarterly Information Governance Report and briefings of decisions or recommendations are provided on a quarterly basis to the Information Governance & Security Board, along with any concerns and risks from IG risk registers.
- A corporate Information Asset Register is held which details personal data assets held by each Council directorate. The next review scheduled for August 2022.
- Service Level Agreements in place for Schools Information Governance Support (All Cardiff Schools) and where Cardiff Council is the Data Controller for regional services, including Rent Smart Wales, National Adoption Service and Cardiff Capital City Deal.
- Corporate Retention schedule is 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 Digitisation 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. 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 Information Governance Champions Group has been established.
- 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 escalated where necessary.
- Corporate escalation processes have been agreed to improve directorates failure demand with answering and providing information in respect of FOI requests .
- Support is being provided to 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.
- Continue working with Childrens Services to finalise the new service delivery model for management of social services requests to improve compliance, accountability and processes.
- Continue to review data breach claim processes and reports and determine support models for future claim handling.
- Released training and education communications to support schools with their Information Governance responsibilities.
- All Directors have received a copy of the Record of Processing Activity (RoPA) and have been asked to prioritise this review for their respective directorates supported by Information Governance. The ROPA return will be used to support ICT with gathering information on non personal data systems and a review of security and protection linked with Cloud Impact Assessment processes
- A process has been established with procurement to identify new tenders involving personal data. Results from the Pre Tender Reports are then provided to ISB to enable Information Governance & Security Board to have oversight of DPIA's completed against Procurement Contract Awards
- A paper was taken to ISB in relation to compliance with the 12 principles of the Surveillance Camera Code of Practice, A response has also been issued to the Surveillance Camera Code of Practice Annual survey and action plan for improvements will be initiated to improve accountability and compliance with CCTV operations when a response is received

### What we plan to do to meet target

- Take forward, with support of an external supplier, options for alternative service delivery models for the Council's Records Centre. Q4 2022/23
- Develop an online Publication Scheme taking onward recommendations from the Information Governance & Security Board. Q4 2022/23
- An Information Governance Framework will be developed to help provide assurance of IG processes within Directorates. Development to take place during Q4 2022/23
- A new FOI e-learning module is being designed and will be made available via Cardiff Academy. Training options will be presented to IGSB to decide who the training will be available to Q4 2022/23
- A review of training options to Schools will be undertaken to ensure suitable refresher training on FOI and Data Protection will be available to all school staff Q4 2022/23

Potential Impact(s)
Leads to the Information Commissioner issuing notices of non-compliance
These could consist of:
<ul style="list-style-type: none"> <li>• A "Stop Now" Order which would mean that no personal data could be processed by the Council in its entirety</li> <li>• An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery</li> <li>• A Decision Notice could be issued as a result of non compliance with an FOI/EIR request which would require information disclosure</li> <li>• Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit</li> <li>• Enforcement Notice requires immediate improvement action to be put in place</li> <li>• Financial Penalty up to £17.5 million for Higher Level Tier and £8 million for Lower Level Tier breaches of the Data Protection Act.</li> <li>• Compensation unlimited liability claims for damages as a result of a data breach from individuals.</li> </ul>

Type(s) of Impact	
<ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Legal</li> <li>• Financial</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder</li> </ul>

Linked Risks
Cyber Security

Key Indicators / Measures used to monitor the risk
<ul style="list-style-type: none"> <li>• Suite of IG Indicators/Service Metrics</li> <li>• No. of ICO complaints</li> <li>• No. of FOI /EIR SAR Requests</li> <li>• No. of individuals trained on Data Protection</li> <li>• No of Data Protection Impact Assessments being undertaken</li> <li>• No of data protection breach complaints/claims</li> </ul>

