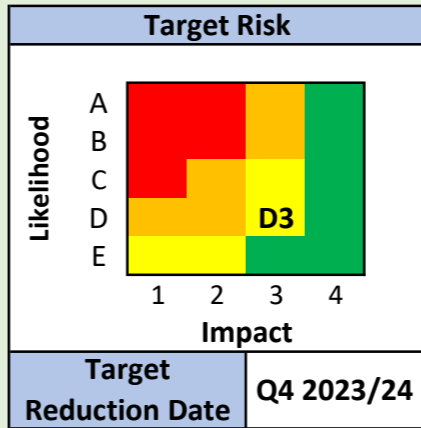
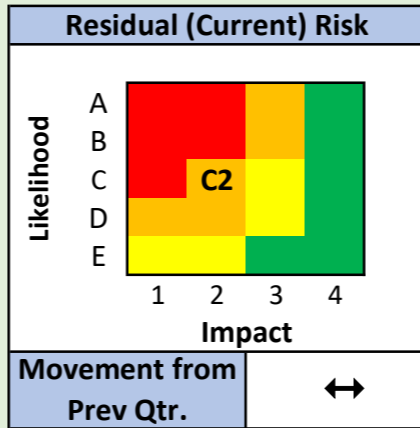
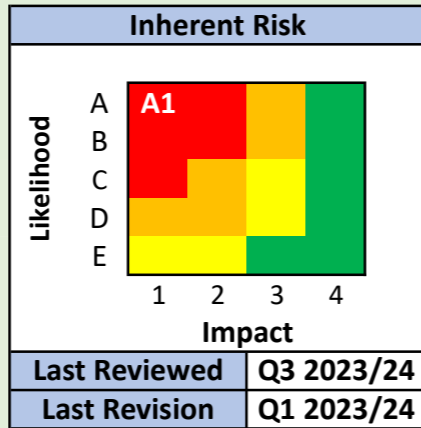


Statutory Compliance Management in Council Buildings

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.



Risk Owner(s)

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

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

Contractor

- 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**

Potential Impact(s)

Potential consequences of non-compliance with statutory maintenance:

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

Type(s) of Impact

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

Linked Risks

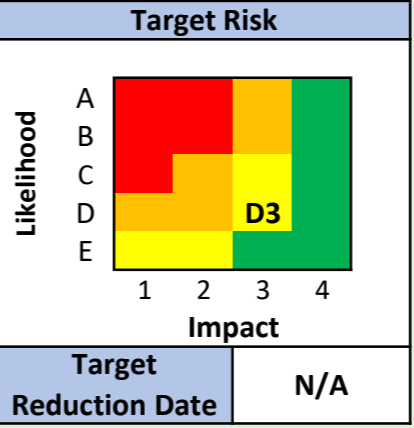
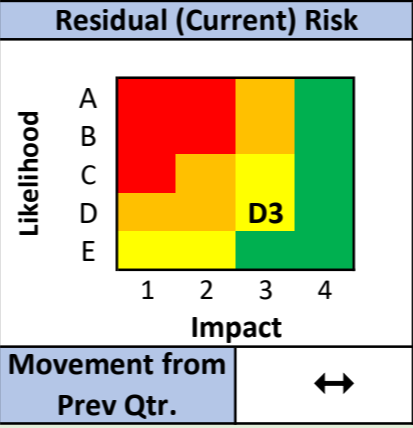
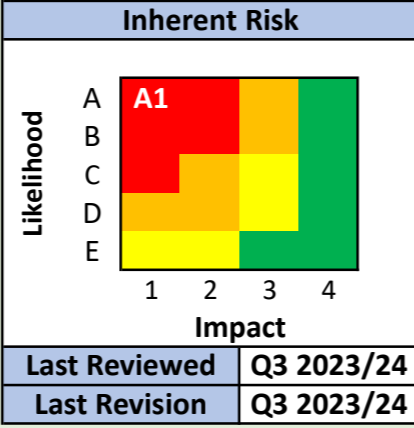
Health & Safety

Key Indicators / Measures used to monitor the risk

Compliance stats from the Corporate Health & Safety Team.

Health & Safety

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



Risk Owner(s)

Neil Hanratty
 (Donna Jones)

Councillor Chris Weaver
 Finance, Modernisation and Performance

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

- RAMIS -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.
- Due to the cumulative effect of both the current financial situation and anticipated adverse weather conditions experienced over the Autumn/Winter months the Schools' Health and Safety SLA Service will adopt a reactive model focusing on premises and building safety to ensure the highest risk is being prioritised across all schools.
- It is also anticipated the budget pressure on schools may have an impact on schools' statutory maintenance compliance.

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 - ONGOING
- A schools' risk register has been created and will be continually updated. Officers will monitor on a monthly basis - ONGOING
- Statutory compliance will be closely monitored and reported on a quarterly basis.

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

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

Linked Risks

Non-completion of Statutory Building Equipment Maintenance

Key Indicators / Measures used to monitor the risk

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

Recycling Performance

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)								
<p>Failure to meet statutory recycling performance targets within the Waste (Wales) Measure 2010</p> <p>Failure to meet target may lead to Welsh Government imposing fiscal penalty</p>				<p style="text-align: center;">Neil Hanratty (Matt Wakelam)</p> <p style="text-align: center;">Councillor Caro Wild Climate Change</p>								
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Potential Impact(s)
<p>Financial</p> <ul style="list-style-type: none"> Penalties Financial costs to improve recycling performance <p>Strategic/ Reputational</p> <ul style="list-style-type: none"> Reputational consequence with citizens and key stakeholders

What we've done/are currently doing to achieve the Residual Risk Rating
<p>Cardiff's Recycling Strategy 2022-2025 Cleaner and Greener</p> <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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. <ul style="list-style-type: none"> 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. <p>Wider Governance & Compliance</p> <ul style="list-style-type: none"> 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 - Draft Initial Strategic Project Assessment (ISPA) was submitted to WG in Q3 material recovery facility to material handling facility, outline design and business case - delivery of outline design Q4 2023/24 development of blueprint model for flats, working in partnership with Swansea council trade business waste recycling review in preparation of new legislation <ul style="list-style-type: none"> A project team of Cardiff Council, WRAP and Welsh Government meet monthly to discuss business cases and implementation programme <ul style="list-style-type: none"> 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 - Meeting took place with 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
<p>Cardiff's Recycling Strategy 2022-2025 Cleaner and Greener</p> <ul style="list-style-type: none"> Phase 1 segregated recycling rolled out to 36,000 properties on 20th February 2024 - resident communications and bags/ caddies being delivered in Jan/ Feb 2024 along with outreach / engagement events in Hubs and other settings Phase 2 segregated recycling rolled put to further 80,000 properties in Jun-Aug 2024 Outline business case to be developed for a future repair and re-use 'superstore' - working with Cardiff Met on a cleaner growth relating to circular economy - Q2 2024/25 <p>Until this work is completed future repair/ reuse superstore is on hold to ensure a sustainable approach which is not detrimental to charities and grass root businesses.</p> <ul style="list-style-type: none"> 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 Q2 is 62.42% 2024/25 = 70% <p>Wider Governance & Compliance</p> <ul style="list-style-type: none"> 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 - letter from Cabinet Member to be drafted to minister explaining council position in Q4 2023/24 Material recovery facility to material handling facility - delivery of outline design Q4 2023/24

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

Linked Risks
<p>Directorate Risk Register risks:</p> <p>RNS 11 - Financial Pressures</p>

Key Indicators / Measures used to monitor the risk
<ul style="list-style-type: none"> 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	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>Failure to deliver on aspects of the School Organisation Programme, which is significant in value and complex. The programme consists of Band B (£284m) 21st Century Schools, asset management improvement work, ICT and sufficiency projects. The programme of work spans across a number of directorates, requires significant capacity and has significant capital spend.</p>				<p>Mel Godfrey (Richard Portas)</p>	<p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>								
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	<p style="text-align: center;">What we've done/are currently doing to achieve the Residual Risk Rating</p>			<p style="text-align: center;">What we plan to do to meet target</p>									
<p>Potential Impact(s)</p> <ul style="list-style-type: none"> • Further degeneration of school buildings • Increase in school closures due to building issues • Rise in asset management backlog • School buildings that are not suitable for teaching and learning • Insufficient schools to provide appropriate education for all learners in the local authority area • Insufficient places in ALN settings across the city, leading to costly placement in out of county & private settings • Project cost and time overruns • ICT investment programme is not delivering value for money and supporting the curriculum 	<ul style="list-style-type: none"> • 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. • The ICT School Investment Programme is currently under review. Work is underway to determine new processes and procedures to ensure value for money for schools and to support delivery of the new curriculum. • 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. 			<ul style="list-style-type: none"> • SOP Strategy is due to be presented to Cabinet in Q4 2023/24 including delivery of additional 132 places for September 2024. • 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 									
<p style="text-align: center;">Type(s) of Impact</p>	<p style="text-align: center;">Linked Risks</p>			<p style="text-align: center;">Key Indicators / Measures used to monitor the risk</p>									
<ul style="list-style-type: none"> <li style="width: 50%;">• Reputational <li style="width: 50%;">• Health & Safety <li style="width: 50%;">• Legal <li style="width: 50%;">• Stakeholder <li style="width: 50%;">• Financial <li style="width: 50%;">• Health and Wellbeing <li style="width: 50%;">• Social <li style="width: 50%;">• Sustainability 				<ul style="list-style-type: none"> • 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	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>The number of schools with deficit budgets and/or the overall value of deficit budgets increases, or that those schools (particularly in the Secondary sector) with existing deficit budgets do not deliver agreed deficit recovery plans.</p>				<p>Mel Godfrey</p>	<p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>								
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	<ul style="list-style-type: none"> 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. 			<ul style="list-style-type: none"> Continue to work with schools in deficit Ongoing Collate individual school budget impact assessments Ongoing 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. Q4 2023/24 Continue to develop Efficiency Board arrangements to have oversight of efficiency gains to school system Ongoing SOP Strategy - methodology worked to provide range of options Ongoing 									
Potential Impact(s)													
<ul style="list-style-type: none"> An overall deficit arising from schools budgets would count against the funding available for the Council Schools with deficit budgets may struggle to adequately fund the resources required to achieve the desired levels of educational attainment Schools with deficit budgets may struggle to adequately fund maintenance of school buildings creating an issue for other budgets, 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 													
Type(s) of Impact	Linked Risks			Key Indicators / Measures used to monitor the risk									
<ul style="list-style-type: none"> Reputational Legal Financial 				<ul style="list-style-type: none"> School budget monitoring position Number of schools setting deficit budgets Final budget balances 									

Education - School Improvement & Attainment

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>The risk that school improvement is not delivered as planned, in light of changing accountability and assessment arrangements and National Reforms (Curriculum and Additional Learning Needs).</p>				<p>Mel Godfrey</p>	<p>Councillor Sarah Merry Deputy Leader & Education, Employment & Skills</p>								
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	<ul style="list-style-type: none"> There are currently 6 schools in an Estyn follow up category. The LA and CSC are continuing to support schools in the roll out Curriculum for Wales 2022. Close working with schools to deliver ALN Reform and to support ALN in schools. There is strong quality assurance of EOTAS Education settings. Professional Learning Offer is in place in partnership with CSC. 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. Appointment has been made for key post Assistant Director 			<ul style="list-style-type: none"> Respond to the outcome of the Ministerial Middle Tier Review of roles and responsibilities of Local Authorities and School Improvement Services. Q4 2023/24 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. <p>ONGOING</p> <ul style="list-style-type: none"> 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 									
Potential Impact(s)	<ul style="list-style-type: none"> Schools are not supported to improve School budgets impact negatively on pupils learning Children and young people do not reach their full potential Attendance in schools is poor and exclusions are high Schools are not able to deliver the new curriculum Impact on Estyn judgements – schools in follow up The local authority's work with the regional consortium does not deliver effective support arrangements for schools 												
Type(s) of Impact	<ul style="list-style-type: none"> 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.									

