Statutory Compliance Management in Council Buildings
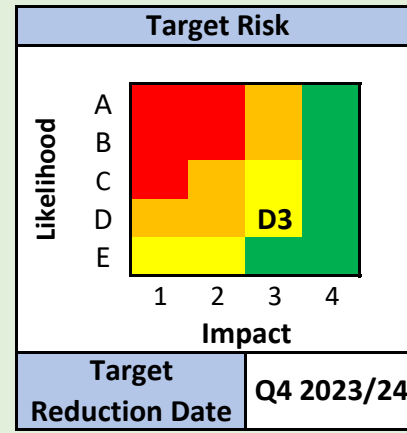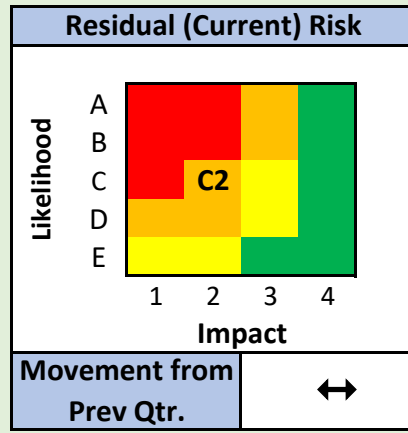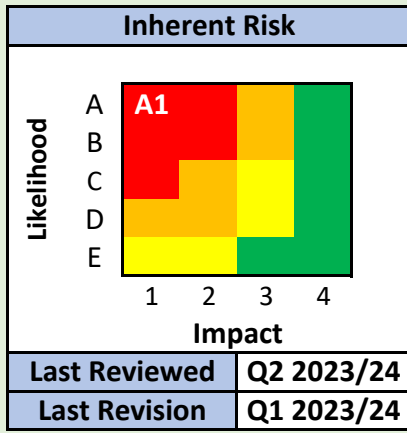
Description

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

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q1 2023/24

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4). Marker: **C2**

Movement from Prev Qtr.	↔

Target Risk

Likelihood (A–E) vs Impact (1–4). Marker: **D3**

Target Reduction Date	Q4 2023/24

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
• Consequential remedial work identified on test certificates.
• Statutory maintenance contracting arrangements in place as specification for statutory obligations testing and new risk based specification for legionella management supported by RAMIS.
•Internal resource reviews review all test certificates, remedial work captured and communicated to client as necessary/applicable
• Statutory Obligations Team continues to provide monitoring and supervision of statutory obligations contractor including contractor training arrangements on Council system. Incorporating latest advice from bodies such as HSE.

RAMIS IT Software
• Bi-monthly reporting on statistics to SMT for all to consider any issues / mitigations.
• Continue to ensure the number of Building Managers with training remains appropriate in terms of number and coverage.
• Compliance ratings target set at 80% minimum
• Condition surveys have been completed to maintain our understanding /knowledge of all the Council's land and property holdings.

What we plan to do to meet target

Statutory 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.
Q2, 2023/24 update - Gaps in compliance identified and in process of being actioned. **ONGOING**

• Completed a review of arrangements and appointed new Framework contractor for statutory inspections/maintenance for non-domestic Council premises. Under new Framework, tighter controls established within the new contract to ensure good performance. Enhanced governance with Building Managers to ensure essential works are progressed to ensure compliance. Stat Maintenance Team have now moved to SED - moved to SED restructure complete. (now moved to Q4, 2023/24 to align with restructuring critical teams). **Q4 23/24**

• Risk reduction is on target to be reduced as planned for Q4, 2023/24. Work is currently focussed on resolving residual tasks from previous contractor, and delivering on the planned inspection and works programme for 2023/24 - which is on target. **Q4 23/24**

Type(s) of Impact

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

Linked Risks

Health & Safety

Key Indicators / Measures used to monitor the risk

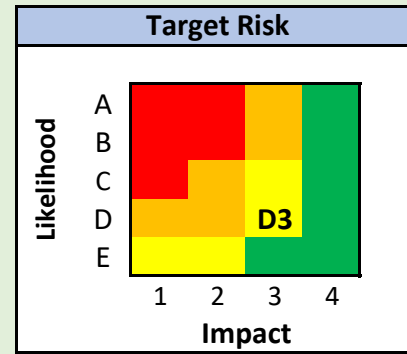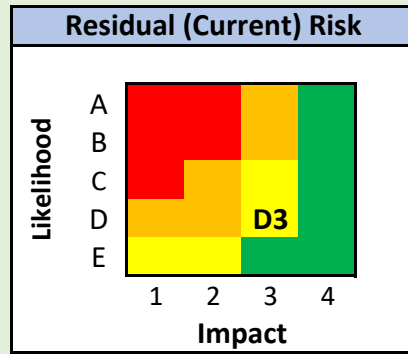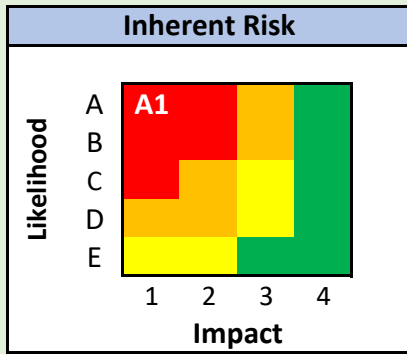Compliance stats from the Corporate Health & Safety Team.

Health & Safety

Description

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

Potential Impact(s)

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

Inherent Risk

Likelihood / Impact matrix: **A1**

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

Likelihood / Impact matrix: **D3**

Movement from Prev Qtr.	↔

Target Risk

Likelihood / Impact matrix: **D3**

Target Reduction Date	N/A

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 -Reports submitted to Corporate Health & Safety Forum and Senior Management Team. Based on Current HSE National Advice
• Condition Surveys School Buildings - Shared with Schools .
• Insurance fire safety improvements actioned. Including safe operation of the fire suppression system in Lamby Way MRF and Fire Risk Assessment updated.
• Continue Asbestos Training - Online and face to face taking place. Briefing sessions for technical departments and Building Managers to ensure they understand their responsibilities under the Corporate Asbestos Management (CAM) Plan.
• RAAC Inspections - Schools inspections are complete, with no RAAC identified in the schools. RAAC inspections are now being progressed for the remaining Council premise portfolio.

What we plan to do to meet target

• Continue to monitor embedding of current controls to reduce the overall risk **ONGOING**
• RAAC Inspection - Work continues to inspect the Council premise portfolio, (non schools), it is anticipated this will be completed by the end of October - **Q3 2023/24**

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

Failure to meet statutory recycling performance targets within the Waste (Wales) Measure 2010

Failure to meet target may lead to Welsh Government imposing fiscal penalty

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

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

Movement from Prev Qtr.	↔

Target Risk

Likelihood (A–E) vs Impact (1–4): **D3**

Target Reduction Date	2024/25

Risk Owner(s)

Neil Hanratty
(Matt Wakelam)

Councillor Caro Wild
Climate Change

Potential Impact(s)

Financial
• Penalties
• Financial costs to improve recycling performance

Strategic/ Reputational
• Reputational consequence with citizens and key stakeholders

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

Cardiff's Recycling Strategy 2022-2025 Cleaner and Greener
• Recycling Strategy for Cardiff sets out the Council's long-term objectives over the next 3 years and considers economic, social and environmental aspirations, to ensure Cardiff is one of the leading cities in the world for recycling. Strategy was approved at September 22nd 2022 Cabinet meeting;
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:
- The phased roll-out of segregated recycling as set out in this report across household properties in Cardiff.
- The review of residual waste provision to support introduction of measures to increase participation in food waste recycling
- 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.
- Review the expansion of kerbside collection services to cover items currently not collected at the kerbside.
- Enhance and strengthen education and enforcement to deliver improved recycling compliance across household properties in Cardiff.
- Develop the business case to move from a Material Recovery Facility to a Material Handling Facility required to manage segregated recycling
Improvements to the trade / business waste model to improve recycling and meet new legislative requirements.
Identification of wider Council / service area change to value resources and minimise the Council's impact on climate change.

• the plans to enhance the cleansing service, including the move balanced resourcing and 'same day cleanse' following collections for inner wards be noted.

• 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.

• Pilot for segregated recycling commenced 24th Jan 2022 - participation 10,000 properties and is now complete.

Wider Governance & Compliance
• Working in partnership with WG, WRAP & WLGA to deliver the actions within the new Recycling Strategy, Implementation Plan & individual business cases
- segregated recycling modelling and business case
- material recovery facility to material handling facility, outline design and business case.
- development of blueprint model for flats, working in partnership with Swansea council
- trade business waste recycling review in preparation of new legislation

• A project team of Cardiff Council, WRAP and Welsh Government meet monthly to discuss business cases and implementation programme

• Update provided to Welsh Government Officers on current position in terms of recycling performance and programme for improvements as part of the delivery of the Recycling Strategy 2022-25 - complete

• Response to Minister re 2020/21 recycling performance -
Met Minister on February 27th 2023 to discuss below target recycling performance (58.19% against target 64%) - Minister has responded to state no fiscal penalty will be issued for 2020/21. However, Minister recognises underachievement of target and therefore wants to see evidenced improvement going forward.

What we plan to do to meet target

Cardiff's Recycling Strategy 2022-2025 Cleaner and Greener
• Phase 1 segregated recycling rolled out to 40,000 36,000 properties on 20th February 2024

• Phase 2 segregated recycling rolled put to further 80,000 properties in June-Aug 2024

• Outline business case to be developed for a future repair and re-use 'superstore' - officers currently gathering information from similar initiatives in the UK - Q3/Q4 2023/24.