# Cyber Security

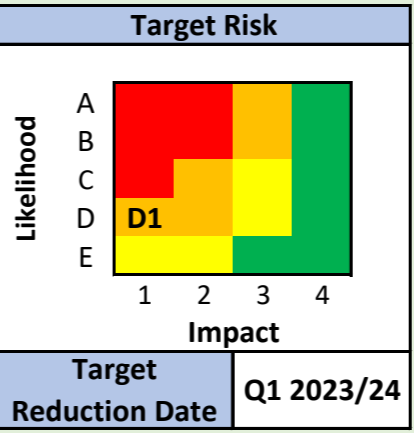
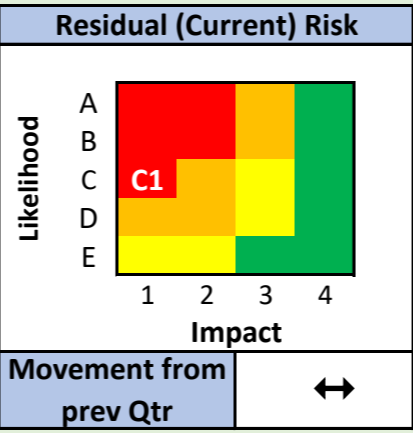
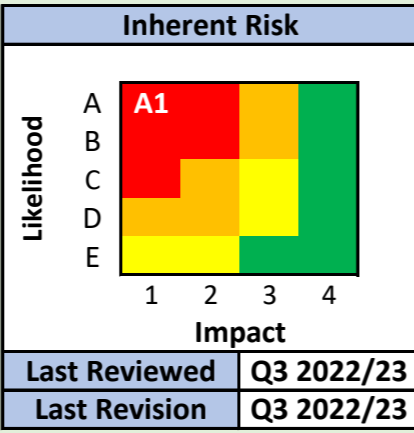
**Description**

There are 10 areas of potential risk identified within the National Cyber Security Centre cyber risk model. These cover :-

- Risk management
- Engagement and training
- Asset management
- Architecture and configuration
- Vulnerability management
- Identity and access management
- Data security
- Logging and monitoring
- Incident management
- & Supply chain security

<https://www.ncsc.gov.uk/collection/10-steps>

Cardiff uses this framework to continually assess our cyber security maturity level and improve both proactive measures to prevent attacks, and reactive measures to deal with potential incidents



**Risk Owner(s)**

**Chris Lee**  
(Phil Bear)

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

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

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

- Cybersecurity risk assessments
- Audits and remediation of identified issues
- Network access controls
- Implementing cyber security systems & tools to prevent attack
- Active patch management
- Network traffic monitoring
- Incident response planning
- Links to physical security measures
- Attack surface minimisation
- Employee education on cybersecurity best practices and policies
- Supply chain management

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

- A continuing focus on improving cyber security processes within the council
- Threat intelligence reporting which will inform any required changes to our cyber security processes and policies
- Liaison with key cyber security agencies to both receive and share information and guidance on best practice
- Monitoring of progress on cyber security improvement actions
- Reporting to relevant internal governance boards on cyber compliance status, threats and risks

**Potential Impact(s)**

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

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

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

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

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

**Linked Risks**

Information Governance

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

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

**Type(s) of Impact**

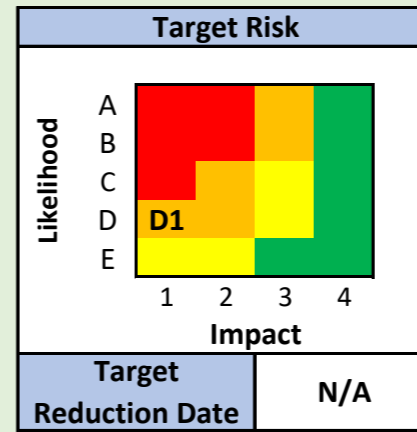
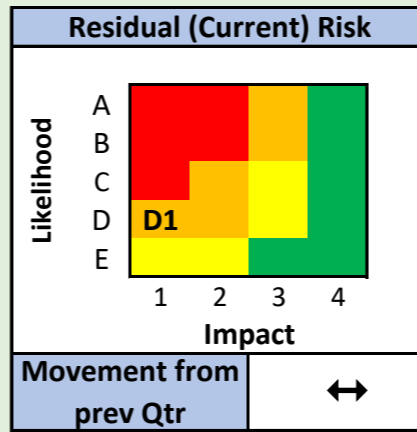
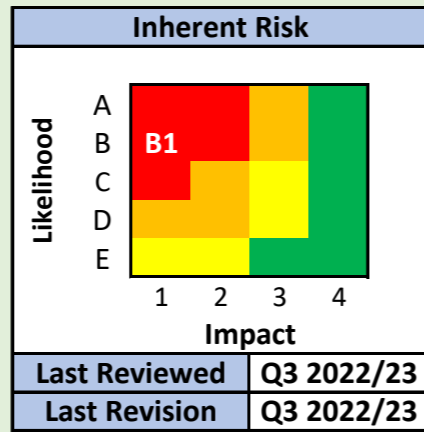
<ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Reputational</li> <li>• Legal</li> <li>• Financial</li> </ul>	<ul style="list-style-type: none"> <li>• Health &amp; Safety</li> <li>• Stakeholder</li> </ul>
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# Business Continuity