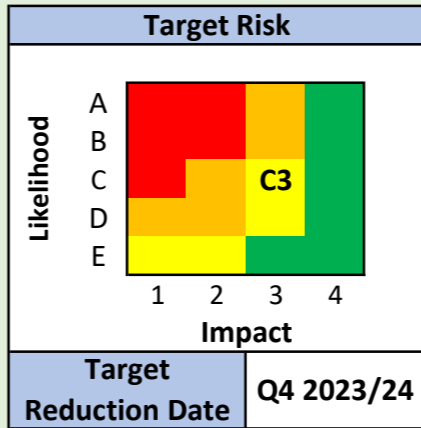
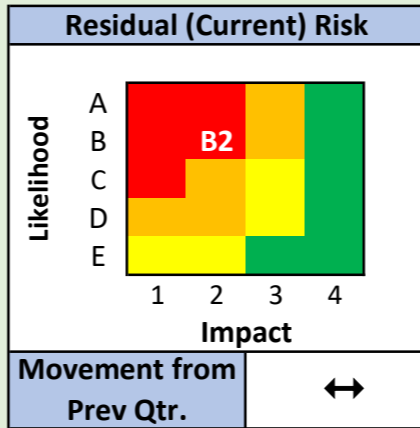
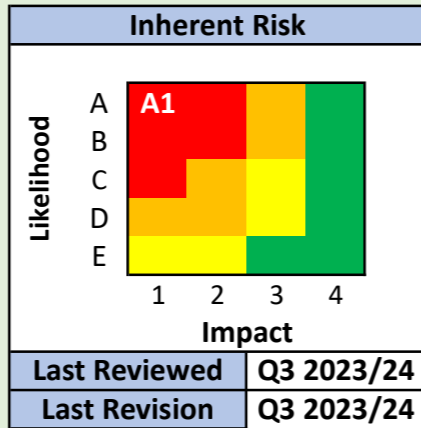
Ensuring Access

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner									
<p>Failure to meet our statutory requirements to provide education to all learners of statutory school age, in particular those with Additional Learning Needs associated with Emotional Health and Wellbeing. Associated safeguarding risks due to vulnerable children not being at school, financial risks due to escalating costs of placements and reputational risk to the Council, evidenced by increasing volume of complaints.</p>				Mel Godfrey	Councillor Sarah Merry Deputy Leader & Education, Employment & Skills								
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Target Reduction Date	Q3 2023/24												
Potential Impact(s)		What we've done/are currently doing to achieve the Residual Risk Rating		What we plan to do to meet target									
<ul style="list-style-type: none"> •Increase in OOC spend. •Children not in education pending identification of suitable ALN provision. •Children and young people who are not in an environment where they can be safeguarded could be at risk of significant harm. •Outcomes for young people who requiring provision for their ALN related to EHW do not improve and face difficulties in making a positive transition Post 16. •Young people with complex mental health needs do not receive psychological support. Children not in education whilst parents attempt to secure places of choice. •Financial impact of providing temporary accommodation. Reputational risk due to public interest groups protesting about available places. 		<p>•The LA initially began with the spot purchasing of places through Horizon to provide enhanced tuition, the model was acceptable however officers found that the quality of provision provided by Horizon was not sufficient. In response to this Education used the Horizon Model as a foundation to create and further develop our own in-house approach with the newly developed Team@Severn. This change lead to Significant savings compared to the cost of Horizon places with added flexibility. The further review of our in-house tuition offer has ensured a stronger programme for children not in placement providing further value for money. The Team@severn have increased engagement and support hours offered to learners with emotional health and wellbeing needs, physical needs and those awaiting placement.</p> <p>•Extended Pupil Referral Provision (PRU) has been developed, with further staff appointed, building works progressing well with a phased opening from January 2024. Gradual intake of pupils has begun at Nyth y Deryn, with the aim to gradually increase cohort size throughtout Summer 2024. Refurbishment works remain underway for Phase 2 with a target be completed in Spring 2024. A permanent location is still under review due to the Oakhouse, St Mellons not being a suitable site, to be further considered as part of the rolling programme. Secured additional classes at ACT provision. Progress and impact against short to long term solutions continue to be monitored monthly by the senior education team. Permanent site no longer planning to bring forward through lease accomadation, wider position being considered as part of the Rolling Programme.</p> <p>•Proposal to develop additional ALN across the city to increase places has been approved by Cabinet. Consulting on 141 additional formal ALN places that will be approved and in place by September 2024. The wider strategic position around Ensuring Access is being considered as part of the School Organisation and Planning Strategy Rolling Programme that will be considered by Cabinet in March 2024.</p> <p>•Education to continues to hold fortnightly cross-directorate meeting to carry out review of pupils who are not in provision to identify specialist provision to accommodate their needs.</p> <p>In addition to the rolling programme Band B is expanding the total number of ALN places in the city to circa 190 places, to the meet increased complexity of places across the city for young people.</p>		<ul style="list-style-type: none"> •Continue to develop the bespoke model of support now on offer to Young People through the Team@Severn. •Increase the capacity and scope of Community Teaching and the Community Teaching Model with the Community Teaching Team. Continue to progress with Family Engagement elements now overseen by Skills & Support Workers. Education has found that this approach has been more efficient and better caters to the needs of Young People. •Building our own capacity - Prioritisation of ALN provision and places This is complete due increased in the Band B and SRB. Open a new purpose-built Pupil Referral Unit and Carnegie Centre. (These plans are still in place, awaiting appropriate site for PRU) 									
Type(s) of Impact		Linked Risks		Key Indicators / Measures used to monitor the risk									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Safeguarding</td> <td>Legal</td> <td>Financial</td> </tr> <tr> <td>Social</td> <td>Reputational</td> <td></td> </tr> </table>		Safeguarding	Legal	Financial	Social	Reputational		<p>Risk to relocation of vulnerable children to Cardiff as part of Children's Services</p>		<p>Numbers of Children Not In Education Provision Out of County Placement Spend</p>			
Safeguarding	Legal	Financial											
Social	Reputational												

Air Quality & Clean Air Strategy

Description

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



Risk Owner(s)

Andrew Gregory
(Jason Bale)

Councillor Caro Wild
Climate Change

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

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

Monitoring

- Non-automatic nitrogen dioxide (NO2) monitoring sites at 135 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
- 4 near real time indicative automatic analysers located predominantly in Cardiff's City Centre, 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. Initial collated data from May-October indicates that concentrations at all locations comply with existing Air Quality Standards for NO2 and PM10 – comply with EU Limit Value for PM2.5.

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 2023.
- 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. Update Final Plan has been submitted to WG and Expert panel meeting took place on 18th Dec, Anticipated final decision from the Minister will be provided end of Feb 24.

Taxi Scheme:

It is has been requested with WG as to whether the Council can repurpose to use the 5 EV Taxis as vehicles within the community transport services and council operations to support public services and remain operating in the city.

- 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 (End Feb 2024) and approval of final plan the revised programme is anticipated;
 - Q4 2023/24 Commence tender process
 - Q1/ Q2 2024/25 Complete tender process an New Cabinet Paper to award tender
 - Q3/4 2024/25 On site (with the road closed - this will be achieving compliance)
 - Q2 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**

Owing to persistently elevated NO2 concentrations at one monitoring location in the Llandaff AQMA, it is hoped a targeted assessment of additional options for this AQMA will be the next priority. It is proposed that a grant bid will be made to the WG LAQM Support fund for 24/25 to undertake further detailed assessment of options for Llandaff as part of an updated CASAP. **Q4 2023/24**

Potential Impact(s)

Health & Safety

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

Legal & Regulatory / Financial

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

Type(s) of Impact

- Health
- Regulatory
- Financial
- Strategic
- Reputational

Linked Risks

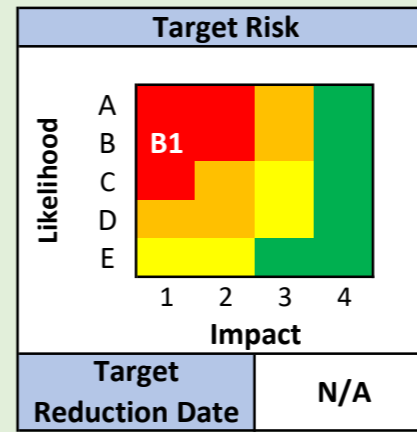
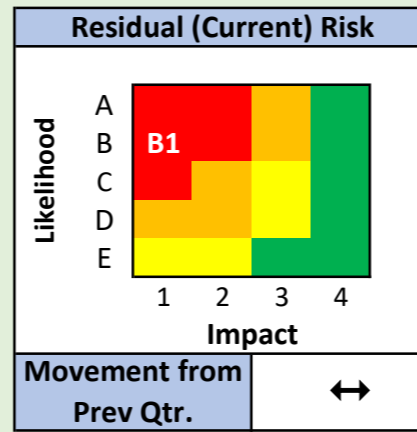
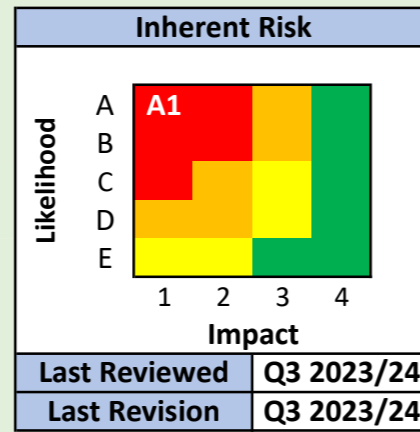
Key Indicators / Measures used to monitor the risk