• Recycling Performance Targets set within the Strategy are:
2021/22 = 64% - final validated performance for year is 58.19%
2022/23 = 64% - final validated performance for year is 61.57%
2023/24 = 64% - current performance at Q1 is 63.42%
2024/25 = 70%

Wider Governance & Compliance
• Quarterly meetings with Julie James MS, Minister for Climate Change, and WG to monitor actions to improve recycling performance ONGOING

• The April 2024 target will not be achieved for implementation and therefore further correspondence will be required with Welsh Government officers following decision by Cabinet supporting the extension of frequency to residual collections

Type(s) of Impact

• Reputational
• Legal & Regulatory
• Financial

Linked Risks

Directorate Risk Register risks:
RNS 11 - Financial Pressures

Key Indicators / Measures used to monitor the risk

• Quarterly monitoring recycling % from waste data flow - 23/24:
Q1= 63.80%
Total final validated 22/23= 61.57%
Total final validated 21/22= 58.19%
• Monthly tonnage monitoring
• Monthly financial monitoring in each area of waste

Schools Organisation Programme (Band B)

Description

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

Potential Impact(s)

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

• Insufficient secondary places in some central and north east areas of the city

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

• School buildings that are not suitable for teaching and learning

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

• Project cost and time overruns

• Risk that school ICT infrastructure fails in the short to medium term and does not support the new curriculum

• Risk that in the current situation, learners do not have access to ICT equipment to support distance learning

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q1 2023/24

Residual (Current) Risk

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

Movement from Prev Qtr.	↔

Target Risk

Likelihood (A–E) vs Impact (1–4): **E3**

Target Reduction Date	Q4 2023/24

Risk Owner(s)

Mel Godfrey
(Richard Portas)

Councillor Sarah Merry
Deputy Leader & Education, Employment & Skills

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

• 21st Century Schools Band B funding bid was submitted to Welsh Government in July 2017 and the Strategic Outline Case for £284m was approved in November 2017n for investment in new building. Fitzalan build is complete 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 priorities of investment for next wave (Band C - rolling programme) A draft strategic plan for ALN provision has been submitted to Cabinet in October 2021.
• The delivery and transition for Fitzalan High School is complete and has been handed over. The demolition of Ty Glas is currently in progress. work on the Fairwater campus has commenced with temporary school in situ.
• A Cabinet paper has been approved for the temporary and permanent accommodation plans for Emotional Health and Wellbeing Specialist Resource Bases (SRB), the extended Pupil Referral Unit (PRU) and to consult on the Greenhill Secondary Special School expansion. 131 additional ALN places have been implemented for September 2023, 20 further places are planned for 2023/24 following completion of adaptation works.
• Work is ongoing to make sure that all learners have access to digital devices, network and infrastructure to support mobile and distance learning.
• Robust governance model, in line with Corporate Landlord approach is in place and is supporting consistent decision making.
• The resource for the asset renewal programme is not sufficient to fund the needs of the estate to meet the short term sufficiency need, LDP capital requirements, condition and suitability requirements. Data available through the OFD has allowed the asset commissioning group to be more structured to understand resource shortfalls at points in the project lifecycle and across the longer term asset programme generally.
• Delivering committed projects only and applying for in years WG grants.
• Cost control has improved through the introduction of strong multi-disciplinary teams, MACE cost consultancy and improved commercial decision making through the Programme Director and Board governance. Also, appointment of Commercial Manager to assess the commercial viability of cost plans and tenders.

What we plan to do to meet target

• Conclude SOP Strategy Discussions **Q3 2023/24**
• Open a new purpose-built Pupil Referral Unit and Carnegie Centre. **Q3 2023/24**
• A review of internal resource is underway to address when additional resource is required and restructure is underway **Q4 2023/24**
• Develop a workforce plan to ensure that programme resource is up to date and capable of delivering asset programme of this scale. **Q4 2023/24**

Type(s) of Impact

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

Linked Risks

Key Indicators / Measures used to monitor the risk

• Spend against the asset programme in financial year, in accordance with the responsibilities of schools and corporate landlord (Corporate Plan)..
• Timelines to deliver projects within the SOP programme.
• New key performance measures which are being developed as part of the overarching SOP Strategy.

Education - Schools' Delegated Budgets

Description

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

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

Risk matrix (Likelihood A–E vs Impact 1–4): **A2**

Movement from Prev Qtr.	↔

Target Risk

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

Target Reduction Date	Q4 2023/24

Risk Owner(s)

Mel Godfrey	**Councillor Sarah Merry** Deputy Leader & Education, Employment & Skills

Potential Impact(s)

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

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

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

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

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

• For the 2023/24 financial year, 42 schools applied to set deficit budgets. 15 have been agreed and a number require more work with the LA. Aggregate deficit applications - £4.8m. Good progress in year 1 – greater challenge year 2 onwards.

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

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

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

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

What we plan to do to meet target

• Continue to work with schools in deficit **Ongoing**
• Collate individual school budget impact assessments **Ongoing**
• Following latest School Outturn position, due in early November, conduct a review of current school spending plans to identify Schools facing financial pressures for 2024/25, with a view of identifying mitigating actions in partnership with Schools. **Q3 2023/24**
• Work with all schools and cluster working and establish an Effeminacy Board to have oversight of efficiency gains to school system **Ongoing**
• SOP Strategy - methodology worked to provide range of options **Ongoing**

Type(s) of Impact

• Reputational
• Legal
• Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

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

Education - School Improvement & Attainment

Description

The risk that school improvement is not delivered as planned, in light of changing accountability and assessment arrangements and National Reforms (Curriculum and Additional Learning Needs).

Potential Impact(s)

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

Inherent Risk

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

(Risk matrix: B2 — red zone)

Residual (Current) Risk

Movement from Prev Qtr.	↔

(Risk matrix: B3 — amber zone)

Target Risk

Target Reduction Date	Q4 2023/24

(Risk matrix: C3 — amber zone)

Risk Owner(s)

Mel Godfrey

Councillor Sarah Merry
Deputy Leader &
Education, Employment & Skills

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

• The number of schools inspected by Estyn in the academic year 2022/2023 was 25. Of these 25 inspected schools, 5 are under Estyn Review, 4 are awaiting official reports, and 2 in category from the previous year. The LA and CSC are supporting these schools and monitoring progress against recommendations. Schools continue to be monitored via the Schools Causing Concern and All Schools Risk processes.

• The LA and CSC are continuing to support schools in the roll out Curriculum for Wales 2022.

• 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.

• 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.

What we plan to do to meet target

• 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 2023/24**
• 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**
• 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**
• Effective systems for quality assuring IDPs and IDP reviews in place and continuing to support schools with ALN Reform. **Q4 2023/24**
• 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 2023/24**
• The Team Around the School approach has been developed and is being piloted in the East and West of the city, to ensure that integrated support is offered to schools where there are specific concerns. COMPLETE Next step is to design audit for schools' accessibility to 'services around the school'. **Q3 2023/24**
• Two key school improvement posts are currently out to advert – Head of Achievement and Assistant Director. **Q4 2023/24**

Type(s) of Impact

• Reputational
• Legal
• Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

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

Ensuring Access

Description
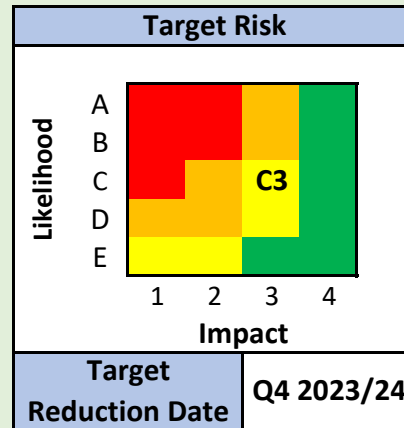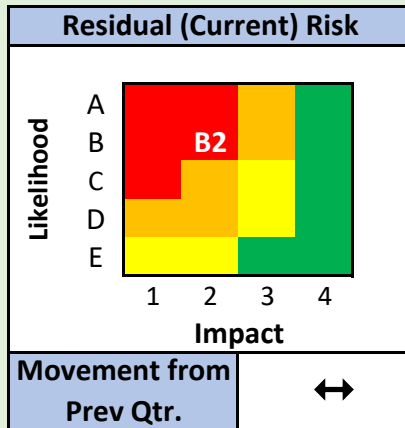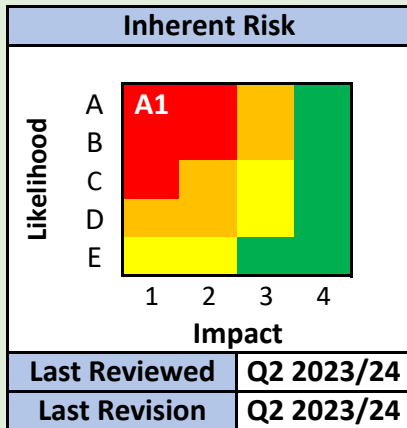
Failure to meet our statutory requirements to provide education to all learners of statutory school age, in particular those with Additional Learning Needs associated with Emotional Health and Wellbeing. Associated safeguarding risks due to vulnerable children not being at school, financial risks due to escalating costs of placements and reputational risk to the Council, evidenced by increasing volume of complaints.

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

Risk matrix showing **A2** in red zone (Likelihood A, Impact 2).

Movement from Prev Qtr.	↔

Target Risk

Risk matrix showing **B3** in amber zone (Likelihood B, Impact 3).

Target Reduction Date	Q3 2023/24

Risk Owner

Mel Godfrey

Councillor Sarah Merry
Deputy Leader &
Education, Employment & Skills

Potential Impact(s)

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.

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

• Emergency plan (Phase 1) for increasing capacity in the short term developed and implemented. Initially spot purchasing of places with Horizon to provide enhanced tuition. Review of in-house tuition offer to ensure stronger programme for children not in placement providing greater value for money. Identified primary schools with scope to provide places at Baden Powell and Pen Y Bryn. Extended number of places in our Specialist Resource Bases (SRBs) in schools for September 2023 as well as developing extra places in Special schools including Woodlands, Ty Gwyn, Hollies and Riverbank. Extended Pupil Referral Provision (PRU) has been developed, staff appointed, building works commenced with opening proposed for January 2024. Permanent site for extended PRU identified case for investment being developed. Secured additional classes at ACT provision. Monitoring of progress and impact against short term to long term solutions are monitored monthly to the senior education team. Proposal to develop additional ALN across the city to increase places agreed by Cabinet.
• Maintaining continuous review of pupils who are not in provision to identify specialist provision to accommodate their needs.