**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.



**Risk Owner(s)**

Chris Lee

Councillor Huw Thomas  
Leader

**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 available on CIS or by contacting the Resilience Unit, as the organisation continues its transition to SharePoint.
- The Council employs a Business Continuity Officer who is a qualified ISO22301 lead auditor.
- 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
- Q2 of 2022/2023 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 activities. This was carried out by Each Directorate Management Team.
- As a result of the Covid-19 pandemic 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, in addition to positively supporting other aims and corporate risks, as long as the ICT that supports this mode of working can be delivered resiliently.
- The Emergency Management Unit has developed an Incident Management Plan (Cardiff Council's Emergency Management Plan) to ensure alignment with ISO22301. This was fully reviewed and updated in 2021
- Internal Audit completed an audit of the Business Continuity Risk in Q4 of 2021/2022 and the assurance statement was "Effective with opportunity for improvement".
- The Resilience Unit supported directorates in looking at supply chain risks following the tragic war in Ukraine, this work will be on going as the risk horizon changes as a result of the conflict.
- The Business Continuity Programme recommenced in Q1 of 2022/2023.
- In Quarter 2 the Resilience Unit initiated a Horizon Scan on energy security and potential issues for the security of gas and electricity provision for Winter of 2022/2023 and how the UK position could impact on key service delivery.
- The Resilience Unit delivered a briefing to the SMT on the emerging risks around the security of energy supplies for winter 2022/2023. As a result SMT asked the Resilience Unit, to carry out targeted work to supporting the wider organisation in some targeted risk and resilience work around this potential risk. This work will continue into Q3 to support the resilient deliver of key services should the UK experience risks to energy supply this coming winter of 2022/2023.

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

- 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 this will be reviewed again in Q4 of 2022/23.
- 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 next updated review will be carried out in Q4 of 2022/23.
- The Business Continuity Officer will support areas in identifying key learning from 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. Q1 2023/24
- The Business Continuity Officer will support areas in undertaking targeted work around the emerging Energy security Risk focussed on key Red activities delivered by the council. This should be complete in Q4 of 2022/23
- The Business Continuity Officer is to engage with ICT to look at the existing ICT resilience in delivery of core services and look at how services will be delivered in 2023/2024 and beyond.
- The Resilience Unit is looking to engage with internal stakeholders around current agile working and management of the corporate estate to ensure future workplace office solutions consider resilience as a key factor for supporting delivery of key services as we move into a period of change.

**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

**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 via a report to SMT . 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 2021/2022.

# Welfare Reform

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)										
<p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap 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. In 2022 the DWP will commence the rollout of migration for claimants from legacy benefits to Universal Credit.</p>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;"> <b>Sarah McGill</b> (Jane Thomas)                 </td> <td style="width: 50%; text-align: center;"> <b>Councillor Lynda Thorne</b> Housing &amp; Communities                 </td> </tr> </table>	<b>Sarah McGill</b> (Jane Thomas)	<b>Councillor Lynda Thorne</b> Housing & Communities								
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Potential Impact(s)
<p>Benefit claimants are priced out of the private rented sector market</p> <ul style="list-style-type: none"> <li>Private landlords stop renting to benefit claimants</li> <li>Private landlords leaving the rental housing market</li> <li>Social housing rents become unaffordable to some claimants, in particular those with large families</li> <li>Increased homelessness and demand for temporary accommodation – 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.</li> <li>Increased rough sleeping</li> <li>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.</li> <li>Increased council rent arrears could impact on HRA and lead to barriers to building additional affordable housing</li> <li>Redeployment / Severance for housing benefits staff</li> <li>Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties</li> <li>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.</li> <li>Increase in poverty and child poverty, potentially an increase on demand on social services</li> </ul> <p>Rise in cost of living pushing people further to crisis point, and affecting those who wouldn't ordinarily require support from Council Services i.e. those in work, those with mortgages/homeowners.</p> <p>Increase in interest rates meaning mortgages become more unaffordable, rise people in mortgage arrears, more landlords increasing rent prices to cope with interest rate increase and more landlords selling properties or requiring them back for themselves.</p> <p>Rise in cost of fuel and food prices, making more people choose between heating and eating.</p>

