

Appendix B – Corporate Risk Register dated 08/08/18

Risk Id	Risk Title	Category	Responsible Officer	Date Last Updated	Updated By	Overall RAG
CR 79	Local Government Reorganisation	Corporate Governance	phil roberts	05/07/2018	CCOS\RICHARD.ROWLANDS	A
CR 80	Financial Control and Sustainable Swansea	Corporate Finance	ben smith	03/08/2018	CCOS\RICHARD.ROWLANDS	R
CR 81	City Centre	Corporate Plan Priorities	martin nicholls	05/07/2018	CCOS\MARTIN.NICHOLLS	A
CR 82	Safeguarding	Corporate Plan Priorities	david howes	03/08/2018	CCOS\RICHARD.ROWLANDS	A
CR 83	Pupil attainment and achievement	Corporate Plan Priorities	nick williams	27/03/2018	CCOS\RICHARD.ROWLANDS	A
CR 84	Tackling poverty	Corporate Plan Priorities	david howes	03/08/2018	CCOS\RICHARD.ROWLANDS	A
CR 85	Workforce Strategy	Corporate Governance	sarah caulkin	06/07/2018	CCOS\SARAH.CAULKIN	A
CR 86	Digital, data and information security	Corporate Governance	sarah caulkin	03/08/2018	CCOS\RICHARD.ROWLANDS	A
CR 87	Emergency Planning, Resilience and Business Continuity	Corporate Governance	phil roberts	06/07/2018	CCOS\SARAH.CAULKIN	A
CR 88	Health & Safety	Corporate Governance	phil roberts	06/07/2018	CCOS\SARAH.CAULKIN	A
CR 89	New legislative and statutory requirements	Corporate Governance	tracey meredith	08/08/2018	CCOS\TRACEY.MEREDITH	A
CR 90	Decision to leave the European Union (BREXIT)	Corporate Finance	ben smith	06/08/2018	CCOS\RICHARD.ROWLANDS	A
CR 91	Tax evasion	Corporate Finance	ben smith	26/06/2018	CCOS\BEN.SMITH	A

CR 79: Local Government Reorganisation

Risk Description:

If there is no clarity or clear timescale for local government re-organisation, then we could be distracted from business as usual and service delivery could be disrupted.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks

Category:

Corporate Governance

Controls in Place:

- Good understanding locally and regionally of the proposals for local government re- organisation.
- Using political channels effectively to influence decision-making.
- Seeking to influence proposals through WLGA / SOLACE.
- Collaborating regionally with other local authorities on our response and taking a proactive and leadership role.
- Maintaining a clear focus on our own service delivery.
- Having a 'can do' organisational culture and approach where we are open to change and making things work.

Actions to be taken:

- Green Paper now published
Need to respond by 12th June 2018
Report to be prepared for Council in May
Report drafted for discussion with group leaders
Scrutiny Panel report prepared
- Update RR 05/07/18 - Council response to consultation prepared in consultation with all Group Leaders. Council response submitted to WG on 11th June 2018 and endorsed at full Council on 21st June 18. Monitoring Welsh Government response whilst continuing to implement existing control measures.

Responsible Officer: phil Roberts

Responsible Cabinet member: Cllr Rob Stewart

Current Likelihood: Medium

Current Impact: High

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 80: Financial Control and Sustainable Swansea

Risk Description:

If we fail to deliver Sustainable Swansea and maintain sufficient financial control, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and changing public expectations.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risks CR46 and CR47.

Category:

Corporate Finance

Controls in Place:

- An agreed plan and a process for corporate level monitoring in place.
- An agreed budget.
- Clear governance and reporting in place.
- Prevention Strategy.
- Regular monthly monitoring at P&FMs.
- Reporting, monitoring and review at FSTG.
- Audit Committee providing challenge, oversight and assurance.
- Collaborative officer and Member budget setting process in place.
- MTFP.
- Dedicated Scrutiny Service Improvement and Finance Performance Panel consider and scrutinise the budget on a quarterly basis

Actions to be taken:

- The budget position is tracked and reported to CMT, P&FMs and FSTG on a monthly basis to monitor progress and highlight risks to meeting savings early.
- Fewer generic savings.
- Cross-cutting Commissioning Reviews.
- Continue to embed the Sustainable Development Principle into the budget setting process forming part of Budget Week in September 2018.
- Involve the public in co-producing and setting the budget.
- Aspire to collaborate more with other local authorities
- Join-up information so outcomes and delivery are clear to the public
- Review of schools SLAs in response to underlying shortfall on delegated schools budget

BGS Update 26/6 - budget position is being tracked to try and early capture and warn on all delivery risks not just financials - financial pressures remain severe given draw from reserves 17-18 outturn, emerging pressures for 18-19

Responsible Officer: ben smith
Responsible Cabinet Member: Cllr Clive Lloyd
Current Likelihood: Very High
Current Impact: Very High
Overall RAG Status: Red
Report Date: 08/08/2018 12:28:12

CR 81: City Centre

Risk Description:

If we are unable to attract sufficient external investment and financial support and do not regenerate the city centre, then there will be a detrimental impact on the Swansea economy and reputational damage for the Council.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR58.

Category:

Corporate Plan Priorities

Controls in Place:

- City Deal
- City Centre Strategic Framework and resources to deliver it.
- Political mandate, leadership and support.
- Corporate priority.
- Developer confidence reflected in their actions taking forward schemes.
- The BID and buy-in from city centre businesses.
- Financial control of the revenue budget providing financial headroom for capital schemes

Actions to be taken:

Cabinet approved funding via FPR 7 for next stage of projects on the 21st June

Cabinet approved joint committee report on the 21st June with Council on the 26th July

contract award report for Phase 1 contractor appointment (stage 1) due to by end of July

Further report required on future funding requirements by end of 2018

Responsible Officer: martin nicholls
Responsible Cabinet Member: Cllr Rob Stewart
Current Likelihood: Medium
Current Impact: Medium
Overall RAG Status: Amber
Report Date: 08/08/2018 12:28:12

CR 82: Safeguarding

Risk Description:

If our safeguarding arrangements are not sufficiently robust, then we will not be doing everything we possibly can to prevent the death, injury or neglect of a child or vulnerable adult and consequential reputational damage.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR45.

Category:

Corporate Plan Priorities

Controls in Place:

- Sufficient numbers of trained adult and children services staff.
- Corporate Safeguarding Policy and Group.
- Strong performance monitoring and reporting arrangements.
- Positive engagement and support from Cabinet and Council.
- Corporate safeguarding training in place for staff and Members.
- Commitment to invest in social care is strong.
- Corporate priority.
- Regional and multi-agency safeguarding partnerships.
- Safeguarding leads identified across all Council services, including schools.
- Separate safeguarding arrangements in place in schools.
- Two dedicated scrutiny panels in place to scrutinise social services work and performance.
- New and revised Safeguarding Policy following a review undertaken by the Safeguarding PDDC'

Actions to be taken:

- Strengthen safeguarding arrangements in Adult Social Services through restructuring and development of a safeguarding team.

Responsible Officer: david howes

Responsible Cabinet Member: Cllr Mark Child

Current Likelihood: Low

Current Impact: Very High

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 83: Pupil attainment and achievement

Risk Description:

If we cannot get schools to improve pupil attainment and achievement at a time of reduced resources and increasing demand, then pupils will not get the qualifications and skills they need to succeed in life and there will be a detrimental impact on the future Swansea economy.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR59.

Category:

Corporate Plan Priorities

Controls in Place:

- Positive engagement and support from Cabinet and Council.
- Commitment to invest in Education.
- Corporate priority.
- Good school-to-school support.
- Effective partnership working.
- School Improvement Strategy and Partnership.
- New EOTAS Strategy & programme.
- Attendance Strategy.
- Renewed focus through the Child Protection Board on the educational achievement of LAC.
- Strong school building programme.
- Strong leadership commitment to influencing the ERW agenda.
- Commissioning Review on ALN.
- Dedicated scrutiny panel to scrutinise education work and performance.
- Improving Education & Skills PDDC

Actions to be taken:

- Managing the review of ERW

Responsible Officer: nick Williams

Responsible Cabinet Member: Cllr Jennifer Raynor

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 84: Tackling poverty

Risk Description:

If we do not implement a strategy that sufficiently impacts on poverty, then there will continue to be negative consequences for current and future generations, high demand for Council services and a continuing detrimental impact on the Swansea economy.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR44.