What we plan to do to meet target

Phase 2:
1. Work with External Providers
• Work with Procurement to specify how to correctly progress with utilising external providers. (ID providers)
• Establish a 'Best Approach' by testing the market, scope the current provision. Ongoing
• Establish a list of possible sites, buildings and areas that will meet appropriate need, to lease for the next 5 years at least.
2. Building our own capacity - Prioritisation of ALN provision and places
• Long term vision - establish budget parameters for operational capacity and establish long term Management Board for extended PRU   Open a new purpose-built Pupil Referral Unit and Carnegie Centre.
• Develop proposition of Greenhill provision aligned to stresses on the system and gaps in provision, also highlighting long term cost implications. Ongoing

Type(s) of Impact

Safeguarding   Legal   Financial
Social   Reputational

Linked Risks

Risk to relocation of vulnerable children to Cardiff as part of Children's Service

Key Indicators / Measures used to monitor the risk

Numbers of Children Not In Education Provision   Out of County Placement Spend

Air Quality & Clean Air Strategy

Description

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

Inherent Risk

Likelihood					
A	A1				
B					
C					
D					
E					
	1	2	3	4	
	Impact				

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

Likelihood					
A					
B		B2			
C					
D					
E					
	1	2	3	4	
	Impact				

Movement from Prev Qtr.	↔

Target Risk

Likelihood					
A					
B					
C			C3		
D					
E					
	1	2	3	4	
	Impact				

Target Reduction Date	Q4 2023/24

Risk Owner(s)

Andrew Gregory
(Jason Bale)

Councillor Caro Wild
Climate Change

Potential Impact(s)

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

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

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

RESIDUAL RISK RATING AFTER CURRENT CONTROLS BELOW - B2 = LIKELY/ SIGNIFICANT
Monitoring
• Non-automatic nitrogen dioxide (NO2) monitoring sites at 136 locations.
• Data includes monitoring at schools as part of the TRO pilot projects at schools
• There are three live 24/7 monitoring stations:
  - Cardiff Frederick Street: measuring levels of NO2, PM10 & PM2.5, SO2, CO and O3
  - Richard's Terrace, Newport Road: measuring levels of NO2 & PM10
  - Castle Street measuring levels of NO2 PM10 and PM2.5
• 7 near real time indicative automatic analysers located predominantly in Cardiff's City Centre (5), one in Llandaff within the established AQMA and one in Canton on Lansdowne Road. These sites measure on a 24/7 basis, continuously monitoring for Nitric Oxide, Nitrogen Dioxide, Ozone, PM10 & PM2.5, and does so every 15 minutes
• Additional 47 real time monitors installed across Cardiff, with support of One Planet Funding. This will be a 2 year pilot to assist the Council in improving collection of data including PM2.5 and PM10. Data will be used to assess any additional areas of concern and trends in pollutant levels in existing AQMAs, to help identify and target further interventions.
Air Quality Management Areas (AQMA's)
• Cardiff has 4 existing declared Air Quality Management Areas (AQMA's) all as a result of elevated NO2 concentrations from road traffic emissions.
Clean Air Plan
• Annual average for Castle Street = 33.8 µg/m3 for NO2 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/m3 and 38 µg/m3.
• Construction of Ph1 City Centre West scheme (Wood St & Central Square) – substantially completed with snagging been undertaken. .
• Completion of Bus Retrofitting Programme of 49 buses – buses have been fitted with exhaust technology which reduces NOx emissions from the buses by 90%
• WG have approved updated Initial Plan and supported implementation of Option 1. The Minister has confirmed that in principle funding for the scheme will be provided by WG, subject to submission and approval of Final Plan. It is proposed to provide the updated plan within Q3.
• Following WG funding award, progression of EV Infrastructure has commenced on the council EV infrastructure road map, with the baseline assessment having been completed in Q2 2023/24.
 Taxi Scheme:
Lease scheme launched January 2022 (note 5 vehicles only at this stage). Licensing Committee have now approved the proposal to remove the Hackney Carriage Limit for new plates to be issued. However this It is restricted that any new hackney carriage licences should only be issued to fully electric vehicles, or wheelchair accessible vehicles that are under 5 years old and meet the Euro 6 emission standard. Further revisions or update of scheme will need to be considered, including potential funding options to support upgrades to cleaner vehicles.
• 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 incl AQMAs

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 completed in February/ March and report was presented to Cabinet in April . Results show that Option 1 for all traffic still achieved compliance and owing to wider network impacts will be recommended as preferred option for Cabinet to approve. In Q2 WG provided approval of the updated Initial Plan and in a letter from the Minister, she detailed that funding for the scheme is agreed in principle.
• Subject to final decision being made on funding and approval of final plan the revised programme is anticipated;
 - **Q3 2023/24** Commence tender process
 - **Q4 2023/24/ Q1 2024/25** Complete tender process an New Cabinet Paper to award tender
 - **Q2/3 2024/25** On site (with the road closed - this will be achieving compliance)
 - **Q1 2025/26** Completion
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 - Due to resource issues this project has not been fulfilled and will be potentially picked up in 23/24 subject to resources **Q4 2023/24**
  - Living Walls and other Green Infrastructure – this project has been completed and will be reported in the 2023 APR
  - Progression of EV Infrastructure - the completed road map is expected in **Q4 2023/24**
  - Review and where necessary update Air Quality Planning Guidance
  - Schools Active Travel - Continued support on TRO projects and expansion of monitoring associated with the project will be further supported as an when more schools come one line. Projects worked on to date in 22/23, will be reported in the 2023 APR
  - 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 **Q4 2023/24**

Type(s) of Impact

- Health
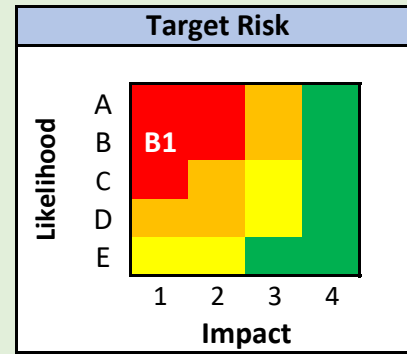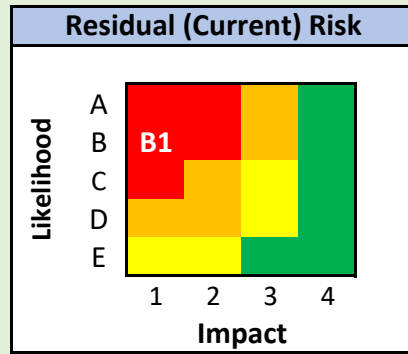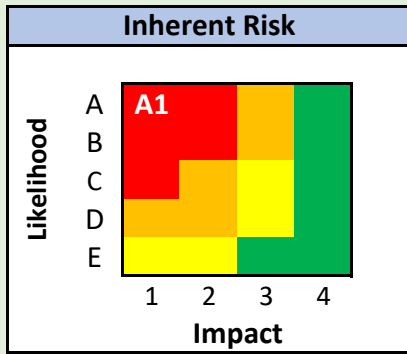- Regulatory
- Financial
- Strategic

- Reputational

Linked Risks

Key Indicators / Measures used to monitor the risk

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

City Security

Description

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

Inherent Risk

Likelihood (A–E) × Impact (1–4). Rated **A1**.

Last Reviewed	Q2 2023/24
Last Revision	Q1 2023/24

Residual (Current) Risk

Likelihood (A–E) × Impact (1–4). Rated **B1**.

Movement from Prev Qtr.	↔

Target Risk

Likelihood (A–E) × Impact (1–4). Rated **B1**.

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee
(Gavin Macho)

Andrew Gregory

Councillor Huw Thomas
Leader

Potential Impact(s)

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

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

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

- All existing identified high-risk, crowded places have been formally assessed

- Some crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge

- CONTEST Protect/Prepare Task & Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'

- The work done in the city to address security concerns has been predominantly focused on the provision of physical assets to mitigate against the threat of hostile vehicles

- Areas protected against the threat of hostile vehicles include the Principality Stadium, St Mary Street, Queen Street, St David's Dewi Sant and Cardiff Bay.

- The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters

- The Government National Terror Risk Rating set by the National Counter Terrorism Office remains at Substantial or an attack is likely.

- Martyn's Law has now passed into the Parliamentary Scrutiny process .The committee's initial opinions were critical of the current draft and questioned both its viability and cost effectiveness. We await with interest the Governments response.

- Cardiff Council Counter Terror Policing Wales and Partners are moving the agenda forward since it is unthinkable, we wait for the legislative process to catch up.

- Our revised position will be that we will move away from geographical responses and instead focus more on Sectors (Retail /Hoteliers/Business/Education) This would allow us to maximise our interaction with existing partnerships.

- The programme will be signed off at the PSPG before being launched in October.

- The continuing weekly/daily liaison between us and our Event Organisers Sporting venues, City Centre etc through City Centre Management, ELP , SAG, licencing etc keep all the issues in play.

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**

- The Chair of Contest has requested that the PSPG develop a SMART work programme that takes ownership of all its targets. This has been agreed and will be presented to the PSPG in October. Contest will then take on a Scrutiny Role and ensure we deliver on our Targets. **Q3 23/24**

Type(s) of Impact

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

Linked Risks

Key Indicators / Measures used to monitor the risk

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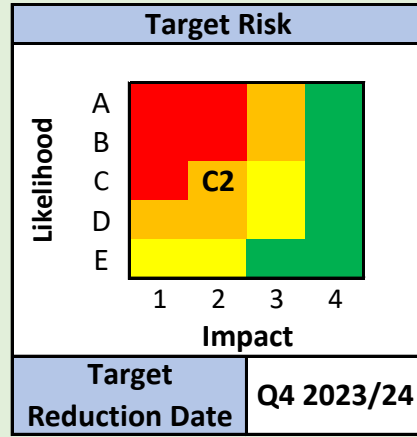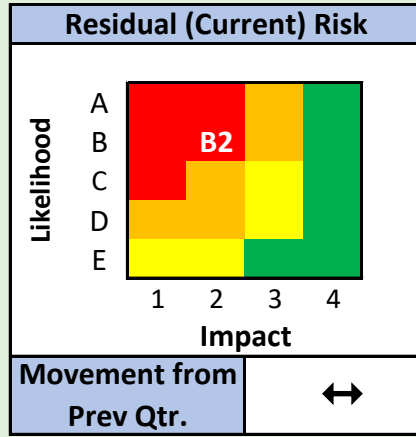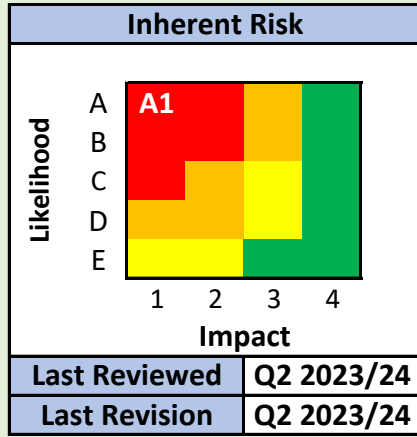
Climate Change - Biodiversity

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.