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

City Security

Description

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



Risk Owner(s)

Chris Lee
(Gavin Macho)

Andrew Gregory

Councillor Huw Thomas
Leader

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

- All existing identified high-risk, crowded places have been formally assessed
- Some crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge
- CONTEST Protect/Prepare Task & Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'
- The work done in the city to address security concerns has been predominantly focused on the provision of physical assets to mitigate against the threat of hostile vehicles
- Areas protected against the threat of hostile vehicles include the Principality Stadium, St Mary Street, Queen Street, St David's Dewi Sant and Cardiff Bay.
- The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters
- The Government National Terror Risk Rating set by the National Counter Terrorism Office remains at Substantial or an attack is likely.
- Following on from the scrutiny of the Home Affairs Select Committee and Stakeholders the Government has decided to go through a further eight week public consultation on Martyn's Law. The main concern relates to ensuring that the Law is proportionate. The Standard Tier of venues (799 and below) is felt to be over burdened. The consultation closes on the 18th March. The PSPG is actively supporting the consultation and looks forward to seeing the outcomes.
- 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.
- The first part of the City Centre Consultation has been concluded. Following a briefing and wide ranging discussions with representatives from the Hotel, Entertainment, Finance and Retail sectors. Feedback centred on sharing information before events and understanding how we can communicate during events when things go wrong. We are now considering how best to satisfy these requests.
- The PSPG agreed the concept of the City Centre Strategy being developed with Sectors (specific identified generic business types) and no longer based on geographical areas.
- 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 be 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 arrangements. Shovel ready projects ready to go. **ONGOING**
- The PSPG accepted the work plan that went into a broader view of Protective Security to include Cyber Security, Insider Threat, Designing in Security as well as Hostile Vehicle Mitigation and general preparedness **ONGOING**

Potential Impact(s)

Immediate / Short-Term

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

Ongoing / Longer Term

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

Type(s) of Impact

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

Linked Risks

Key Indicators / Measures used to monitor the risk

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

Climate Change - Biodiversity

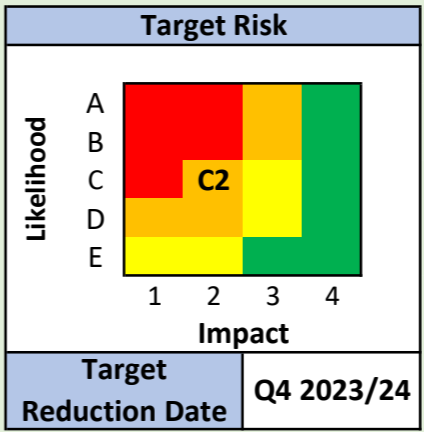
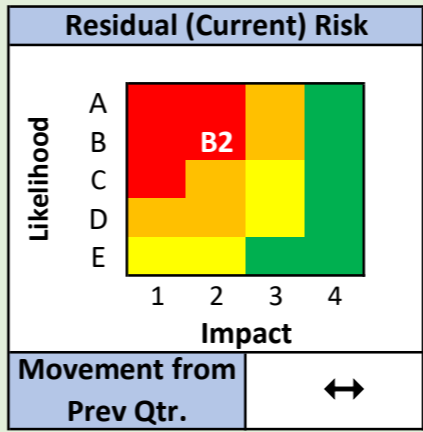
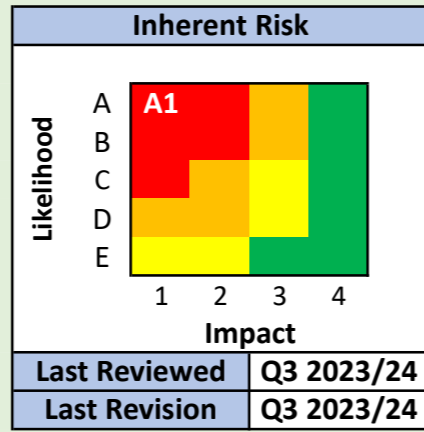
Description
Cardiff is not able to manage the effects of climate change and energy security due to lack of future proofing for key (social and civil) infrastructure and business development.

Potential Impact(s)

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

Type(s) of Impact

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

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

- Cabinet Report of 14/10/21 Recommended the Council sign the Edinburgh Declaration.
- Developed a Biodiversity and Resilience of Ecosystems Duty Forward Plan, to implement the statutory duty to seek to maintain and enhance biodiversity and in doing so to promote ecosystem resilience.
- Undertaken an 'iTree-Eco' study to look at the value of trees in terms of the ecosystem services that they provide.
- Working with neighbouring Local Authorities through the Local Nature Partnership Cymru project to share ideas and best practise for enhancing biodiversity across the City and identifying opportunities for cross-boundary projects to improve habitat and species connectivity and increase ecosystem resilience.
- Contributed to the Central South Wales Area Statement recently published by Natural Resources Wales.
- In 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 - 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 for LDP concluded in October. Extensive consultation on Local Biodiversity Action Plan (LBAP) undertaken in Q3.
- 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
- The LNP has been awarded WG funding for Local Places for Nature to support the work of the LNP in the city. Funding is in place until March 2025:
 - This funding is supporting the Local Nature Partnership Co-ordinator and a temporary Community Ranger Post to assist with LNP and Local Places for Nature delivery.
 - The LNP has been coordinating a public consultation running a series of workshops and online including a schools workshop to seek peoples views on nature in Cardiff to feed into the Nature Recovery Action Plan for Cardiff (NRAP). Consultation completed end of January 2024
- 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
 - The planting programme for 23/24 commenced in Q3 and at the end of the period over 11,000 specimens were planted.

What we plan to do to meet target

- Work is progressing on the Evidence Base and detailed policy areas for the "Deposit" LDP which will be submitted to Cabinet and Council in Q2 2024/25 in accordance with the approved Delivery Agreement.
- 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 2024/25
- The appointment of a replacement Planner (Ecologist) has been further delayed due to financial pressures and inability to secure suitable applicants to the advertised vacant post. It is anticipated that the post will be re-advertised in Q4 for appointment by end Q1 2024/25
- 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.
- Implement Planting Programme and action plan for maximising opportunities for increasing canopy within the highway / street scene - Q3/Q4 2023/24.
- Nature Recovery Action Plan for Cardiff (NRAP):
 - Consultation results to be collated by March 2024. Q4 2023/24
 - NRAP to be completed by March 2025. Q4 2024/25

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.

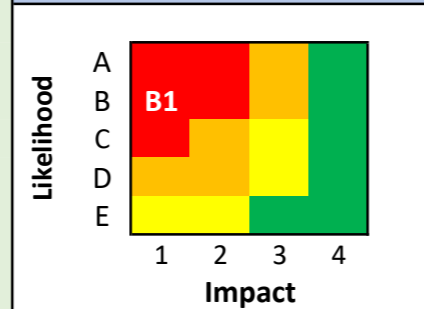
Climate Change - Energy Security & Decarbonisation

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)

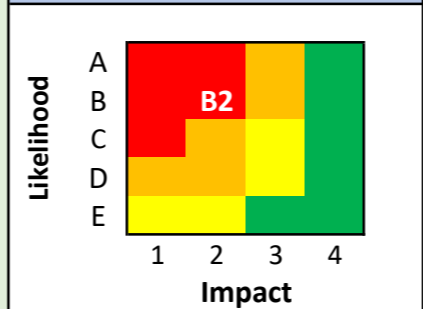
- Energy security (energy efficiency & decarbonisation of supply)**
- Inconsistent energy supply
 - Increased costs
 - Inability to deliver public services
 - Decrease in economic output
 - Disruption to the supply of utilities
 - Increased transport costs
 - Increased costs for heating / providing services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

Inherent Risk



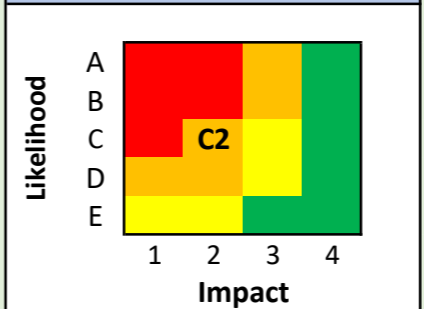
Last Reviewed Q3 2023/24
Last Revision Q2 2022/23

Residual (Current) Risk



Movement from Prev Qtr. ↔

Target Risk



Target Reduction Date Q4 2023/24

Risk Owner(s)

Andrew Gregory
(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 currently out to tender- 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 annually and included in One Planet Cardiff Annual Review. This has been used to inform the priorities in the action plan and progress will be monitored and reported annually. Since the 2019 baseline year, the Councils operational emissions have reduced by 11.7%
 - Developing a Local Area Energy Plan (LAEP) for the City to provide more robust estimates of the levels of energy demand reduction, and clean energy generation required to meet decarbonisation scenarios
 - New "Green Paper" review proposed to refresh and refocus Carbon Reduction plans, with this work benefitting from data generated and studies complete during the first years of the One Planet programme
 - Delivering Low Emission Transport Strategy - approved April 2018 and implementation of action plan underway:
 - over 70 publicly available EV chargers 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,
 - Additional grant funding secured to support the purchase/leasing of more EV fleet vehicles
 - New Domestic Retrofit grant scheme launched - (LA Flex). 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.
 - 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 Summer 24
 - Develop a "Green Paper review of One One Planet Cardiff, benefitting from data collected and the LEAP study, and outlining funding requirements, partnership delivery options and investment opportunities for the delivery of our decarbonisation goals
 - Deliver Steel Frame Retrofit scheme by Q4 24/25 and work with CCR to maximise the uptake of "LA Flex" Energy Company Obligation funded works and small measures domestic retrofit initiatives during 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.