Category:

Corporate Plan Priorities

Controls in Place:

- Reviewed and revised Tackling Poverty Strategy agreed by Cabinet
- Cross Council Delivery Plan in place and performance framework being introduced
- Council Poverty Forum renewed, chaired by Chief Executive
- Partnership Poverty Forum in place, and action plan being delivered
- Explorations of social investment options for key services being undertaken
- Scrutiny Inquiry undertaken 2016 and report recommendations largely accepted
- Tackling Poverty a Corporate Priority

Actions to be taken:

- Implement revised Tackling Poverty Strategy.
- Poverty Forums meeting regularly
- Partnership Poverty Forum has action plan and strong involvement
- Poverty has been included in the PSB Wellbeing Plan
- Update RR 28/07/18 - Responsible Officer changed to Dave Howes following Chris Sivers leaving the Authority.

Responsible Officer: david howes

Responsible Cabinet Member: Cllr Mary Sherwood

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 85: Workforce Strategy

Risk Description:

If we do not have a robust workforce strategy in place, then we will not have staff with sufficient capacity and the right knowledge and skills to manage change, deliver transformed services and ensure statutory compliance.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR43.

Category:

Corporate Governance

Controls in Place:

- Workforce Planning
- Corporate Plan Sustainable Development principles embedded in the objectives
- Service Planning

Actions to be taken:

Reviewed July 2018

- Organisational Development (OD) strategy and implementation plan
- Tracking and monitoring of OD plan and delivery through new ICT systems and processes
- New reporting through revised CMT/Cabinet governance
- New reporting through Leadership Team

Responsible Officer: sarah caulkin

Responsible Cabinet Member: Cllr Clive Lloyd

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 86: Digital, data and information security

Risk Description:

If we do not have robust digital, data and information security measures and systems and behaviours in place, embedded and working as best as they can be, then we will be vulnerable to cyber threats, disruption to service delivery, possible loss of information including confidential information and associated fines and reputational damage.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22

and subsequent review of Corporate Risks. Supersedes risk CR66.

Category:

Corporate Governance

Controls in Place:

- Public Services Network (PSN) compliance certificate (tested annually)
- Mandatory data protection training for all staff and Councillors
- Communications and awareness raising to all staff and Councillors monthly on good practice
- SIRO identified
- Information Governance Unit (IGU) established
- Identified GDPR project team and actions delivered to meet requirements
- Created a register of processing activities to identify what personal data we control and process
- Updated the data breach process to align with GDPR requirements
- Created a GDPR compliant privacy notice to be placed on our public website
- Created a Data Protection Impact assessment measuring the impact to individual rights to privacy
- Data Protection Officer required by GDPR regulations now appointed and in place.
- GDPR information for schools published on Staffnet
- 6 months Communications programme started in November 2017.

Actions to be taken:

Reviewed July 2018

- Revised Security Policy
- General Data Protection Regulation (GDPR) compliance monitoring and reporting through P&FMs and new CMT/Cabinet governance
- GDPR project complete

Responsible Officer: sarah caulkin

Responsible Cabinet Member: Cllr Clive Lloyd

Current Likelihood: Low

Current Impact: Very High

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 87: Emergency Planning, Resilience and Business Continuity

Risk Description:

If we do not have sufficient emergency planning, resilience and business continuity arrangements in place, then we will not be able to respond effectively in an emergency, provide the necessary civic leadership or

continue to run vital services and ensure compliance with the legal requirements of the Civic Contingencies Act 2004 as a Category 1 Responder.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR48.