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

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

Movement from Prev Qtr.	↔

Target Risk

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

Target Reduction Date	Q4 2023/24

Risk Owner(s)

Andrew Gregory
(Simon Gilbert/ Jon Maidment)

Councillor Caro Wild
Climate Change

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 June 2023 the Council agreed the Replacement LDP Preferred Strategy for consultation. This Strategy includes Strategic Policy SP19 which aims to ensure the Cardiff's green infrastructure assets are strategically planned and delivered through a green infrastructure network.

• 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.

• Successful appointment of Principal Planner (Ecology) in Q4 2022/23

• Regular meetings of Council "Green Infrastructure Officer Group" including colleagues from Planning, Parks, Drainage, and Public Rights of Way - re-commenced in Q4 2022/23 following appointment of Principal Ecologist post and ongoing

• 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.

• Deliver an enhanced tree planting programme - 2022/23 = 30,264 achieved (target 25,000)
  - 2023/24 - commenced the scoping exercise to inform the 23/24 planting programme and developing an action plan aimed at maximising opportunities for increase tree canopy within the highway / street scene. Investigations are underway to determine street tree planting locations in existing grass verges and retrofit planting locations within hard landscaped street scene.
  - Finalisation of Scoping Exercise / determine Planting Programme for 23/24 completed Q2 2023/24

What we plan to do to meet target

• A Habitat Regulations Screening Assessment has been completed on the Replacement LDP Preferred Strategy which was approved by Council in June 2023. Consultation on the Preferred Strategy and the background papers is running for 10 weeks to the 5th October 2023. **Q3 23/24**

• Update the Cardiff Biodiversity and Resilience of Ecosystems Duty Forward Plan, including the Action Plan, in line with legislative requirements - now pushed back to Q1 2024/25 due to resources and competing priorities, including preparation of the Nature Recovery Action Plan (NRAP) and LDP. **Q1 24/25**

• Recruitment of vacant Planner (Ecology) post and consideration of additional resources to enhance the Planning (Green Infrastructure) functions, subject t available candidates and resources.

• Officer attendance at all Wales Planning and Diversity Forum - **Q1, Q2, Q3, Q4 2023/24**

• 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). - **ONGOING**

• Develop the local Nature Recovery Action Plan through the Local Nature Partnership (LNP) - - work is progressing well in partnership with the LNP steering group partners e.g. NRW, RSPB, WTSWW. Consultation workshops with the public and interest groups are planned for this summer to feed into the NRAP. **ONGOING**

• Discussions between the Council, Welsh Government and the Wales Council for Voluntary Action concerning LNP grant funding for a further 2 years is ongoing. - Formal confirmation has been received which will see the extension of LNP funding up until 31/3/25.
  - Finalise Scoping Exercise / determine Planting Programme for 23/24 - Q2 2023/24
  - Implement Planting Programme and action plan for maximising opportunities for increasing canopy within the highway / street scene - Q3/4 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
Energy decarbonisation

Linked Documents

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

Key Indicators / Measures used to monitor the risk

Extent of Green Infrastructure in the City.

Climate Change - Energy Security & Decarbonisation

Description

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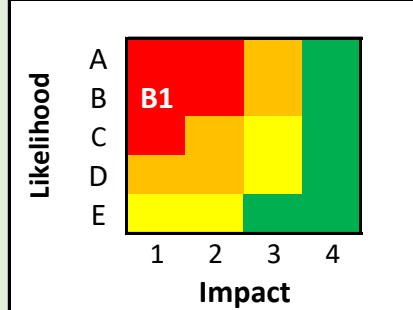
Potential Impact(s)

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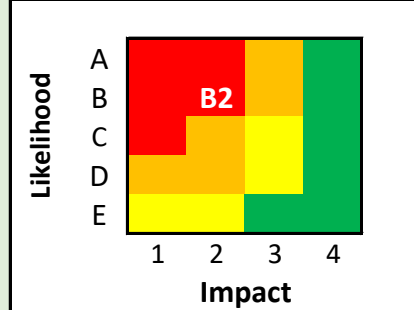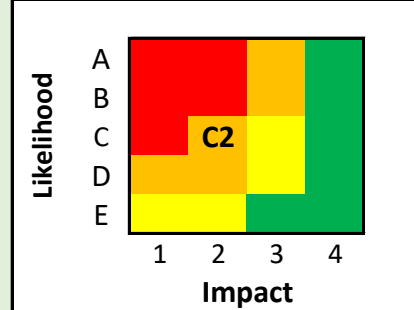- Increased fuel poverty

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2022/23

Residual (Current) Risk

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

Movement from Prev Qtr.	↔

Target Risk

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

Target Reduction Date	Q4 2023/24

Risk Owner(s)

Andrew Gregory
(Gareth Harcombe/ Liz Lambert)

Councillor Caro Wild
Climate Change

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 - Funding secured to develop final business case for two major ne renewables schemes
- Delivering Low Emission Transport Strategy - approved April 2018 and implementation of action plan underway:
  - first tranche and second phases of residential chargers delivered, and further phases in Council car parks and other residential areas underway - over 70 now installed
  - 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 targeted at "Hard to Treat" steel framed properties for implementation later this year. Outline of options to accelerate Domestic Retrofit presented to OPC Cex meeting April 23
- 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 schemes to secure low/zero carbon development and retrofit in the Council's Estate - (Strategic Estates/ Schools/ Housing) by 2030
- 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 2023/24**
- Deliver Steel Frame Retrofit scheme by Q4 24/25 and work with CCR to finalise arrangements for "LA Flex" Energy Company Obligation funded works and small measures retrofit initiatives by **Q4 23/24**
- 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**
- Funding secured from Innovate UK to recruit a new post focussed on integrating Climate Change and Carbon reduction into Council's decision making and budget processes. Recruitment undertaken in Q2 2023/24, with programme of action developed by end **Q4 23/24**

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

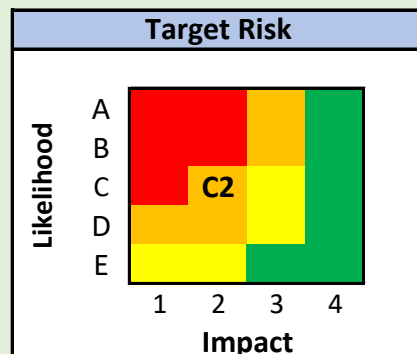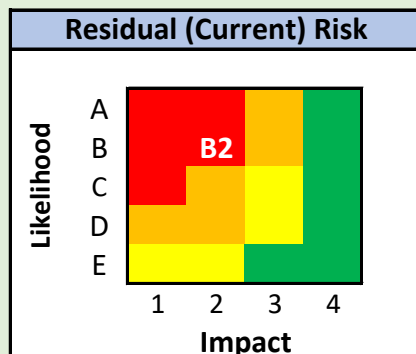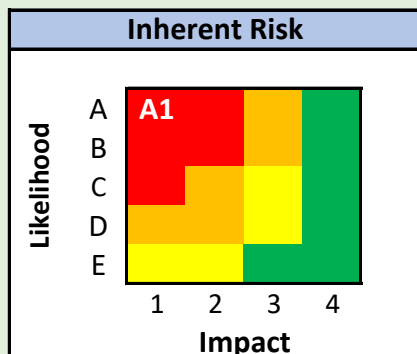https://www.evaccardiff.co.uk/
https://www.cdp.net/en

Key Indicators / Measures used to monitor the risk

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	Q2 2023/24
Last Revision	Q2 2022/23

Residual (Current) Risk

Movement from Prev Qtr.	↔

Target Risk

Target Reduction Date	Q4 2023/24

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 publics own resilience through advice and guidance available form the EVAC Cardiff Website

Extreme Cold/ Snow

• Implementation of Council's Cold Weather Response Plans

• Winter Service review undertaken to consider the potential impact of Covid-19:
 - concentration made to build resilience into Winter Service as high risk to staff resource due to illness and the requirements of isolation
 - required training and staff rotas put in place, however there is a limited available resource with the required skillsets within the authority
- investigations into feasibility/ availability of external assistance
- Winter Service 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 - postponed due to re-consultation and analysis, unlikely to come into force before end of this year - **Q4 2023/24**

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
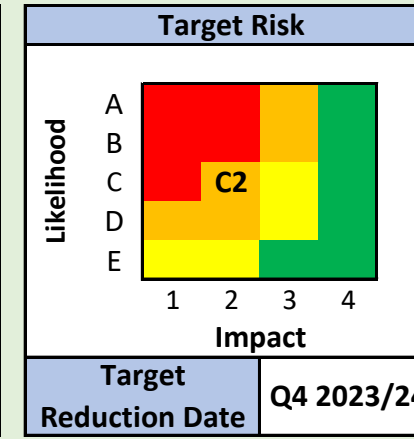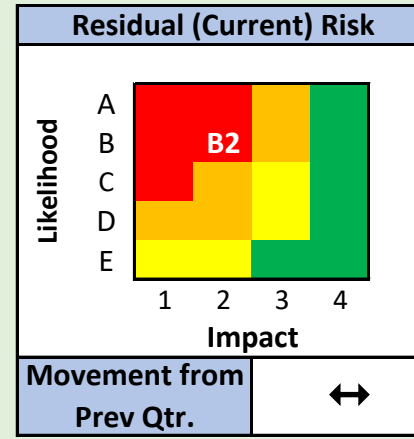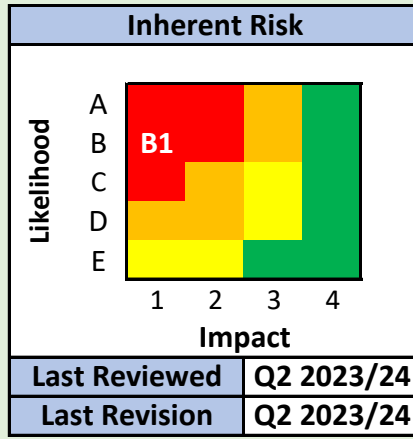
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Key Indicators / Measures used to monitor the risk

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

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

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

Movement from Prev Qtr.	↔

Target Risk

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

Target Reduction Date	Q4 2023/24

Risk Owner(s)

Andrew Gregory
(Gary Brown/ Simon Dooley
Simon Gilbert/ Stuart Williams)

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

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

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

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

• 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 preventions schemes.