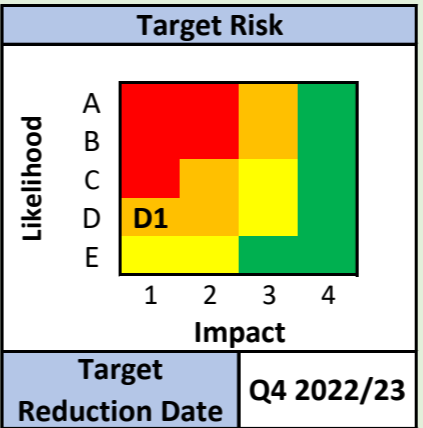
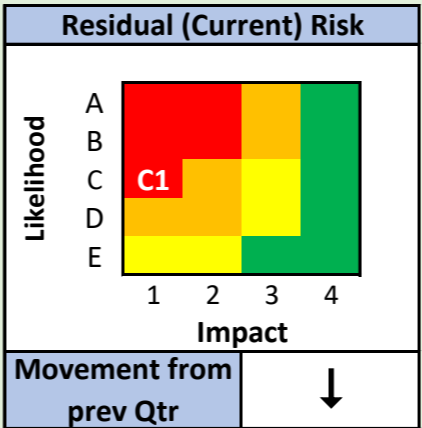
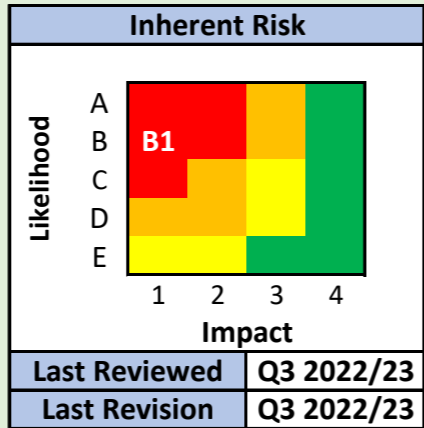
What we've done/are currently doing to achieve the Residual Risk Rating
<ul style="list-style-type: none"> <li>Communities staff continue to work closely with private sector landlords and advice agencies to mitigate wherever possible the reduction in benefit income to help prevent eviction. The Rent 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 arrears they have accrued.</li> <li>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.</li> <li>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.</li> <li>Increased partnership working to ensure that specific groups are encouraged to access help at the earliest opportunity. The service is being marketed to reach as many vulnerable clients as possible, working with Rent Smart Wales, Community Hubs, CAB and Cardiff Credit Union.</li> <li>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 phone and be triaged into the right help. A successful initial pilot was carried out for Prevention Advice in Hubs, to test further expansion.</li> <li>Housing Options service are working with third sector partners to help clients move into settled accommodation in the private rented sector, primarily for single people with low support needs who have lived in supported accommodation.</li> <li>A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move. Welfare Liaison team within the housing service is in place to assist tenants affected by the changes. Work has been carried out to identify those affected by the Benefit Cap and to advise them accordingly and to identify the most vulnerable families and award DHP.</li> <li>DHP process has been reviewed to ensure that all those who request a DHP are given budgeting, income maximisation and debt advice.</li> <li>Digital inclusion training and Universal Credit Support has been rolled out across all the Community Hubs, Adviceline and Housing Helpline.</li> <li>Further additional resource has been agreed for supporting council tenants following the implementation of Universal Credit Full Service as rent arrears have increased significantly, staff have been recruited to assist with this and the new team is working well. Rent arrears procedure has been reviewed to include a more preventative and flexible approach and more assistance for more vulnerable tenants.</li> <li>Regular meetings are held with social housing providers to monitor and improve processes.</li> <li>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.</li> <li>Expansion of the Private Rented Sector Housing Solutions Team to include a dedicated single point of contact for landlords, and dedicated phone line for landlords will mean contact is easier.</li> <li>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.</li> <li>Prevention team now moved over to Advice Service, aligning with the Housing Solutions team; review of the service has been carried out and will remove duplication of work. Prevention Officers will provide support from Community Hubs across the city in January 2023</li> <li>Utilising different funding streams to support people during the cost of living – Housing Prevention Fund, Cost of Living Discretionary Fund, Together for Cardiff Funding.</li> <li>Utilising Cost of Living Discretionary fund for Fuel Voucher Scheme, partnering with ACE to distribute vouchers. Further working with Food Cardiff and Foodbanks, Money Advice team to support at locations across the city; using Food Poverty grant to support schools with food vouchers and clearing school meal debt.</li> <li>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 will be made to extend this by another year. Funding has been secured to expand the Money Advice Team through Multiply (Shared Prosperity Fund), this will allow the team to carry out more indepth support at additional venues.</li> </ul>