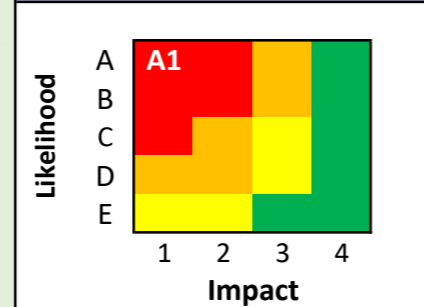
Potential Impact(s)

- 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

Type(s) of Impact

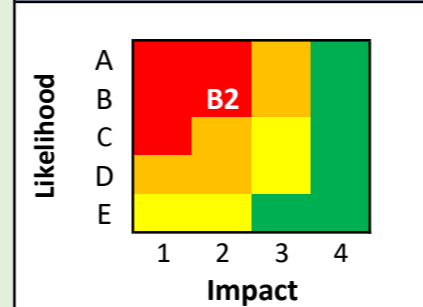
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|--------------------|---------------------------|
| • Service Delivery | • Health & Safety |
| • Reputational | • Partnership |
| • Legal | • Community & Environment |
| • Financial | • Stakeholder |

Inherent Risk



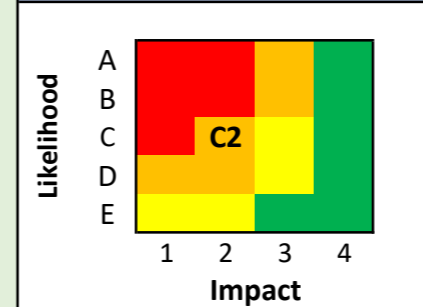
Last Reviewed	Q3 2023/24
Last Revision	Q3 2023/24

Residual (Current) Risk



Movement from Prev Qtr.	↔
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Target Risk



Target Reduction Date	Q4 2023/24
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Risk Owner(s)

Andrew Gregory (EMU/Gary Brown)	Councillor Caro Wild Climate Change
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What we've done/are currently doing to achieve the Residual Risk Rating

The Council has declared a Climate Emergency

Extreme Heat

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

Extreme Cold/ Snow

- Implementation of Council's Cold Weather Response Plans
- Winter Service review undertaken to consider the potential impact of Covid-19:
 - concentration made to build resilience into Winter Service as high risk to staff resource due to illness and the requirements of isolation
 - required training and staff rotas put in place, however there is a limited available resource with the required skillsets within the authority
 - investigations into feasibility/ availability of external assistance
 - Winter Service 22/23 delivered in line with statutory requirements
 - Winter service 23/24 commenced in Q3 with two additional routes added to the rota. The additional routes were introduced to allow for the wholesale introduction of the 20mph speed limit to ensure that the treated network, that has remained unchanged, is covered within appropriate timescales. The additional routes have required more trained officers to be employed into the service, thus putting additional strain on the 'day jobs', and have increased staff related costs - overtime, standby and also vehicles costs - hire, fuel etc.

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
- Review impact of 20mph in terms of financial/ service pressures - risk remains for disruption to the service next winter if the current pandemic continues/ other new external factors emerge - **Q1 2024/25**

Linked Risks

Coastal Erosion
Air Quality
Business Continuity

Linked Documents

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

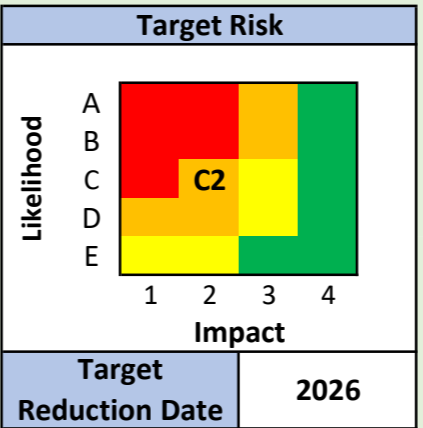
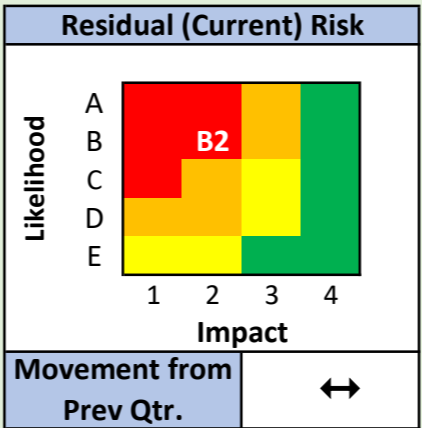
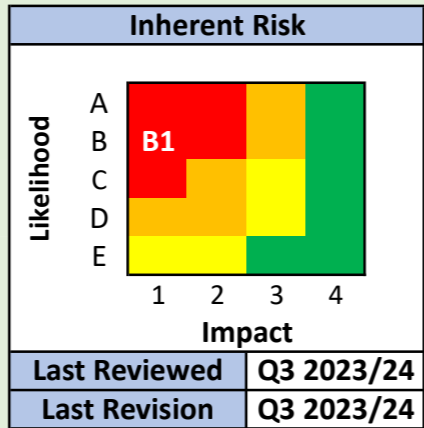
Key Indicators / Measures used to monitor the risk

Climate Change - Flooding

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)
Cardiff is not able to manage the effects of climate change and energy security due to lack of future proofing for key (social and civil) infrastructure and business development.	<p>Inherent Risk Matrix: Likelihood: A, B, C, D, E; Impact: 1, 2, 3, 4. Risk rating: B1.</p>	<p>Residual (Current) Risk Matrix: Likelihood: A, B, C, D, E; Impact: 1, 2, 3, 4. Risk rating: B2.</p>	<p>Target Risk Matrix: Likelihood: A, B, C, D, E; Impact: 1, 2, 3, 4. Risk rating: C2.</p>	<p style="text-align: center;">Andrew Gregory (Gary Brown/ Simon Dooley Simon Gilbert/ Stuart Williams)</p> <p style="text-align: center;">Councillor Caro Wild Climate Change</p>
<p style="text-align: center;">Potential Impact(s)</p> <p>Flood & Storm</p> <ul style="list-style-type: none"> 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 	<p style="text-align: center;">Last Reviewed Q3 2023/24</p> <p style="text-align: center;">Last Revision Q2 2023/24</p>	<p style="text-align: center;">Movement from ↔</p> <p style="text-align: center;">Prev Qtr.</p>	<p style="text-align: center;">Target Q4 2023/24</p> <p style="text-align: center;">Reduction Date</p>	
	<p>What we've done/are currently doing to achieve the Residual Risk Rating</p> <p>The Council has declared a Climate Emergency</p> <p>Flood & Storm</p> <ul style="list-style-type: none"> Working with partners within the Local Resilience Forum (LRF) to support the management of this risk including supporting the emergency response to this risk Supporting the enhancement of the public's own resilience through advice and guidance available from the EVAC Cardiff Website Implementation of Schedule 3 of the Flood and Water Management Act 2010 requires all new development over 100m2 to implement sustainable drainage, resilient to flooding We have introduced Flood Incident Management software to provide better understanding of spatial distribution of flood events filtered by source, and determine priority areas for future flood alleviation schemes to be implemented (subject to WG funding bid opportunities). Successful funding bids were submitted and funding awarded in 20/21 for Business Justification Cases for a number of these schemes, with grant funding also now awarded for 21/22 for continuation of these schemes. Applications to WG were successful for grant funding in 2021/22 to support studies and implementation of localised flood prevention schemes. Ongoing CCTV and asset capture work taking place in drainage networks to review high risk areas. Asset management - Delivery of Flood Management and Coastal Improvement Schemes and rationalise/ prioritise gully maintenance schedule based on the outputs of the Flood Incident Management software - Phase 1 of new gully maintenance schedule completed. Highway Asset Management Plan approved by Cabinet in Q4 2022/23 - This captures the asset types, responsibilities and financial challenges. 			<p>What we plan to do to meet target</p> <p>Flood & Storm</p> <p>The following actions are ongoing :</p> <ul style="list-style-type: none"> Completion by October 2023 of a draft combined Flood Risk Management Strategy and Flood Risk Management Plan as required by The Flood and Water Management Act (2010) and The Flood Risk Regulations (2009) respectively. The final strategy must be submitted to Welsh Government and published by March 2024 - 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 Q4 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 <p>Flood Risk Management Programme:</p> <ul style="list-style-type: none"> 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 Q4 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
<p style="text-align: center;">Type(s) of Impact</p> <ul style="list-style-type: none"> Service Delivery Reputational Legal Financial Health & Safety Partnership Community & Environment Stakeholder 	<p style="text-align: center;">Linked Risks</p> <p>Coastal Erosion Air Quality Business Continuity</p>	<p style="text-align: center;">Linked Documents</p> <p>https://www.evaccardiff.co.uk/ https://www.cdp.net/en</p>	<p style="text-align: center;">Key Indicators / Measures used to monitor the risk</p> <p>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</p>	

Coastal Erosion

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



Risk Owner(s)

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

Councillor Caro Wild
Climate Change

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

- Incident management arrangements are in place, which whilst not preventative, represent a level of emergency management for a flood and coastal erosion risk event occurring in a significant storm event.
Coastal Defence Scheme:
- The Flood Risk Management Team are undertaking detailed design for the coastal defence scheme - the necessary works are holistic and cannot be phased, therefore residual risk rating cannot be lowered until the completed construction of the coastal defence scheme in its entirety.
- The inundation risk will be improved by implementing the coastal defence scheme, which will provide defence for a 1 in 200 year severe weather event, plus an allowance for climate change influence of 40%.
- The total costs associated with the Design, Early Contractor Engagement and Construction phases were originally estimated at £10.9m (Welsh Government 75% funding = £8.2m and CCC 25% funding = £2.7m)
- Formal application was submitted to Welsh Government (WG) under the WG Coastal Risk Management Programme and development of the Detailed Design and Full Business Case (FBC) was programmed for completion in May 2020, however was impacted by Covid-19.
- Work ongoing with Emergency Management to formulate interim measures.
- 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. **Q4 23/24**
- Various planning and environmental conditions have been and continue to be addressed.

Sampling and testing, to fulfil the aforementioned conditions, are ongoing at specific dates/times to align to ecological requirements.
Due to the sale of the land directly adjacent to the foreshore, which was the intended location for the site compound and rock armour material storage, investigations into a new location are ongoing.
Although site investigation works and some preparation works can commence, there is a risk of delay of on-site major construction works due to the land sale issue. Fortnightly meetings with the contractor are ongoing and positive to date.

Potential Impact(s)

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

Type(s) of Impact

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

Climate Change risks

Key Indicators / Measures used to monitor the risk

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

Performance Management

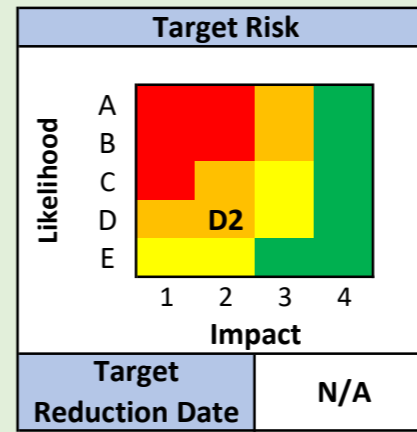
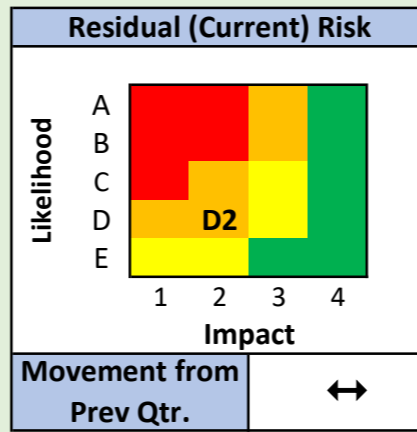
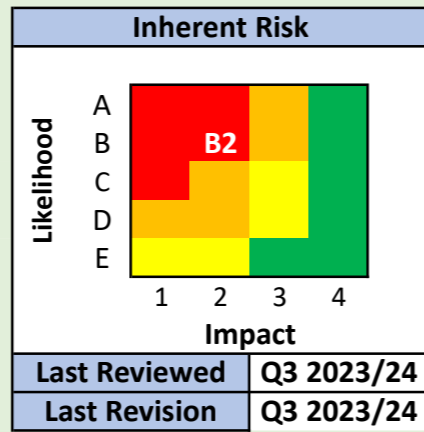
Description

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

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.