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

• Asset management - Delivery of Flood Management and Coastal Improvement Schemes and rationalise/ prioritise gully maintenance schedule based on the outputs of the Flood Incident Management software - Phase 1 of new gully maintenance schedule completed.

• Highway Asset Management Plan approved by Cabinet in Q4 2022/23 - This captures the asset types, responsibilities and financial challenges.

What we plan to do to meet target

Flood & Storm

The following actions are ongoing :
• Completion by October 2023 a of 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 - The flood risk strategy will be delayed past Q3 2023/24 due to resource issues within this specialist area. Recruitment continues with reviews of post grades. Welsh Government have been made aware of the delays being experienced.
• 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) through additional resource -   Recruitment remains unsuccessful, a grade review process is ongoing - **Q4 2023/24**
• Deliver guidance to increase standards and ease of development - in development **Q3 2023/24**
 Flood Risk Management Programme:
- Phase 2 of new gully maintenance schedule delivered by Q3 2023/24
- The Flood Risk Management Team have been successful in achieving Welsh Government funding to undertake full business case development to identified flood risk areas in the City in 2023/24.
- Funding has been achieved to deliver property level flood protection at a number of locations. Some works have been delivered and others are ongoing during **Q2/3 2023/24.**
- Detailed design has commenced on the Whitchurch flood alleviation scheme (Greener Whitchurch). Consultation with Key Stakeholders and Local Members has commenced and is ongoing.
- Further FBC's are being developed for identified flood risk area in the city

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial

• Health & Safety
• Partnership
• Community & Environment
• Stakeholder

Linked Risks

Coastal Erosion
Air Quality
Business Continuity

Linked Documents

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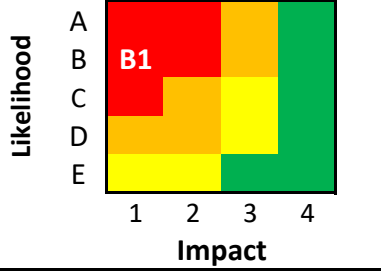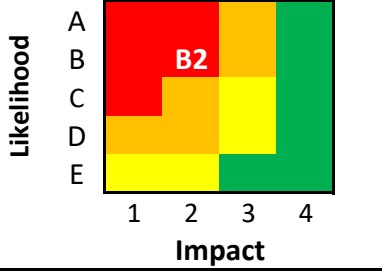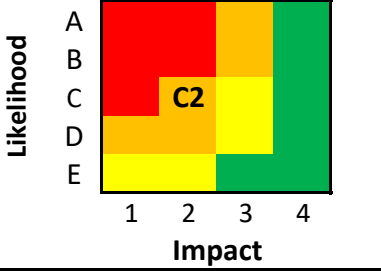
Key Indicators / Measures used to monitor the risk

Storm Events that meet silver & gold emergency intervention

Annual number of flooded properties and severity (statutory reporting)

Energy use / renewable energy production of Cardiff Council

Coastal Erosion

Description

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

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q1 2023/24

Residual (Current) Risk

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

Movement from Prev Qtr.	↔

Target Risk

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

Target Reduction Date	2026

Risk Owner(s)

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

Councillor Caro Wild
Climate Change

Potential Impact(s)

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

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

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

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

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

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

• The Flood Risk Management Team are undertaking detailed design for the coastal defence scheme - the necessary works are holistic and cannot be phased, therefore 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.
• Due to the costs of funding the East side (Lamby Way), that WG will not fund, it has been removed from the scheme. 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 is being dealt with as a directorate based risk.

Scheme Delivery Progress update:
At the request of WG, approval of the full business case and therefore financial confirmation was not provided until 2023/24:

Key steps:

• Approval by Welsh Government of the FBC and funding allocation received Q1 2023/24
• Internal legal and procurement processes completed
• Contract awarded to Knights Brown
• Client (CC)/Contractor pre-contract meetings commenced

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.

Key steps:

• Commence construction - Anticipated on-site commencement date Q3 2023/24 following WG extension of funding programme due to various challenges. **Q3 23/24**

Type(s) of Impact

• Health & Safety
• Health
• Reputational
• Financial

•Strategic
• Service Delivery

Linked Risks

Climate Change risks

Key Indicators / Measures used to monitor the risk

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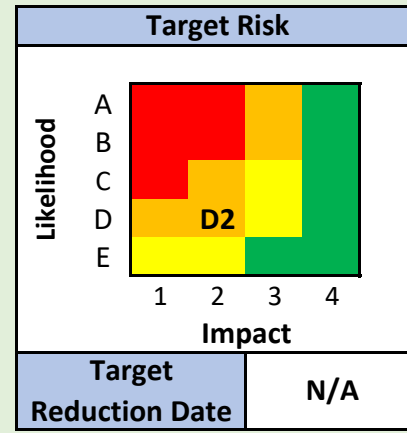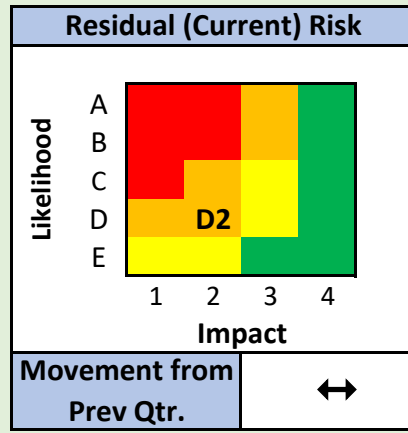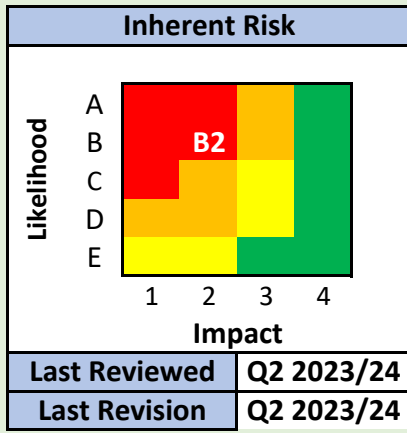
Performance Management

Description

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

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

The Council must therefore maintain a focus on the Key Performance Indicators it has identified within the Corporate Plan as a pointer to overall organisational success. The Council must also ensure that more granular indicators of performance- the Council's Core Data which is managed by individual Directorates-are established and monitored to provide more detailed insight into the drivers of corporate performance.

Changes to the Statutory Performance Requirements have been set out in Local Government & Elections Act, and new processes have been put in place within the Council to embed these requirements in the performance management framework.

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4). Marker **D2**.

Movement from Prev Qtr.	↔

Target Risk

Likelihood (A–E) vs Impact (1–4). Marker **D2**.

Target Reduction Date	N/A

Risk Owner(s)

Sarah McGill

(Gareth Newell)

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

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

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

• Compliance failure leading to external sanctions and reputational damage.

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

Audit Wales have undertaken an assessment of the Council's process for setting of well-being objectives while developing the Corporate Plan, and the links to the partnership Well-Being Plan (https://www.audit.wales/publication/cardiff-council-well-being-objective-setting-examination). The Audit Wales report was received in June 2023 and contained no recommendations. Audit Wales found that "The Council has used the sustainable development principle to drive the setting of its well-being objectives including good use of data and a strong collaborative approach." The report also concluded that 'the Council has robust arrangements for monitoring its Corporate Plan and wellbeing objectives throughout the year.'

As part of the Council's Internal Audit Programme, an audit of performance management was undertaken in Quarter 1 2023/24 across all Directorates during Quarter 1 2023/24. The purpose of the audit was to provide assurances that there is a sound system of internal control within the area under review. The audit found overall assurance ratings to be effective across the board, with a small number of recommendations provided for improvement, all of which have been accepted with management responses provided.

To inform the Council's Annual Well-Being Report, a series of assurance sessions with the CEX were scheduled where directors presented their directorate self-assessment exercises, all of which informed the development of the Council's statutory self-assessment of performance; the Annual Wellbeing Plan.

The Council's Annual Well-being Report 2023 was formally considered by Performance Panel (which brings together all Scrutiny Chairs) in June and the Policy Review and Performance (PRAP) Scrutiny Committee. The report was also considered Governance & Audit Scrutiny Committee and, in preparation for this this, a briefing session was held with the committee on 21 June 2023 on the performance requirements of the Council. Consideration by the Performance Panel, Policy Review and Performance Scrutiny Committee and Governance and Audit Committee preceded the report being formally considered by Cabinet in July 2023 and Council in September 2023. Performance is also presented via the Corporate Performance Dashboard, which is now available to all Members, as well as the public, as an interactive appendix to the Cabinet Report relating to the Well-being Report.

A number of recommendations on the Report were given by Performance Panel, all of which were either accepted or partially accepted. Governance & Audit Scrutiny Committee and PRAP Scrutiny Committee provided no formal recommendations, expressing their satisfaction with the report and noting the improvements made following recommendations on the previous report in 2022. Governance & Audit Committee stated that in their view "a robust exercise has been completed in which duties have been sufficiently discharged".

What we plan to do to meet target

To improve the presentation of performance management information, the Corporate Performance Dashboard now includes the steps and KPIs from the Corporate Plan **2023-26.** Work will continue throughout the year to keep the dashboard up to date with performance updates each quarter.

The dashboard presents the latest updates against every step and KPI from the Council's Corporate Plan in an interactive format that can be filtered by directorate, wellbeing objective, and by scrutiny committee. The Team will continue to collect feedback from users in order to make usability improvements, while also improving how data is stored and managed in the background.

The next Chief Executive Assurance Sessions will be scheduled in Q3 to inform the Mid-Year Self-Assessment Report. **Q3 23/24**

Type(s) of Impact

• Service Delivery
• Reputational
• Stakeholder

Linked Risks

Key Indicators / Measures used to monitor the risk

Quarterly monitoring of corporate plan indicators (159) provide a pointer to organisational health and corporate performance. Corporate Plan indicators are also risk assessed as part of the performance monitoring process.