Type(s) of Impact	Linked Risks	Key Indicators / Measures used to monitor the risk
		Number of customers supported and assisted with their claims for Universal Credit Additional weekly benefit identified for clients of the city centre advise team

## Increase in Demand (Children's Services)

**Description**

Failure to effectively manage demand (and respond to increasing demand due to Covid-19), resulting in increase in number of children requiring services and financial pressures this presents.



**Risk Owner(s)**

**Sarah McGill**  
(Deborah Driffield)

**Councillor Ashley Lister**  
Children & Families

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

- Early Help - Cardiff Family Advice and Support Services for families who do not require statutory services.
- Interventions Hub launched and now incorporates the Adolescent Resource Centre.
- Referrals to services such as Safe Families and Ymbarel made as required to provide support to families.
- Dedicated worker to focus on young carers in post.
- Increased in house residential provision, including emergency pop up / pop down provision.
- Option for families to use Direct Payments available (review being undertaken and will consider potential use for children other than children with disabilities).
- Shifting the balance of care and associated workstreams being progressed - Strength based working / Reunification Framework / Family Group Conferencing / Safe and Together model / The Right Place model.
- Children's Services Strategy reviewed and supported by Workforce Strategy, Accommodation Strategy and Commissioning Strategy to address recruitment and accommodation sufficiency issues and manage the market.
- Prudent social work ongoing - ensuring social workers do what only social workers can do - development of Trusted Adult model being explored.
- 4th team implemented in each locality to increase management capacity.
- OM1 posts provide strategic overview of case management and support services.
- Working hours are flexible to meet service and personal needs.
- Provision and analysis of performance information is tailored to meet arising issues.
- Appropriate use of COVID-19 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 is reviewing the police mechanism for referrals to Children's Services - with the aim of reducing PPNs on low level cases.
- Resource Panel in place to oversee decisions regarding placements.
- Family Drug and Alcohol Court pilot ongoing to better support parents with drug and alcohol issues through the care proceedings process.
- 2 urgent projects launched to address demand and accommodation sufficiency issues - one to specifically focus on services for children with disabilities and another to consider the wider cohort of children looked after.
- Ongoing adherence to COVID-19 risk assessment and appropriate use of PPE etc. to reduce the risk of infection for staff undertaking home visits.
- Improving Placement Options Programme Board meets regularly to provide corporate support and oversight of specific project activity to respond to the significant increase in service demand and associated increase in expenditure.
- Business case to increase the family support service resource in the Interventions Hub to provide an out of hours service agreed - to be taken forward when budget confirmed.
- Consideration being given to Rapid Response workers being reintegrated into locality teams in response to feedback from staff.
- Reviewing Hub in place to ensure cases are stepped down (or up) appropriately.

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

- Business processes to be reviewed as part of implementation of Eclipse system **2023 - Autumn**.
- Work with judiciary re: planned changes to private and public law **Q4 2022/23**.
- Review the Early Help offer and consider how this dovetails with the Interventions Hub to ensure that interventions are not being duplicated **Q1 2023/24**.