Risk Owner(s)

Sarah McGill
(Gareth Newell)

Councillor Chris Weaver
Finance, Modernisation and Performance

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

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. 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.

The Council's Mid-Year Self-Assessment of Performance for 2023-24 was formally considered by Performance Panel (which brings together all Scrutiny Chairs) on November 28th, the Policy Review and Performance (PRAP) Scrutiny Committee on December 13th and Cabinet on December 14th. The report was also considered by the Governance & Audit Scrutiny Committee on January 23rd. Performance at the mid-year point is presented via the Corporate Performance Dashboard, which is available to all Members, as well as the public, as an interactive appendix to the Cabinet Report.

In November, Audit Wales completed a review of the use of performance information. Only one recommendation was given, in relation to strengthening information on service user perspectives, which the Council has been accepted. The Governance and Audit Committee received an update on this report and the Council has a programme of work which it is already taking forward in response to the recommendation. From 24-25 onwards, all Directorate Delivery Plans (DDPs) will include measures on service user perspectives and citizen insights.

What we plan to do to meet target

To improve the presentation of performance management information, the Corporate Performance Dashboard will be updated over Q4 to reflect the updated steps and KPIs due to feature in the Corporate Plan 2024-27. Corporate Plan Challenge Sessions have been scheduled for January and February 2024 to agree these new priorities.

The Corporate Performance 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. User feedback will continue to be collected to inform improvements.

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.

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)

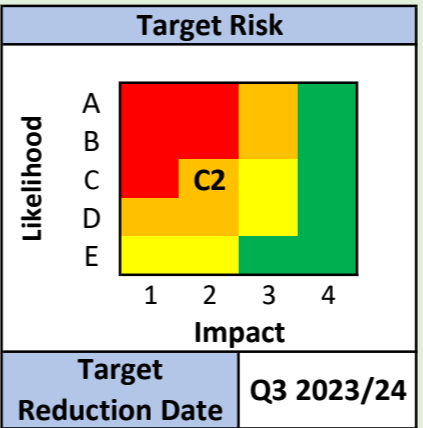
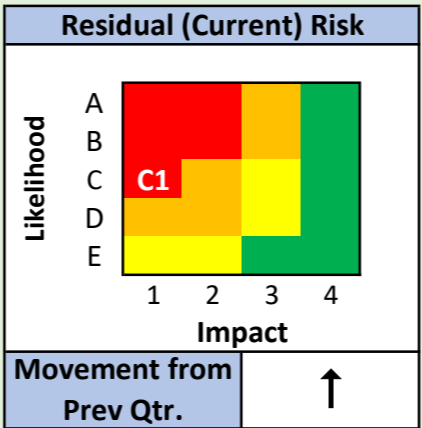
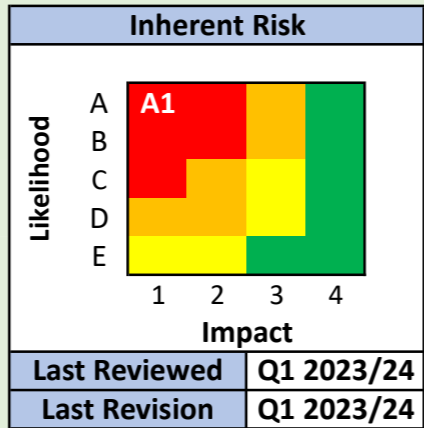
Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)									
<p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the unplanned drawdown of reserves.</p>				<p>Chris Lee (Ian Allwood)</p>	<p>Councillor Chris Weaver Finance, Modernisation and Performance</p>								
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: #d9e1f2;">Last Reviewed</td> <td>Q3 2023/24</td> </tr> <tr> <td style="background-color: #d9e1f2;">Last Revision</td> <td>Q3 2023/24</td> </tr> </table>	Last Reviewed	Q3 2023/24	Last Revision	Q3 2023/24	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: #d9e1f2;">Movement from Prev Qtr.</td> <td style="text-align: center;">↔</td> </tr> </table>	Movement from Prev Qtr.	↔	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: #d9e1f2;">Target Reduction Date</td> <td>Q4 2023/24</td> </tr> </table>	Target Reduction Date	Q4 2023/24		
Last Reviewed	Q3 2023/24												
Last Revision	Q3 2023/24												
Movement from Prev Qtr.	↔												
Target Reduction Date	Q4 2023/24												
	What we've done/are currently doing to achieve the Residual Risk Rating			What we plan to do to meet target									
	<ul style="list-style-type: none"> Clear financial procedure rules 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 collectively 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 			<ul style="list-style-type: none"> 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. 									
Potential Impact(s)	<ul style="list-style-type: none"> Inability to balance spend against budget, for the financial year Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet Corporate Plan objectives Requirement to draw down from General Reserves at the year end 												
Type(s) of Impact	<ul style="list-style-type: none"> Service Delivery Reputational Legal Financial 		<ul style="list-style-type: none"> Stakeholder 		Financial Resilience								
Linked Risks			Key Indicators / Measures used to monitor the risk										
			<ul style="list-style-type: none"> 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

Within the context of there being a Budget Gap of £142 million for the period 2025/26 to 2028/29. There is a risk of:

- Failure to deliver a balanced annual budget.
- Failure to provide a fully informed Medium Term Financial Plan along with a timely strategy to address resultant gap.
- Lack of appropriate mechanisms to identify and manage unexpected financial liabilities.



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

2023/24 and Medium Term

- Regular monitoring to understand the in-year position and gain early insight into emerging risks which includes earmarked reserves review 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 Treasury Management Strategy that identifies borrowing interest cost and refinancing 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 areas of financial challenge and ensuring the appropriateness of internal charges.
- 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.
- Established a corporate approach to business case development, viability assessment, 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.
- Development of 2024/25 Fees & Charges using Income Generation Framework- has assisted income planning and visibility of income streams relative to costs etc.

What we plan to do to meet target

2024/25 and the Medium Term

- Further strengthening links between financial planning and asset management strategies, which consider the current condition of assets and future requirement or activity. **Q3 2024/25**
- Direct Property Service to ensure clear, detailed plans and timescale for delivery of capital receipts targets. **Q2 2024/25**
- Maintain the enhanced focus on a multi-year position (recognising limitations where settlement information is for one year only) outlining key risks in MTFP where quantification is not possible / problematic. **Q3 2024/25**
- The level of the gap over the Medium Term is likely to require a review of budget-setting timelines and decision-making points with likely need for earlier decision-making. **Q1 2024/25**
- 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. **Q1 2024/25**
- Working with Directorates to identify cost and all available funding streams for decarbonisation. **Q3 2024/25**
- Implement financial resilience actions identified in the HRA MTFP. **Q2 2024/25**
- Ensure a finance structure with skills and adequate capacity to meet regulatory, interest rate, treasury and budgetary risk in the face of ongoing budget reduction requirements. **Q4 2024/25**

Linked Risks

Budget Monitoring (Control)

Key Indicators / Measures used to monitor the risk

- Financial Snapshot which highlights historical & current performance with regards budget monitoring, achievability of savings, levels of borrowing, and financial ratios.
- Outturn vs Budget: Main budget lines under or overspend as a % of budgeted expenditure.
- Delivery of planned savings: Total (£) unachieved planned savings as a % of total (£) planned savings.
- Use of reserves: 1) Ratio of useable reserves to Net Revenue Budget (NRB), 2) Amount of useable reserves used to balance budget as % of NRB.
- Council tax: 1) Council tax and other income as % of NRB, 2) Council tax collection rates (in-year actual).
- Borrowing: 1) Total commercial investment income as % of total net general fund budget, 2) Total commercial investments with borrowing outstanding, 3) Capital Financing Requirement related to commercial investments as proportion of overall Capital Financing Requirement, 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.
- Benchmarking data re: financial resilience produced by External Audit Bodies

Potential Impact(s)

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

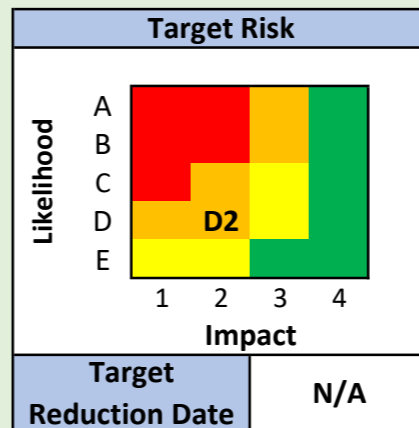
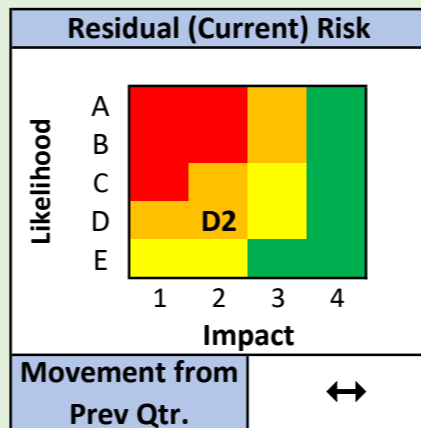
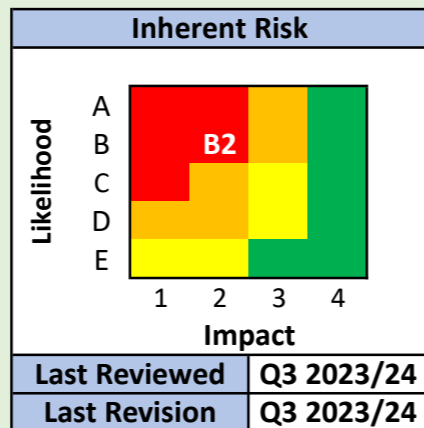
- Reputational damage to the Council.
- Needing to draw down significant unplanned amounts from reserves.
- Inability to progress policy initiatives through inadequate Business Cases and no forthcoming external funding to bridge any affordability gap.
- Inability to manage adverse external factors - e.g. adverse funding settlements, WG rent policy etc.
- Financial constraints and budget proposals result in unintended consequences such as increased instances of non-compliance and financial impropriety.
- Requirement for significant savings at short notice that are therefore not identified in a coherent, strategic way and which impact on service delivery.
- Level of borrowing limits the ability of future generations to take forward new priorities.
- Reaching the point where a s114 notice is required to be issued by the S151 Officer.