Budget Monitoring (Control)

Description

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

Potential Impact(s)

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

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

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

Inherent Risk

Likelihood / Impact matrix: **A1**

Last Reviewed	Q4 2022/23
Last Revision	Q4 2022/23

Residual (Current) Risk

Likelihood / Impact matrix: **C2**

Movement from Prev Qtr.	↔

Target Risk

Likelihood / Impact matrix: **D2**

Target Reduction Date	Q4 2023/24

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

• 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.

• Month 4 Monitoring report indicated an Directorate overspend but with further work required until the end of the year to achieve a balanced position. Management controls have been put in place which include reviews on all vacant posts as well as controls on spend.

• The Corporate Directors of Resources and People collecrtively 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.

• Regular meetings continue to be held in respect to key overspend areas in Children's Services, Education (Home to School Transport and Economic Development. These meetings are used to identify keep reassures and deliver effective mitigations which at least stems the overspend.

• Continual regular oversight on short and medium term impacts of price inflation in order to react to changes quickly. There is an increased reliance on Directorate Delivery areas to flag up inflation issues as they arise as they are best placed to see them first.

• 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.

• 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

What we plan to do to meet target

• 2023/24 Month 6 monitoring report scheduled for November 2023
• 2023/24 Month 9 monitoring report scheduled for February 2024
- Underpinning the above reports will be a continued review which will identify any need of mitigations due to overspend pressures, reduction in income or saving proposals not being delivered as anticipated.

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial

• Stakeholder

Linked Risks

Financial Resilience

Key Indicators / Measures used to monitor the risk

• Monthly Directorate Monitoring reports detailing likely outturn position and performance against savings accepted
• Review of use of earmarked reserves and balances - Half Yearly
• Amount of Hardship Support claimed successfully

Financial Resilience

Description

• Failure to deliver a balanced annual budget and a fully informed Medium Term Financial Plan.

• Lack of appropriate mechanisms to identify and manage unexpected financial liabilities.

• The Q1 outlook is that there is a Budget Gap of £113 million for the period 2024/25 to 2027/28.

Inherent Risk

Likelihood (A–E) × Impact (1–4) matrix — rating: **A1**

Last Reviewed	Q1 2023/24
Last Revision	Q1 2023/24

Residual (Current) Risk

Likelihood (A–E) × Impact (1–4) matrix — rating: **C2**

Movement from Prev Qtr.	↔

Target Risk

Likelihood (A–E) × Impact (1–4) matrix — rating: **C2**

Target Reduction Date	Q3 2023/24

Risk Owner(s)

Chris Lee
(Ian Allwood)

Councillor Chris Weaver
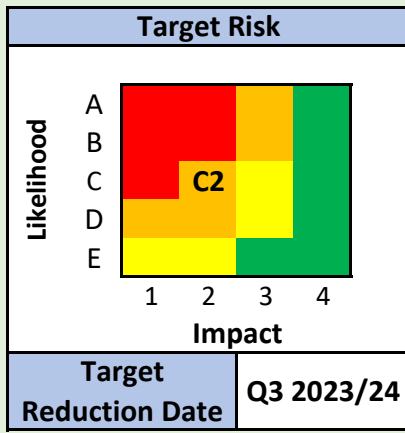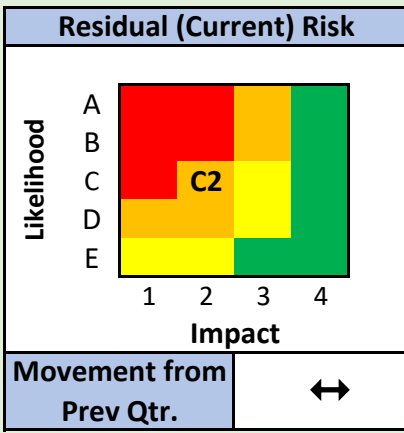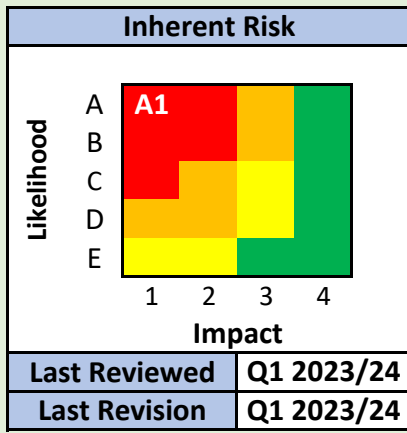Finance, Modernisation and Performance

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.

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

2023/24 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. Targeted 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. This assisted in achieving a balanced outturn position for 2022/23 and provided capacity to facilitate more permanent realignments as part of the 2023/24 Budget Process.
• 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, 2024/25 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. **Q2 2023/24**
• Enhance focus on a multi-year position (recognising limitations where settlement information is for one year only.) **Q3 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. **Q2 2023/24**
• 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 work within current structures to ensure appropriate governance is undertaken. **ONGOING**
• Regular monitoring of 2023/24 position to gain early insight into risks to factor into medium term planning **ONGOING**

Linked Risks

Budget Monitoring (Control)

Type(s) of Impact

• Service Delivery	• Stakeholder
• Reputational	
• Legal	
• Financial	

Key Indicators / Measures used to monitor the risk

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

Fraud, Bribery & Corruption

Description

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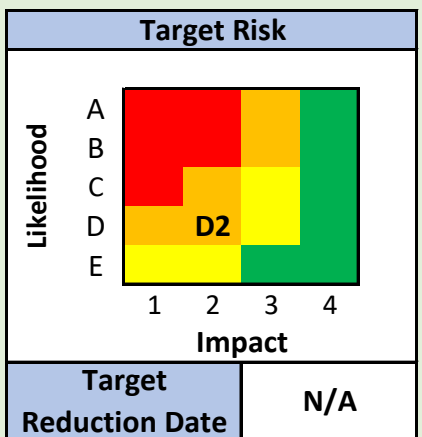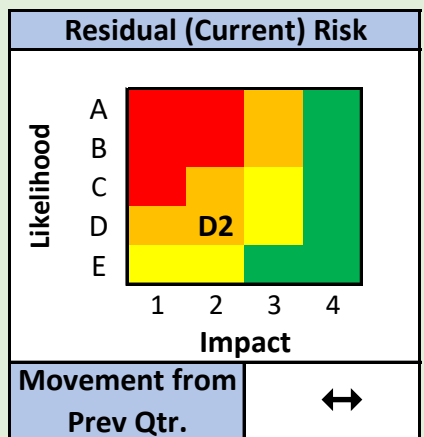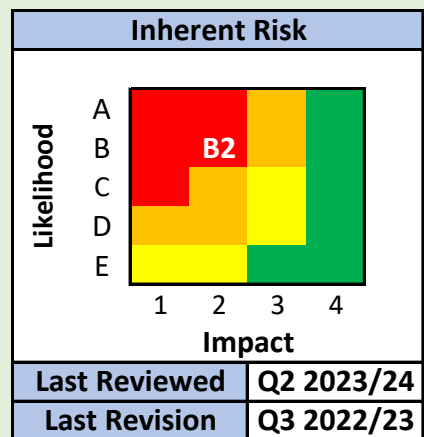
Inherent Risk

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

B2

Last Reviewed	Q2 2023/24
Last Revision	Q3 2022/23

Residual (Current) Risk

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

D2

Movement from Prev Qtr.	↔

Target Risk

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

D2

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee
(Ian Allwood)

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

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

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

• The Council communicates a zero-tolerance approach to fraud, bribery and corruption.
• Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, Anti-Money Laundering Policy and Disciplinary Policy.
• Financial Procedure Rules and Contract Standing Orders and Procurement Rules and training.
• National Fraud Initiative data matching exercises in collaboration with the Cabinet Office and Audit Wales.
• Receipt and dissemination of fraud intelligence alerts from law enforcement agencies.
• Regular counter-fraud updates to the Section 151 Officer, Governance and Audit Committee, Portfolio Cabinet Member and the Chief Executive.
• Governance and Audit Committee review of the risk management, internal control and corporate governance arrangements of the authority.
• Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control.
• Mandatory disciplinary e-learning module for all managers to complete and a programme of mandatory e-learning modules and training for Disciplinary Hearing Chairs, Investigating Officers and Presenting Officers.
• Fraud Publicity Strategy, to publicise the Council's approach to counter fraud work / sanction activity and explain the roles and responsibilities of key parties.
• Counter-Fraud and Corruption Strategy, with associated Fraud Awareness eLearning and face-to-face training rolled out.
• Annual participation in International Fraud Awareness week.
• Investigation Team provision of investigation and counter-fraud advice, guidance and support.
• SMT annual participation in CIPFA fraud tracker assessment and response.
• Revised 'Anti-Money Laundering Policy' approved by Cabinet in Q3 2020/21 and eLearning rolled out to officers with key roles and those working in high-risk areas.
• 'Authorisation and Protocol Requirements for Review of Work Activities' approved by Cabinet in Q4 2020/21.

What we plan to do to meet target

• 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**

Key Indicators / Measures used to monitor the risk

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

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial

• Stakeholder

Linked Risks

Information Governance

Description

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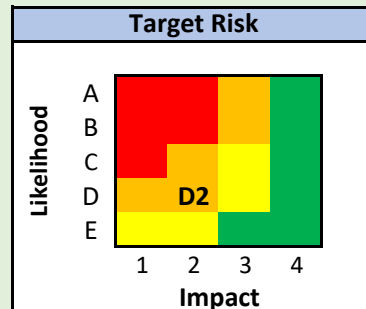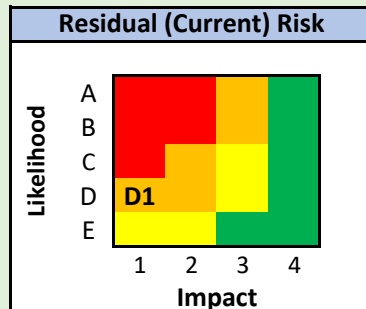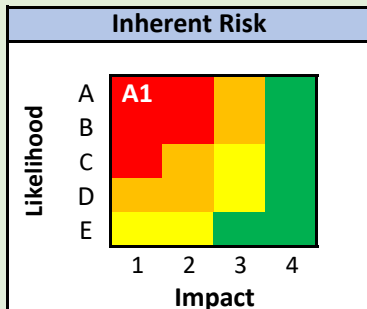
Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4). Plotted: **D1**

Movement from Prev Qtr.	↔

Target Risk

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

Target Reduction Date	Q3 2023/24

Risk Owner(s)

Chris Lee
(Dean Thomas)

Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)

Leads to the Information Commissioner issuing notices of non-compliance

These could consist of:

• A "Stop Now" Order which would mean that no personal data could be processes by the Council in its entirety
• An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery
• A Decision Notice could be issued as a result of non compliance with an FOI/EIR request which would require information disclosure
• Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit
• Enforcement Notice requires immediate improvement action to be put in place
• Financial Penalty up to £17.5 million for Higher Level Tier and £8 million for Lower Level Tier breaches of the Data Protection Act.
• Compensation unlimited liability claims for damages as a result of a data breach from individuals.