**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.
- Reliance on newly qualified social workers and non qualified social care practitioners to deral wtih complex cases and statutory work.
- 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.
- Inability of Interventions Hub to meet demand for family support leading to delays in response times and / or the need to outsource the service.

N.B. All demand risks carry safeguarding implications.

**Linked Risks**

- Workforce Planning (Social Services)
- Safeguarding

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

Children's Services:

- Early Help 3 - Number of people supported by the Family Support Team
- Contacts 1 - Number of Contacts / Referrals Received
- CH/012 - Percentage of assessments completed for children within statutory timescales
- CS LAC 3e - Number of children looked after

**Type(s) of Impact**

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# Corporate Safeguarding

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Systemic failure in the effectiveness of the Council’s safeguarding arrangements together with other statutory safeguarding partners.				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center; vertical-align: middle;">Sarah McGill (Deborah Driffield)</td> <td style="width: 50%; vertical-align: top;"> <p><b>Councillor Huw Thomas</b> Leader</p> <p><b>Councillor Susan Elsmore</b> Social Care, Health &amp; Well-being</p> <p><b>Councillor Graham Hinchey</b> Children &amp; Families</p> <p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p> </td> </tr> </table>	Sarah McGill (Deborah Driffield)	<p><b>Councillor Huw Thomas</b> Leader</p> <p><b>Councillor Susan Elsmore</b> Social Care, Health &amp; Well-being</p> <p><b>Councillor Graham Hinchey</b> Children &amp; Families</p> <p><b>Councillor Chris Weaver</b> Finance, Modernisation and Performance</p>						
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Target Reduction Date	N/A											

Potential Impact(s)
<ul style="list-style-type: none"> <li>A child(ren) or adult(s) suffer(s) preventable abuse or neglect which may result in harm or death</li> <li>Reputation of Council and partners                             <ul style="list-style-type: none"> <li>Severe adverse publicity</li> <li>Potential regulator intervention</li> </ul> </li> <li>Loss of confidence by community in safety of children and adults</li> <li>Loss of confidence of staff in the overall “safety” of the service, impacting on morale, recruitment and retention</li> <li>Potential litigation with associated financial penalties</li> <li>Significant financial implications of formal intervention</li> </ul>