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial
- Stakeholder

Fraud, Bribery & Corruption

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



Risk Owner(s)

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 and communication of the Counter-Fraud, Bribery and Corruption Strategy and suite of associated operational policies and procedures.
- 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.
- Mandatory Fraud Awareness training in place and Anti-Money Laundering training for officers with key roles and those working in high-risk areas.
- 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.

What we plan to do to meet target

During Q1 2024/25, reinforce the Counter-Fraud, Bribery and Corruption Strategy through:

- Introducing a Counter-Fraud Risk Assessment with SMT
- Introducing a Counter-Fraud Oversight Group
- Introducing and rolling out new Fraud Awareness Training

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial

- Stakeholder

Linked Risks

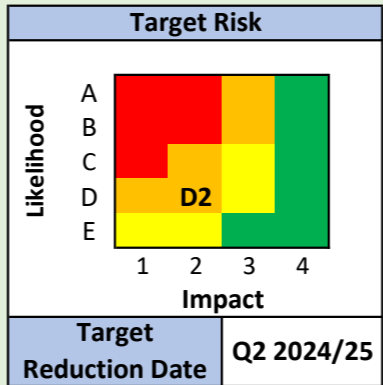
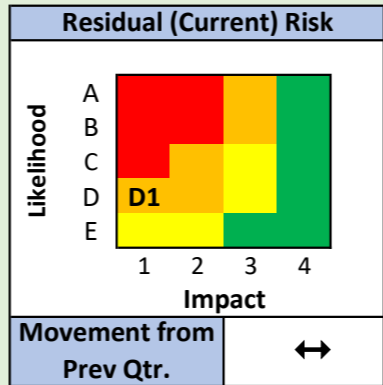
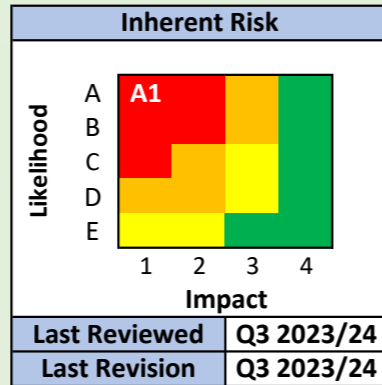
Key Indicators / Measures used to monitor the risk

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

Information Governance

Description

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



Risk Owner(s)

Chris Lee (Dean Thomas)	Councillor Chris Weaver Finance, Modernisation and Performance
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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 has been maintained for 23/24
- A corporate Information Asset Register /ROPA is held which details personal data assets held by each Council directorate and has been reviewed 2023.
- Service Level Agreements in place for all contracted services including Schools
- A new Corporate Retention schedule has been launched via SharePoint
- The Digitisation of Paper Records Strategy and associated business process changes are in place
- Mandatory Data Protection training is available for all Council staff to complete including non PC Users
- IG Awareness week is embedded and now in it's 3rd year. Communications will be released during Q3.
- Deputy DPO receives Pre Tender Reports and cross checks with DPIA'S . Updates are then provided to ISB to enable Information Governance & Security Board to have oversight of DPIA's
- An IG officer maintains a list of CCTV devices to allow the Council to respond to Surveillance Camera Code of Practice Annual survey and monitor compliance with the Code requirements
- New training modules on FOI and Data Protection launched to school staff during Q2 2023/24
- Emails and teams retention to be reintroduced Q3 2023/24 - 1 year retention to be achieved by end of Q4 2023/24

What we plan to do to meet target

- Publish an online Publication Scheme taking onward recommendations from the Information Governance & Security Board. **Q4 2023/24**
- An Information Governance Framework will be developed to help provide assurance of IG processes within Directorates. Implement during **Q2 2024/25**
- 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 Q4 2023/24 Launch Members Information Governance SharePoint pages to ensure they have resources available to facilitate their role **Q4 2023/24**

Potential Impact(s)

Leads to the Information Commissioner issuing notices of non-compliance

These could consist of:

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

Type(s) of Impact

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

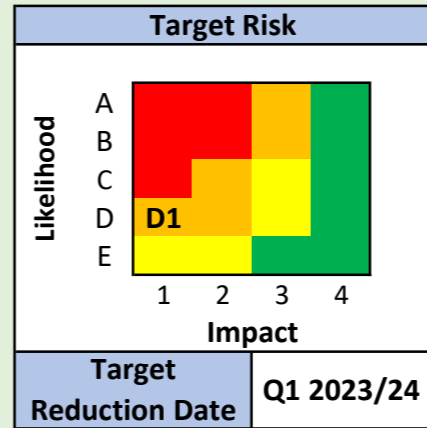
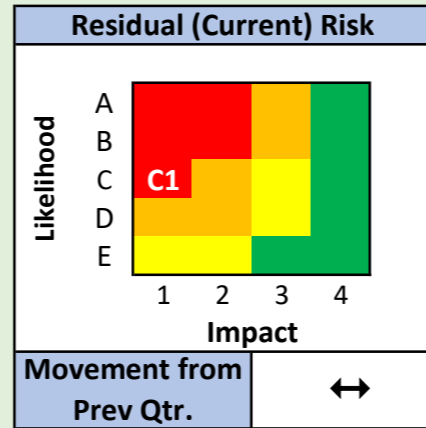
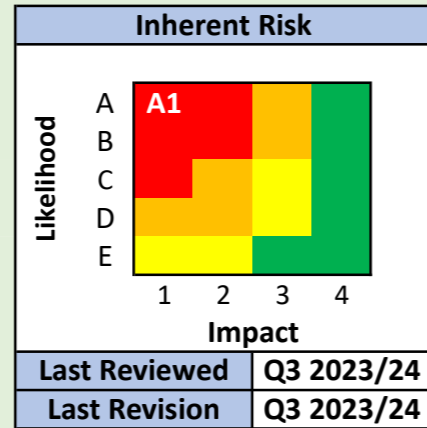
Description

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



Risk Owner(s)

Chris Lee (Phil Bear)	Councillor Chris Weaver Finance, Modernisation and Performance
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What we've done/are currently doing to achieve the Residual Risk Rating

Q3 2023/24

- Launched new Cyber Security Training across the authority (not including schools) – rolling 12 month mandatory training, compliance monitored and taken to Information Security Board Bi-monthly
- Circulate Cyber Breach “lessons learned” papers to SMT from Gloucester
- Evaluate Cyber Security Insurance for the Authority
- Include Cyber Security Core data in monthly reports circulated outside of ICT management (raising awareness and understanding)
- Education Cyber Security Audit Complete – supporting Education to assess and turned into action plan for reporting.

Ongoing

- Continue controls around high risk areas 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

Q4 2023/24

- Run Cyber Breach Workshop for senior management
- Select Senior Management to attend “Cyber Breach Workshop” funded by WLGA
- Supporting Education on the Cyber Security Audit, to assess and turned into action plan.
- A continuing focus on improving cyber security processes within the council
- Threat intelligence reporting which will inform any required changes to our cyber security processes and policies
- Liaison with key cyber security agencies to both receive and share information and guidance on best practice
- Monitoring of progress on cyber security improvement actions
- Reporting to relevant internal governance boards on cyber compliance status, threats and risks

Potential Impact(s)

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

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

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

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

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

Linked Risks

Information Governance

Key Indicators / Measures used to monitor the risk

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

Type(s) of Impact

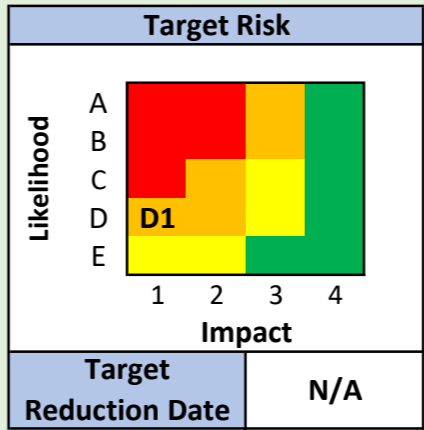
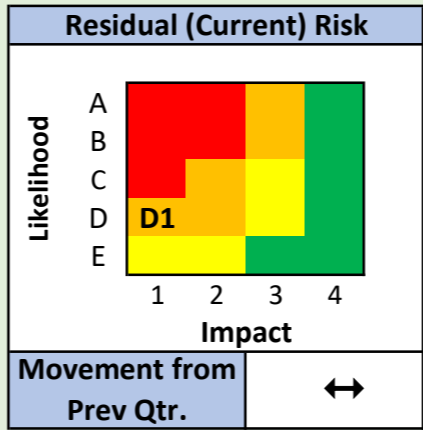
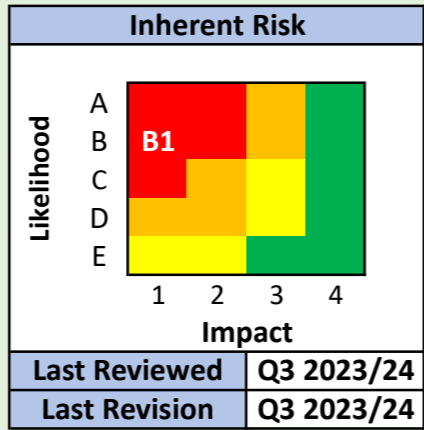
<ul style="list-style-type: none"> Service Delivery Reputational Legal Financial 	<ul style="list-style-type: none"> Health & Safety Stakeholder
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Business Continuity

Description

Large scale incident/loss affecting the delivery of services.

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



Risk Owner(s)

Chris Lee / Deborah Marles

Councillor Huw Thomas
Leader

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

- The Council has a BCM Champion who sponsors BCM at a strategic level
- We have an approved Business Continuity Policy which is aligned to ISO22301:2012
- BCM toolkit is available by contacting the Resilience Unit.
- 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.
- 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.
- 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. This work continued through 2023 for the winter of 2023-2024 this will remain monitored as a key element of our Horizon scanning.
- 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.
- The Resilience Unit revised 4x4 resources across the council to support our response capability to deal with the potential of winter storms in Q3 2023/2024.

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 Q4 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 2024/2025, targeted work with key service areas remains ongoing with target of Q4 2024/2025.
- 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.