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 2022, the next annual accreditation of this process will take place in September 2023
• 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 2023.
• 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.
• 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 embedded 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.
• 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
• New training modules on FOI and Data Protection launched to school staff Q2 2023/24

What we plan to do to meet target

• Consider options for destruction processes for the Council's Records Centre. **Q3 2023/24**
• Publish an online Publication Scheme taking onward recommendations from the Information Governance & Security Board. **Q3 2023/24**
• An Information Governance Framework will be developed to help provide assurance of IG processes within Directorates. Implement during **Q4 2023/24**
• A new FOI e-learning module is being designed and will be made available via Cardiff Academy. Further training options will be presented to IGSB to decide who the training will be available to **Q3 2023/24**
• Emails and teams retention to be reintroduced Q3 2023/24 - 1 year retention to be achieved by end of **Q4 2023/24**

Type(s) of Impact

• Service Delivery
• Reputational
• Legal
• Financial

• Stakeholder

Linked Risks

Cyber Security

Key Indicators / Measures used to monitor the risk

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

Cyber Security

Description

There are 10 areas of potential risk 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

Potential Impact(s)

The intent of cyber attackers includes, but is not limited to:
• financial fraud;
• information theft or misuse,
• activist causes to render computer systems intolerable and to disrupt critical infrastructure and vital services.
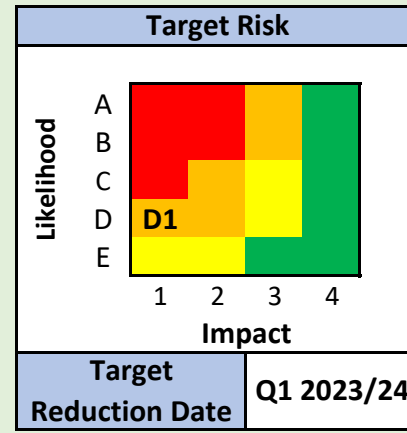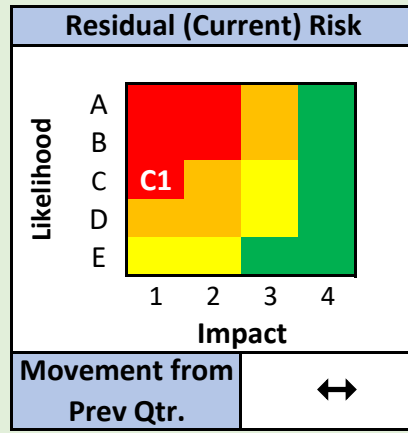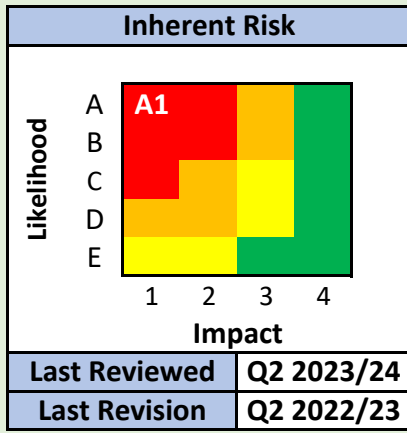
The impact of a cyber-attack / incident has the potential to involve the realisation of the risks associated with:
• An information governance breach (i.e. Stop Now Order, Information Notice, Enforcement Notice, Financial Penalty etc.)
• A business continuity incident – with a potential for major loss of service and legal, health and safety and financial implications.
• A financial / fraud related attack.

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

Type(s) of Impact

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

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2022/23

Residual (Current) Risk

Likelihood (A–E) vs Impact (1–4): **C1**

Movement from Prev Qtr.	↔

Target Risk

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

Target Reduction Date	Q1 2023/24

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

Linked Risks

Information Governance

Key Indicators / Measures used to monitor the risk

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

Business Continuity

Description

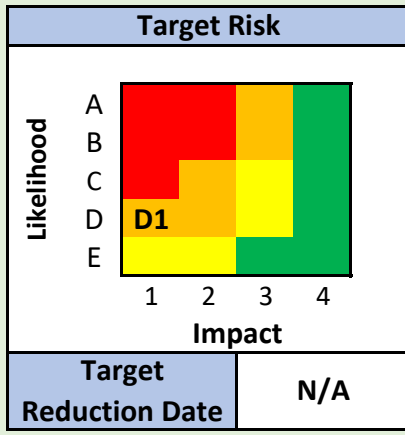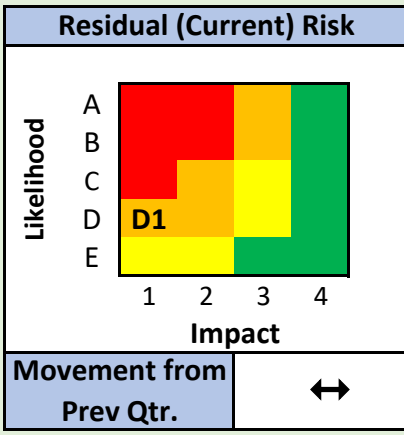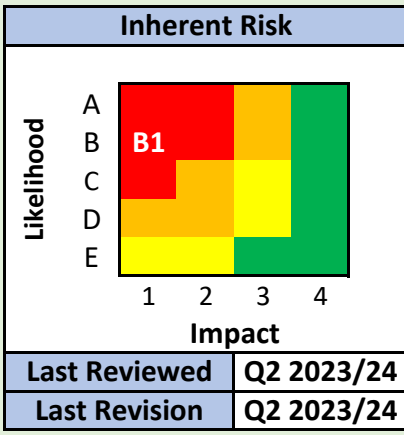Large scale incident/loss affecting the delivery of services.

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

Inherent Risk

Likelihood (A–E) vs Impact (1–4). Marker **B1** in red zone.

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

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

Movement from Prev Qtr.	↔

Target Risk

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

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee / Deborah Marles

Councillor Huw Thomas
Leader

Potential Impact(s)

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

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

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

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

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

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

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

• The Council has a BCM Champion who sponsors BCM at a strategic level
• We have an approved Business Continuity Policy which is aligned to ISO22301:2012
• 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 ISO22301:2012 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 ISO22301:2012. 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 continued into Q3 to support the resilient deliver of key services should the UK experience risks to energy supply.
•In Q4 2022/23 the Resilience Unit engaged with ICT around future enhancements to delivery of key ICT services this engagement will be ongoing.
•In Q1 of 2023/24 the Resilience Unit reviewed and updated the Councils Emergency Management Plan with the minimal changes necessary to keep the plan current to support our response to an incident that could impact on the Council.

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 work is ongoing. This work is on going and cyclical and will be reviewed again in Q3 2023-24.

• 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 Q3 of 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 work remains on going and under review as the UK risk around energy resilience remains for 2023/2024, targeted work with key service areas remains ongoing with target of Q3 2023/2024.

• 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. Ongoing

• 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. Ongoing

• The Resilience Unit is working with ICT around the cyber risk and ensuring we continue to manage this risk effectively. We will review work around this risk in Q4 2023/2024.

• The UK National Risk Register will be published in August 2023. The Resilience Unit will assess this register against council risks and mitigation, this review should be complete by Q3 of 2023/2024.

• Review the Energy Resilience planning for winter 2023 for Electricity generation in the UK associated risks and mitigation, and review the Gas resilience for winter 2023 with associated risks and mitigation. This review should be complete by Q3 of 2023/2024.

Type(s) of Impact

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

Linked Risks

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.

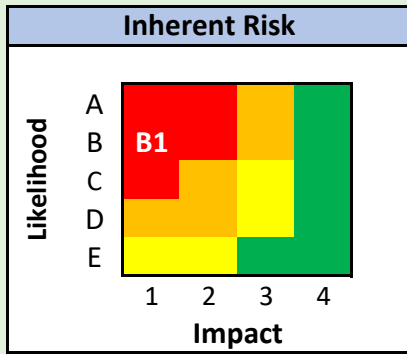# Increase in Demand (Children's Services)

Description

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

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

Likelihood (A–E) / Impact (1–4) matrix — **C1** (red)

Movement from Prev Qtr.	↔

Target Risk

Likelihood (A–E) / Impact (1–4) matrix — **D1** (yellow)

Target Reduction Date	Q4 2023/24

Risk Owner(s)

Sarah McGill
(Deborah Driffield)

Councillor Ashley Lister
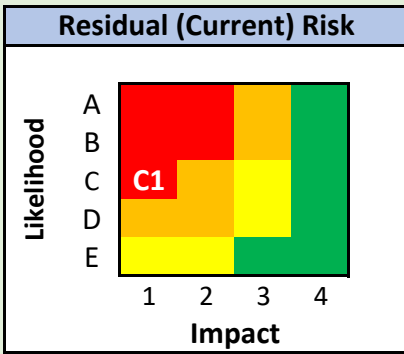Children & Families

Potential Impact(s)

• Family breakdown leading to children becoming looked after.
• Growth in the number of children entering the looked after system and associated costs for the Authority.
• Insufficient placements to meet need resulting in increase in numbers living outside Cardiff.
• Challenges in improving outcomes for children leading to children being less likely to achieve their potential and to be fully participating citizens.
• Delays in issuing care proceedings because of existing capacity in Children's Services and consequential impact on budgets if work needs to be outsourced.
• Challenges in effectively managing service and financial pressures.
• Impact of high caseloads on staff and potential increase in social worker turnover.
• Reliance on newly qualified social workers and non qualified social care practitioners to deal with 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.
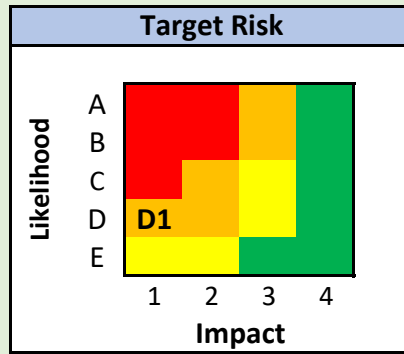N.B. All demand risks carry safeguarding implications.