What we've done/are currently doing to achieve the Residual Risk Rating
<p><b>Regional</b></p> <ul style="list-style-type: none"> <li>Regional Safeguarding Board oversee the safety and well-being of children and young people across the partnership.</li> </ul> <p><b>Corporate</b></p> <ul style="list-style-type: none"> <li>Corporate Safeguarding Board strengthened with development of Steering Group and appointment of Directorate Lead Officers</li> <li>Improved data capture and reporting on training compliance allowing targeted action by managers.</li> <li>New self-assessment form and process introduced, with identified improvement actions built into Directorate Delivery Plan.</li> <li>Initial Analysis of referral data completed, with further work underway to enable a more granular breakdown.</li> <li>Recruitment and Selection Policy updated, including additional information on safeguarding</li> <li>Recommendations of Audit Wales review actioned.</li> <li>Appropriate safeguarding arrangements in place for staffing local government elections.</li> <li>Education provision secured for high risk children throughout the COVID-19 crisis.</li> <li>The Safeguarding Policy has been reviewed following the publication of best practice by Welsh Government.</li> <li>Output of self-assessments has been quality assured and is included and tracked through Directorate Delivery Plans.</li> <li>New Corporate Safeguarding Policy approved by Cabinet and Corporate Safeguarding Board, following consideration at scrutiny</li> <li>Training compliance rates now at 82% across the Council with pilots underway in areas of low compliance.</li> <li>Internal audit report received with overall finding ‘Effective with opportunities for improvement’</li> <li>Work commenced with Procurement team to strengthen safeguarding arrangements in contract award and management.</li> </ul> <p><b>Contextual Safeguarding</b></p> <ul style="list-style-type: none"> <li>Exploitation Strategy - led corporately with community safety approach.</li> </ul> <p><b>Children's Services (Summary Position)</b></p> <ul style="list-style-type: none"> <li>In terms of business continuity, our operational approach to child protection remains unchanged. Child protection procedures continue to take precedence and children at the highest risk will be prioritised. Operating model is review regularly.</li> <li>Systems in place to learn lessons from Child Practice Reviews, Adult Practice Reviews and multi agency practitioner forums.</li> <li>Safeguarding Adolescents From Exploitation (SAFE) approach reframed in light of experience and being implemented city wide.</li> <li>Quality Assurance Framework in place; learning workshops introduced to complete feedback loop.Action plan in response to complaints to be developed.</li> <li>Wales Safeguarding Procedures in place - training held and systems updated.</li> <li>High Risk Panel facilitates robust and timely multi-agency decision making at senior management level for our highest risk young people.</li> <li>OMs have oversight of all high risk cases and share decision making responsibility.</li> <li>Practice development group set up with leads allocated to workstreams to shape good practice.</li> <li>Children's Services and Education working closely, including in the development of locality working.</li> <li>Close partnership working (via Regional Partnership Board and Starting Well Programme) in response to the emerging crisis regarding young people with serious mental health and emotional wellbeing issues is ongoing (i.e. increase in eating disorders, self harm, and attempted and actual suicide).</li> <li>Close partnership working in relation to serious youth violence, including with Violence Prevention Unit and Community Safety is ongoing.</li> <li>Close partnership working in response to complex safeguarding concerns with providers, with particular emphasis on emerging issues with providers of accommodation and support for children with additional and complex needs is ongoing.</li> <li>Revised Supervision process launched following feedback from pilot and a new recording mechanism now in place</li> <li>Child Sexual Abuse practice leads training programme with Centre of Excellence in place.</li> <li>Review of escalating concerns process underway to strengthen arrangements and interface with safeguarding procedures and large scale enquiries.</li> <li>Practice leads appointed in locality teams to support newly qualified staff and improve quality and consistency of practice.</li> <li>Cardiff to be one of the lead UK sites for implementation of the Safe and Together approach in relation to safeguarding and domestic abuse.</li> </ul> <p><b>Adult Safeguarding (Summary Position)</b></p> <ul style="list-style-type: none"> <li>Review of escalating concerns process underway to strengthen arrangements and interface with safeguarding procedures and large scale enquiries.</li> <li>Development completed of an improved quality assurance process for care homes that includes monitoring visits undertaken by social workers in addition to Contracts staff and the commitment to undertake urgent (same day) on-site monitoring when serious concerns are raised.</li> <li>Advice / guidance has been produced for family members to inform them of what they should look for when choosing a care home for a loved one / when visiting a loved one in a care home and what they should do if they are worried / concerned about the quality of care.</li> <li>Quality Assurance Frameworks have been included with the DAPL and DPS Framework and this has been implemented.</li> <li>Contributing to and supporting the regional review of MARACs (domestic abuse MARAC, SWOT MARAC and Human Trafficking MARAC). We will now be taking this learning into practice.</li> <li>Supporting people who hoard and self-neglect and developing sustainable and holistic approaches to achieving outcomes has now been completed and is being shared with staff teams. Phase 2 of this project has now commenced.</li> <li>Young person’s MDT in partnership with Children’s services and Housing to address the needs of young people with complex transitional arrangements, behavioural difficulties or known risks has now been launched and is fully operational.</li> <li>Targeted training work in front facing services with low take up is ongoing but will be further developed in Q1 2023/24, with gaps in training being identified.</li> <li>Continue to review the Safeguarding Policy following publication of best practice by Welsh Government</li> </ul>

What we plan to do to meet target
<p><b>Corporate</b></p> <ul style="list-style-type: none"> <li>Targeted training work in front facing services with low take up <b>Q2 2023/24</b></li> <li>Data development work on cross council referrals <b>Q3 2023/24</b></li> </ul> <p><b>Children's Services</b></p> <ul style="list-style-type: none"> <li>Strengthen contractual arrangements in relation to safeguarding. <b>Q4 2022/23</b></li> </ul> <p><b>Adult Services</b></p> <ul style="list-style-type: none"> <li>Develop whole home large scale enquiry process - to be completed <b>Q2 23/24</b> - this is now to be completed regionally not locally.</li> <li>Partnership development activity between learning disabilities team, third sector services and adult safeguarding to better address incidents of SU on SU abuse in supported living services setting - removed target as project on hold due to current work pressures <b>Ongoing</b>.</li> <li>Develop and improve our public facing Safeguarding communications to build trust and confidence with the public. Ensure there is consistency in external and internal reporting of Safeguarding referrals - Target <b>Q1 23/24</b></li> </ul>