Potential Impact(s)

- Health and Safety** – potential impact on staff and on the public relying on our most, time sensitive, critical services
- Legal action** -Failure of key services could lead to Legal action against the council
- Financial** - Failure of key services could led to significant financial cost both in terms of Ombudsman action and Enforcement action from regulatory bodies, as well as individual legal action against the corporate body where service failure leads to legal action against us from private claimants
- Reputational** - Impact on key services to the public could lead to significant reputational damage to the organisation
- Stakeholder** – Impact on key stakeholders as result of failure
- Service delivery** – Potential significant impact on service delivery to the public, impact of key services could lead to significant impacts to the public and the corporate body un delivering its services

Type(s) of Impact

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

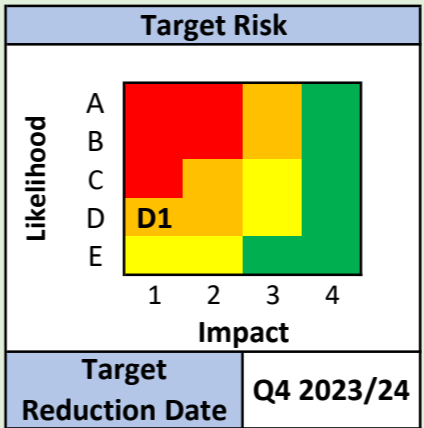
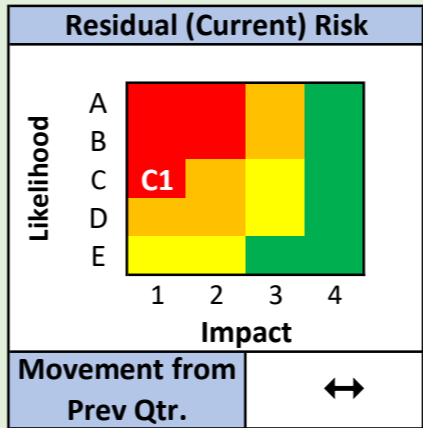
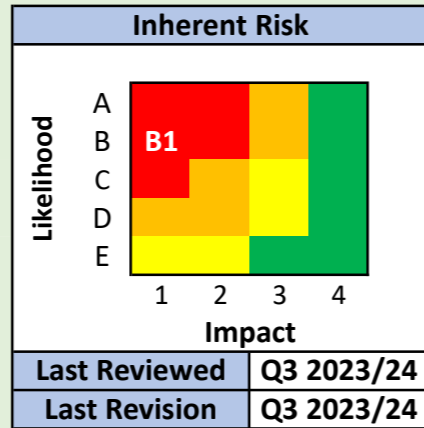
Key Indicators / Measures used to monitor the risk

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.



Risk Owner(s)

Sarah McGill
(Deborah Driffield)

Councillor Ashley Lister
Children & Families

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

- Early Help - Cardiff Family Advice and Support Services for families who do not require statutory services.
- Interventions Hub - 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 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.
- Review of panels undertaken to streamline arrangements - outcome to be implemented in Quarter 4.
- Work to address demand and accommodation sufficiency issues ongoing - with a focus on services for children with disabilities and placement provision for 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 **Q4 2023/24**.
- Implementation of Accommodation Strategy **2023-26**.
- Implementation of Workforce Action Plan **Q4 2023-24**.

Potential Impact(s)

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

Linked Risks

- Workforce Planning (Social Services)
- Safeguarding

Key Indicators / Measures used to monitor the risk

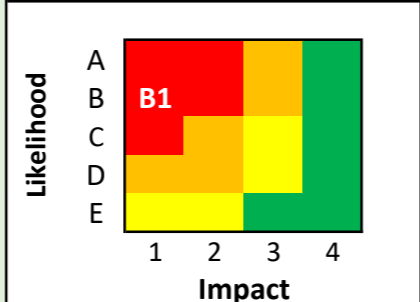
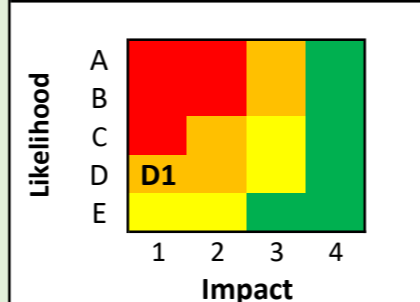
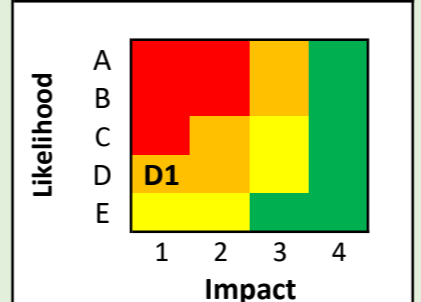
Children's Services:

- Number of Contacts / Referrals Received
- Number of children looked after
- Number of children on the Child Protection Register
- CH/012 - Percentage of assessments completed for children within statutory timescales

Type(s) of Impact

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

Description	Inherent Risk	Residual (Current) Risk	Target Risk	Risk Owner(s)														
Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners.	 <table border="1" data-bbox="872 493 1264 569"> <tr> <td>Last Reviewed</td> <td>Q3 2023/24</td> </tr> <tr> <td>Last Revision</td> <td>Q3 2023/24</td> </tr> </table>	Last Reviewed	Q3 2023/24	Last Revision	Q3 2023/24	 <table border="1" data-bbox="1282 493 1673 569"> <tr> <td>Movement from Prev Qtr.</td> <td>↔</td> </tr> </table>	Movement from Prev Qtr.	↔	 <table border="1" data-bbox="1691 493 2083 569"> <tr> <td>Target Reduction Date</td> <td>N/A</td> </tr> </table>	Target Reduction Date	N/A	<table border="1" data-bbox="2101 212 2902 569"> <tr> <td data-bbox="2101 212 2463 569" rowspan="4">Sarah McGill (Deborah Driffield)</td> <td data-bbox="2463 212 2902 262">Councillor Huw Thomas Leader</td> </tr> <tr> <td data-bbox="2463 262 2902 312">Councillor Norma Mackie Social Services (Adults)</td> </tr> <tr> <td data-bbox="2463 312 2902 363">Councillor Ashley Lister Social Services (Children)</td> </tr> <tr> <td data-bbox="2463 363 2902 569">Councillor Chris Weaver Finance, Modernisation and Performance</td> </tr> </table>		Sarah McGill (Deborah Driffield)	Councillor Huw Thomas Leader	Councillor Norma Mackie Social Services (Adults)	Councillor Ashley Lister Social Services (Children)	Councillor Chris Weaver Finance, Modernisation and Performance
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	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**
- Annual RSB plan published outlining key priorities for this year accompanied by strengthening / streamlining governance .
 - Board data dashboard developed to provide live analysis against practice review progress and review recommendation implementation
 - Board safeguarding performance framework in development in line with NISB recommendations
 - RSB risk register in place and regularly reviewed by delivery group / board
 - Board self assessment and training self assessment undertaken and analysed by board partners, improvement actions being progressed.
- Corporate**
- 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.
 - Work commenced with Procurement team to strengthen safeguarding arrangements in contract award and management.
 - Non desk based training options successfully piloted and bring rolled out
 - Training compliance at 90% and members training compliance 100%
- Contextual Safeguarding**
- Safeguarding Adolescents From Exploitation (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.
 - 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 - Terms of Reference reviewed and updated.
 - 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.
 - Child Sexual Abuse practice leads training programme with Centre of Excellence in place.
 - Escalating concerns process reviewed and arrangements strengthened.
 - MISPER co-ordinator in post and working with the Police to ensure a consistent approach to missing young people.
 - Joint inspection of child protection arrangements undertaken - formal report expected in March / April. Informal feedback identified areas of good practice alongside areas for further development. Noted that there were robust leadership and governance arrangements within Children's Services and the wider corporate body with no further areas for development identified.
- Adult Safeguarding**
- Updated Regional Escalated Concerns procedures now operational.
 - Improved quality assurance process for care homes has been completed.
 - Quality Assurance Frameworks included within the DAPL and DPS Framework. Adult Safeguarding contributed by reviewing all policies.
 - The review into MARAC has been completed – and recommendations received. These will be delivered through the MARAC strategic and operational groups. Meetings are continuing with the police and new terms of reference have been agreed for a SWOT (Sex Workers Operational Team) panel and this is operating well, with a reduction seen in the number of sex workers on the streets in Cardiff. We are continuing to share intelligence with both South Wales Police and Gwent Police with a harm reduction approach being taken. Adult Safeguarding continue to attend strategic and operations meetings regarding Human Trafficking.
 - Developing sustainable and holistic approaches to achieving outcomes for those who hoard has now been completed
 - Young person's MDT in partnership with Children's services and Housing has now been launched and is fully operational and beneficial outcomes are emerging. YPG MDT Officer looking into the pathways into exploitation with a view to addressing this.
 - Targeted training work with low take up is ongoing and has been further developed, with gaps in training being identified and monitoring of non-compliance to be addressed through management teams.
 - The ongoing development and implementation of the Corporate Safeguarding Policy is being monitored in line with best practice guidance from Welsh Government.
 - Consistency in external and internal reporting of Safeguarding referrals has been embedded.
 - Developed more robust performance indicators and continuing the use of the self-assessment Quality Assurance document.
 - Completed a cleanse of open Adult Safeguarding cases. There are 199 cases open – a reduction of nearly a thousand. All cases are now allocated to a caseworker.