Type(s) of Impact

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

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 - additional resource agreed to manage waiting list and to extend Family Support Service to include out of hours family support.
• 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.
• Increasing in house residential provision.
• Option for families to use Direct Payments available (policy reviewed). Potential use for children other than children with disabilities to be considered.
• Shifting the balance of care and associated workstreams progressing - new operating model (prudent social work) and new practice model (trauma informed and strength based) under development.
• Children's Services Strategy in place and supported by Workforce Strategy, Accommodation Strategy and Commissioning Strategy to address recruitment and accommodation sufficiency issues and manage the market.
• 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 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 - long term arrangements being considered via review of business support.
• 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 and review of panels being undertaken.
• Family Drug and Alcohol Court pilot (to better support parents with drug and alcohol issues through the care proceedings process) under review due to funding issues.
• Projects to address demand and accommodation sufficiency issues ongoing - one to specifically focus on services for children with disabilities and another to consider the wider cohort of children looked after.
• 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 **2024 - Spring.**
• Work with judiciary re: planned changes to private and public law **Q4 2023/24**.
• Review the Early Help offer and consider how this dovetails with the Interventions Hub to ensure that interventions are not being duplicated **Q3 2023/24.**
• Implementation of Accommodation Strategy **2023-26**.
• Implementation of Workforce Action Plan **Q4 2023-24.**

Linked Risks

• Workforce Planning (Social Services)
• Safeguarding

Key Indicators / Measures used to monitor the risk

Children's Services:
• Contacts 1 - Number of Contacts / Referrals Received
• CS LAC 3e - Number of children looked after
• Number of children on the Child Protection Register
• CH/012 - Percentage of assessments completed for children within statutory timescales

Safeguarding Children & Adults at Risk

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

Inherent Risk

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

B1

Last Reviewed	Q2 2023/24
Last Revision	Q2 2023/24

Residual (Current) Risk

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

D1

Movement from Prev Qtr.	↔

Target Risk

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

D1

Target Reduction Date	N/A

Risk Owner(s)

Sarah McGill
(Deborah Driffield)

Councillor Huw Thomas
Leader
Councillor Norma Mackie
Adult Services
Councillor Ashley Lister
Childrens Services
Councillor Chris Weaver
Finance, Modernisation and Performance

Potential Impact(s)
- A child(ren) or adult(s) suffer(s) preventable abuse or neglect which may result in harm or death
- Reputation of Council and partners
- Severe adverse publicity
- Potential regulator intervention
- Loss of confidence by community in safety of children and adults
- Loss of confidence of staff in the overall "safety" of the service, impacting on morale, recruitment and retention
- Potential litigation with associated financial penalties
- Significant financial implications of formal intervention

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

Regional
- Regional Safeguarding Board oversee the safety and well-being of children and young people across the partnership.
- Annual RSB plan published outlining key priorities for this year accompanied by strengthening / streamlining governance .

Corporate
- Annual plan 2023/24 has been developed and ratified
- Corporate Safeguarding Board strengthened with development of Steering Group and appointment of Directorate Lead Officers
- Improved data capture and reporting on training compliance allowing targeted action by managers.
- Initial Analysis of referral data completed, with further work underway to enable a more granular breakdown.
- Recruitment and Selection Policy updated, including additional information on safeguarding
- Recommendations of Audit Wales review actioned.
- Output of self-assessments have been quality assured and is included and tracked through Directorate Delivery Plans.
- Training compliance rates now at 82% across the Council with pilots underway in areas of low compliance.
- Work commenced with Procurement team to strengthen safeguarding arrangements in contract award and management.
- Positive feedback reviewed from initial paper based pilot - Incremental rollout on going

Contextual Safeguarding
- Safeguarding Adolescents from Exploitation model developed, SAFE partnership in place and working effectively.

Children's Services (Summary Position)
- Child protection procedures continue to take precedence and children at the highest risk will be prioritised. Operating model is review regularly.
- Systems in place to learn lessons from Child Practice Reviews, Adult Practice Reviews and multi agency practitioner forums.
- Safeguarding Adolescents From Exploitation (SAFE) approach reframed in light of experience and being implemented city wide.
- Quality Assurance Framework in place; learning workshops introduced to complete feedback loop. Action plan in placed.
- High Risk Panel facilitates robust and timely multi-agency decision making at senior management level for our highest risk young people reviewed and Terms of Reference being updated.
- Practice development group set up with leads allocated to workstreams to shape good practice.
- Children's Services and Education working closely, including in the development of locality working and response to the recent issues in Ely / Caerau.
- Close partnership working in relation to serious youth violence, including with Violence Prevention Unit and Community Safety is ongoing.
- Successful bid for Youth Endowment Funding - for two Preventative & Engagement Service multi-agency teams to tackle criminal exploitation and risks posed to young people and their families.
- Revised Supervision process launched following feedback from pilot and a new recording mechanism now in place
- Child Sexual Abuse practice leads training programme with Centre of Excellence in place.
- Review of escalating concerns process underway to strengthen arrangements and interface with safeguarding procedures and large scale enquiries.
- Practice leads appointed in locality teams to support newly qualified staff and improve quality and consistency of practice.
- MISPER co-ordinator in post and working with the Police to ensure a consistent approach to missing young people.

Adult Safeguarding
- Review of escalating concerns process underway to strengthen arrangements and interface with safeguarding procedures and large-scale enquiries.
- Advice / guidance has been produced for family members re: choosing, visiting or concerns about a loved one in a care home
- Quality Assurance Frameworks have been included with the DAPL and DPS Framework and this has been implemented.
- Contributing to and supporting the regional revie of MARACs (domestic abuse, SWOT and Human Trafficking.
- Supporting people who hoard and self-neglect and developing sustainable and holistic approaches- Phase 2 commenced.
- Young person's MDT launched and is fully operational with performance measures expected in future.
- Actions put in place to address low take up of training in front facing services.
- Ongoing development and implementation of the Corporate Safeguarding Policy is monitored in line with best practice guidance from Welsh Government.
- Consistency in external and internal reporting of Safeguarding referrals embedded.
- Developed more robust performance indicators (in line with Welsh Government requirements) and use of the self-assessment Quality Assurance document.

What we plan to do to meet target

Regional Safeguarding Board
- Regional Safeguarding Board Governance arrangements have been reviewed and a new governance structure is being piloted.
- Improvements have been made in utilising data to capture the boards performance
- A comprehensive risk register has been developed for use at the board, which allows for increased oversight and mitigation of emerging and escalating risks

Contextual Safeguarding
- Successful YEF funding application to pilot multi-disciplinary teams to tackle youth violence and exploitation.

Corporate Safeguarding
- Targeted training exercise underway with schools catering staff to increase training compliance, due to be completed by Dec 23
- Corporate Safeguarding Self Assessment 2023 has been completed by all directorates
- KPIs developed for board oversight
- Annual Report Published
- Training compliance stats now stand at 89%

Children's Services
- Strengthen contractual arrangements in relation to safeguarding **(Q4 23/24).**

Adult Services
- Develop whole home large scale enquiry process - to be completed **Q4 23/24**
- Partnership development activity between Learning Disabilities Team, third sector services and Adult Safeguarding to better address incidents of Service User on Service User abuse in supported living services setting target removed as project on hold due to current work pressures.   **Q4 23/24**
- 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 - **Q2 2023/24**

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

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

Key Indicators / Measures used to monitor the risk
- SCC.014 Percentage of initial child protection conferences carried out within statutory timescales during the year
- SCC.034 Percentage of child protection reviews carried out within statutory timescales during the year
- SSWB 27 Percentage of re-registrations of children on local authority Child Protection Registers
- SSWB 28 Average length of time for all children who were on the CPR during the year
- Res 15 - Percentage of Council staff completing Safeguarding Awareness Training
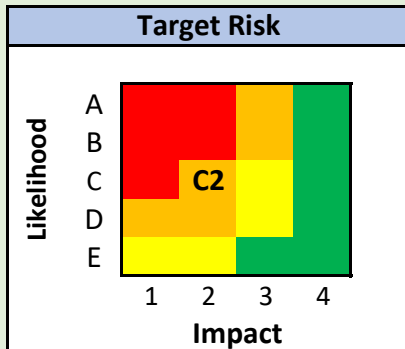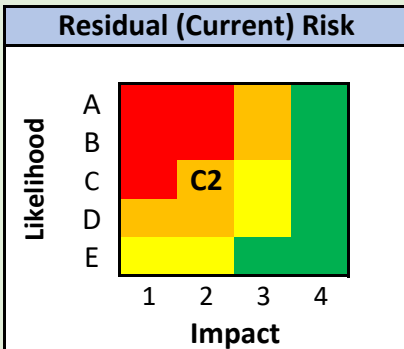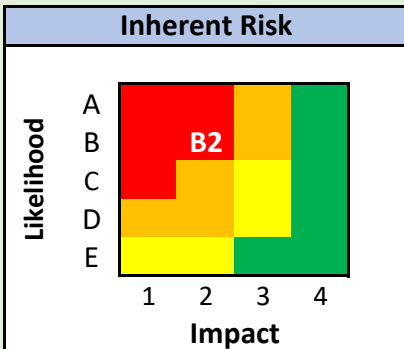
Legal Compliance

Description

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

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

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

In each case leading to increased risk of challenges.

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

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

Inherent Risk

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

Last Reviewed	Q2 2023/24
Last Revision	Q4 2022/23

Residual (Current) Risk

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

Movement from prev Qtr	↔

Target Risk

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

Target Reduction Date	N/A

Risk Owner(s)

Chris Lee	**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**

Linked Risks

Key Indicators / Measures used to monitor the risk

Number of Judicial Reviews and Number of Successful Challenges