Type(s) of Impact	Linked Risks	Key Indicators / Measures used to monitor the risk
<ul style="list-style-type: none"> <li>Service Delivery</li> <li>Reputational</li> <li>Legal</li> <li>Financial</li> </ul>	<ul style="list-style-type: none"> <li>Partnership</li> <li>Community &amp; Environment</li> <li>Stakeholder</li> </ul>	<ul style="list-style-type: none"> <li>SCC.014 Percentage of initial child protection conferences carried out within statutory timescales during the year</li> <li>SCC.034 Percentage of child protection reviews carried out within statutory timescales during the year</li> <li>SSWB 27 Percentage of re-registrations of children on local authority Child Protection Registers</li> <li>SSWB 28 Average length of time for all children who were on the CPR during the year</li> <li>Res 15 - Percentage of Council staff completing Safeguarding Awareness Training</li> </ul>

# Legal Compliance

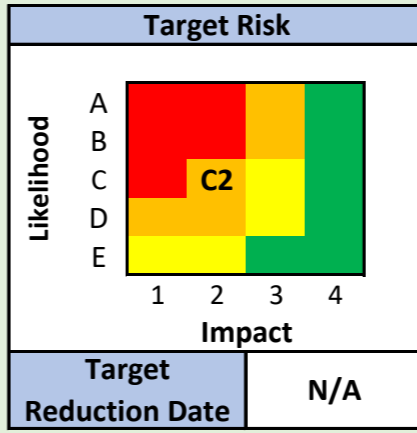
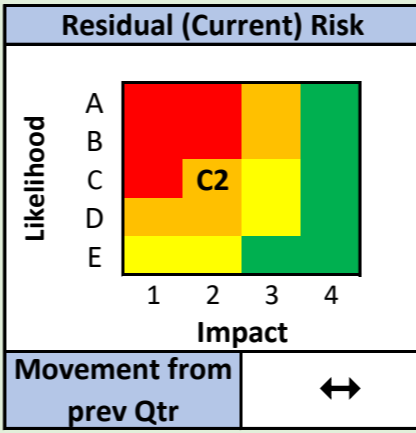
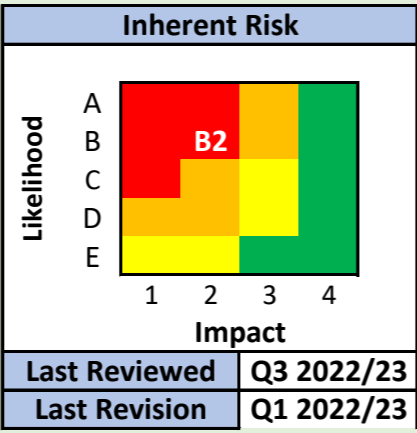
**Description**

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

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

In each case leading to increased risk of challenges.

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



**Risk Owner(s)**

Davina Fiore

Councillor Huw Thomas  
Leader

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

- Professional internal legal and financial advice provided to a high standard.
- Maintaining robust decision-making process by providing 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 where it is necessary to outsource legal work
- Dedicated Corporate teams in specialist areas e.g., equalities, FOI / DPA
- Sharing training/publications received internally to the legal department and when necessary to client departments
- Encourage Directorates to ensure Committee and Cabinet reports are discussed at preliminary stage in development to ensure all legal issues are addressed early through client department relationships
- 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
- Decision Making training session held for the Environment Directorate managers in Jan 2022
- Decision making training provided to Councillors and Cabinet as part of induction training.

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

- Where identified, provide guidance based on standard precedents for use in cases of low value/low risk/repetitive matters to minimise the gaps in Council wide knowledge **ONGOING**
- Provide, if requested, ad-hoc legal training to Directorates to develop knowledge within Directorates of specific statutory functions. **ONGOING**

**Potential Impact(s)**

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

**Type(s) of Impact**

- Service Delivery
- Reputational
- Legal
- Financial

**Linked Risks**

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

Number of Judicial Reviews and Number of Successful Challenges