What we plan to do to meet target

- Regional Safeguarding Board**
- Deliver development day and agree new board priorities, review progress against current objectives
 - Produce CRG improvement plan
- Corporate Safeguarding Board**
- Review 3 year refresh training stats with directorates
 - Produce and progress the refreshed development plan based on new annual priorities.
 - Ensure relevant key themes. Risks and issues generated from Regional Safeguarding Board are sighted in corporate safeguarding board.
- Contextual Safeguarding**
- Develop multi agency response to 'cuckooing'
 - Strengthen links with licencing teams to support contextual safeguarding approach
 - Work with partners to develop safe spaces for women and girls
- Children's Services**
- Strengthen contractual arrangements in relation to safeguarding (Q4 23/24).
- Corporate**
- Data development work on cross council referrals
 - Output of self-assessments to be quality assured, included and tracked through Directorate Delivery Plans.
- 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

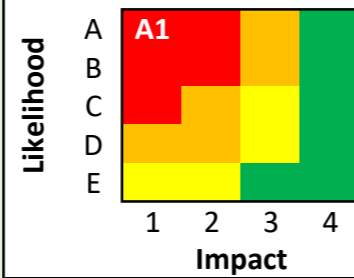
- SCC.014 Percentage of initial child protection conferences carried out within statutory timescales during the year
- SCC.034 Percentage of child protection reviews carried out within statutory timescales during the year
- SSWB 27 Percentage of re-registrations of children on local authority Child Protection 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

Housing Emergency

Description

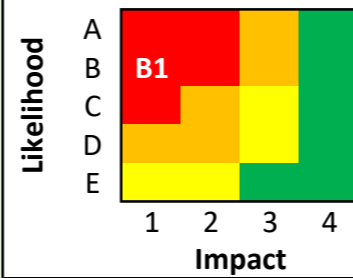
In December 2023, Cabinet declared a housing emergency in the city. There is currently unprecedented demand for homelessness services and Temporary Accommodation. There is a lack of certainty regarding capital and revenue funding from the Welsh Government to address these issues. The cost-of-living crisis continues which is forcing more people into poverty, impacting on their ability to pay their housing costs. Private landlords may continue to leave the rental market. The Home Office Streamlined Asylum Processing (SAP) positive decisions continue to be made, current estimate is that this process will be completed by the end of March 2024. The number of individuals with No Recourse to Public Funds (NRPF) is also increasing as negative decisions are determined. Once given a positive decision, some individuals will apply for a Family Reunion visa. Waiting lists for social housing remains high and the number of social lets remains low. New build programmes being delayed. Increased staff fatigue within homelessness services as they deal with complex cases on a daily basis

Inherent Risk



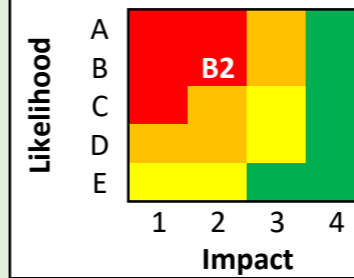
Last Reviewed Q3 2023/24
Last Revision Q3 2023/24

Residual (Current) Risk



Movement from Prev Qtr. ↔

Target Risk



Target Reduction Date Q4 2025/26

Risk Owner(s)

Jane Thomas **Cllr Linda Thorne**

Potential Impact(s)

Demand for those in priority need exceeds current TA provision, which may result in an increase in rough sleeping for single people and Emergency Accommodation (EA) for families. This use of EA (hotels) for families is not appropriate for long stays and is expensive for the Local Authority.

Funding - Without certainty and clarity on existing and future funding from the WG, difficult to put adequate resources in place to help reduce some of the negative impacts. Eg no clarity on the Homeless Prevention Fund, no increase in the Housing Support Grant and no confirmation of capital funding for modular build program. As the relief of homelessness is a statutory duty, this will lead to negative impact on the Councils finances especially when the only solution, without significant capital investment, is to house people in expensive hotel accommodation.

PRS - Even though LHA rates will increase significantly from April 2024, landlords may increase their rents further or sell up to cover their rising mortgage repayments.

Evictions will increase as households are not able to pay their rents / mortgages, creating more demand.

SAP - Positive SAP decisions result in an increased demand on homelessness services and TA. Negative decisions result in NRPF status, which will further increase the number of individuals that will be rough sleeping in the city. For those individuals that are given refugee status, if granted a Family Reunion visa, will create additional pressures on family TA initially and additional strain on move in accommodation.

Reduced Move on - With a high % of available social lets being allocated to homeless households, others with a significant housing need on the waiting list are not being considered for allocation.

As the number of social lets remains low, this further negatively impacts on the move out of Emergency and Temporary Accommodation. This results in longer stays in Emergency / Temporary Accommodation. Unavoidable delays to the new build program will result in longer stays in Temporary / Emergency Accommodation.

Staff - Staff feeling stressed, increase in sickness levels. Negative impact on officers mental health. This in turn can lead to empathy fatigue, resulting in negative experiences for our clients.

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

Reducing Incoming Demand
Prevention advice is now available in Hubs.
Floating support is offered.
All prevention cases now have a dedicated officer.
Full utilisation of grants to support tenants in arrears & dedicated Mortgage Advice officers.
A firmer approach, within current legislation guidelines has now been rolled out.
Homeless on The Day Assessments are now carried out at a variety of venues.
Full utilisation of the Reconnect service.

Funding
Officers in regular contact with WG officials to access all funding opportunities. However, the risk around funding uncertainty remains high. (TACP, SHG, HPG)
Where able, grants are used to offset drawdowns from Reserves. However, as grants are squeezed too, this is becoming more difficult, therefore reducing reserve balances.
Regular Capital Board meetings and close working with service area and finance on accommodation costs.

Increasing Use of the PRS
Utilising more PRS properties at the Prevention stage to improve success.
Improved our dedicated offer to Private Landlords

Meeting Demand Emergency & Temporary Accommodation (TA)
Use of 5 hotels across the city to provide emergency accommodation for families and singles.
TA Taskforce meetings held twice a week with attendees from across H&C to escalate and address issues quickly.
Regular data analysis is carried so anticipated demand on TA can be forecasted.
Expanding the modular builds on the Gasworks site to be completed by Spring 2024.

SAP cases
A Waiver for individuals with No Local Connection or NRPF has been developed.

Move on from TA
Increasing the number of settled accommodation units by:

- Buying property from the open market
- Keeping the level of social, general lets of 80% to homeless clients.
- Building new affordable homes

Staff
Provide regular support for staff.. Space always available in Hubs / so feel less isolated working from home. Reduction in reliance on agency staff and increase in Council contracts for staff in supported accommodation.

What we plan to do to meet target

- Consultation will be carried out in the Spring to make changes to existing policies around making intentionally decisions, placement out of county where appropriate & allocating from TA into settled accommodation anywhere in the city. Target Date **Q3 2024/25** Owner: OM Advice / Accommodation and Support Manager
- Representation will continue to be made to the WG to provide clarity and certainty on funding, Target Date **Q4 2023/24** Owner: OM Advice
- Finalising the proposal to increase the maximum number of private properties on the Welsh Government Leasing Scheme (WGLS) Authorisation to be agreed and scheme expanded by March 2024. Target Date: **Q2 2024/25** - Owner: OM Advice
- The LETS team will carry out events to encourage more private landlords to work with the Council, by August 2024. Target Date: **Q2 2024/25** - Owner OM Advice
- A housing related benefit take up campaign will be rolled out across the city. Target Date **Q2 2024/25** Owner OM Advice
- Continuation of delivery of modular homes through the Cardiff Living Programme. Target Date **Q4 2025/26**. Owner: AD Development & Regeneration
- Procurement of specialist legal immigration advice to support those who have received a negative asylum decision. Target Date: **Q1 2024/25** Owner: OM Advice / Head of Community Safety & Cohesion.
- Rapid investigation into NRPF accommodation options with third sector organisations. Target Date **Q4 2023/24** Owner: Head of Community Safety & Cohesion/ OM Specialist Accommodation
- Entering into a package deal arrangement for delivery of new council homes by a developer. Owner: AD Development & Regeneration
- Increasing the use of managed blocks for single people. **September 2024**. Owner: AD Development & Regeneration / AD Housing & Communities

Type(s) of Impact

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

Linked Risks

Key Indicators / Measures used to monitor the risk

- | | |
|---|---|
| <ul style="list-style-type: none"> • Number of households presenting to prevention team/ homeless on the day • Number of households in the prevention caseload • % of cases that are prevented from homelessness • Spend on TA units, including support • Number of properties on the WGLS • Number of households supported to claim a housing related benefit. • Number of additional TA units RSL's are the owners • Number of additional modular homes | <ul style="list-style-type: none"> • Number of rough sleepers • Number of people in TA / Emergency Accommodation • Number of SAP cases who have moved in to the PRS • Number of households receiving specialist immigration advice. • Number of NRPF rough sleeping • Average length of time that households are staying in TA / Emergency Accommodation • Number of new build properties delivered • Number of new units in new managed blocks • Staff in homelessness services off sick with work related stress being the main factor |
|---|---|

Legal Compliance

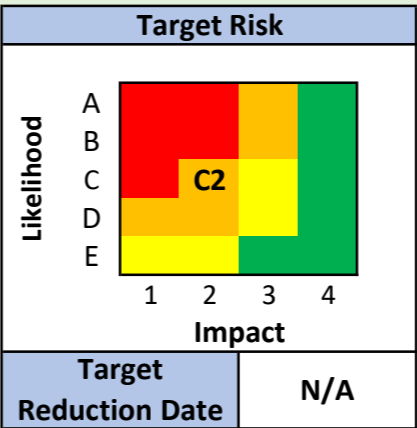
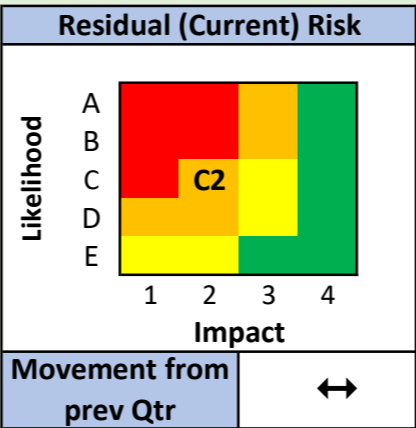
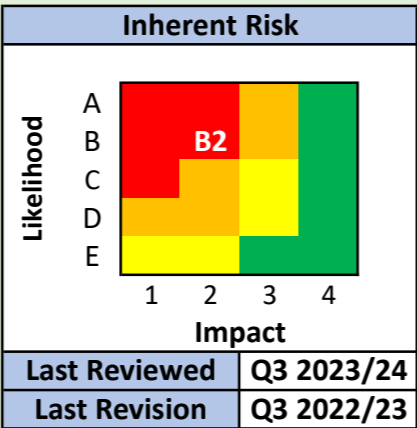
Description

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

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

In each case leading to increased risk of challenges.

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



Risk Owner(s)

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
- Use of appropriate Legal Services Framework to increase resilience where it is necessary to outsource legal work
- Dedicated Corporate teams in specialist areas e.g., equalities, FOI / DPA
- Sharing training/publications received internally to the legal department and when necessary to client departments
- Encourage Directorates to ensure Committee and Cabinet reports are discussed at preliminary stage in development to ensure all legal issues are addressed early through client department relationships
- Decision Making Training to both the Senior Management Forum and the Managers Forum carried out in 2020 and Pre-Election Period and Decision-making Pre and Post the Local Election briefings given to the Senior Managers Forum and the Cardiff Managers Forum in January 2022
- Decision Making training session held for the Environment Directorate managers in Jan 2022
- Decision making training provided to Councillors and Cabinet as part of induction training.

What we plan to do to meet target

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

Potential Impact(s)

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

Type(s) of Impact

- Service Delivery
- Reputational
- Legal
- Financial

Linked Risks

Key Indicators / Measures used to monitor the risk

Number of Judicial Reviews and Number of Successful Challenges