Category:

Corporate Governance

Controls in Place:

- Major Incident Plan
- Flood Management Plan
- Mass Fatality Plan
- Temporary Mortuary Arrangements
- Crisis Media Plan
- Rest Centre Plan & Arrangements
- Recovery Plan
- Offsite COMAH Plan & Exercising
- Risk Profiling
- Project Griffin Training
- Vehicle Mitigation & Protective Security Advice
- Multi Agency Exercising & Training
- Call Out & Activation Protocols/action Cards
- Continual Review of Plans & Protocols
- Service and Corporate Business Impact Assessments and Business Continuity Plans
- RAG alert system across H&S, emergency management

Actions to be taken:

- Continual review and update of policies
- Continual development of further toolkits to support managers and schools
- Emergency Planning exercise
- Commissioned Emergency Control Centre
- Monitoring and reporting of emergency management to P&FM, escalating to CMT where appropriate

Responsible Officer: phil Roberts

Responsible Cabinet Member: Cllr Clive Lloyd

Current Likelihood: Low

Current Impact: Very High

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 88: Health & Safety

Risk Description:

If we fail to have robust Health & Safety policies and arrangements in place, then there could be a health and safety breach identified as a corporate failing with associated legal, financial and reputational consequences.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR50.

Category:

Corporate Governance

Controls in Place:

- Health & Safety (H&S) Policies
- H&S Toolkits
- RIDDOR procedures for reportable incident to the HSE
- H&S audit plan
- Well-being Policies
- Member of British Association of Counsellors and Psychotherapists (BACP)
- SEQOSH accreditation by Faculty of Occupational Medicine
- Noise, Dust, Lighting, Humidity & Vibration sampling
- Directors H&S Committees & Sub safety Groups
- RAG alert system across H&S, emergency management and well-being

Actions to be taken:

- H&S e-learning
- Continual review and update of policies
- Continual development of further toolkits to support managers and schools
- Swansea Council RAG Fire Risk Profiling for all Premises.
- Improved online reporting
- Monitoring and reporting of H&S and well-being to P&FM, escalating to CMT where appropriate

Responsible Officer: phil Roberts

Responsible Cabinet Member: Cllr Clive Lloyd

Current Likelihood: Low

Current Impact: High

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 89: New legislative and statutory requirements

Risk Description:

IF the council cannot respond adequately to new legislative and regulatory requirements due to reduced resources, then it will be open to external challenge and may suffer reputational damage and fines.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR62.

Category:

Corporate Governance

Controls in Place:

- Corporate Plan: captures major change and meets duties under the Well-being of Future Generations Act 2015 to set well-being objectives and establish steps to meet them.
- Service Planning: use of the SWOT/PESTLE process to capture external legislative changes and threats, etc. and embed the Well-being of Future Generations Act 2015.
- Role of Directors/Heads of Service: duty to horizon scan and bring forward papers on new changes and to resource accordingly and act in accordance with the Sustainable Development Principle established by the Well-being of Future Generations Act 2015.
- Regular policy briefing developed and widely circulated.
- Regular Policy foresighting briefing - policy perspectives, new ideas and emerging ways of working - developed and widely circulated.
- Monitoring of new legislation by legal department and democratic services.
- Lawyers in Local Government Update on new legislation, consultation and constitutional matters circulated by Head of Legal to CMT on regular basis. Legal implications inserted into decision making reports.

Actions to be taken:

- Strategic Delivery Unit: horizon scan and give advice on our response to new legislation and other major external change.
- Legislative duties and legal obligations incorporated into reports to committees and decision makers with all reports signed off by Legal and Access to Services.
- Embedding legislative duties at the earliest stages of decision-making

Responsible Officer: tracey Meredith

Responsible Cabinet Member: Cllr Clive Lloyd

Current Likelihood: Low

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 90: Decision to leave the European Union (BREXIT)

Risk Description:

If there continuing uncertainty from the decision to exit the European Union (BREXIT), then there may be a risk to investment in the region due to the loss of grants and decisions affecting strategic inward investment.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR64.

Category:

Corporate Finance

Controls in Place:

- A risk outside directly of Council control/influence.
- Maximise existing grant take ups/explore alternative sources of grant/investment
- Event horizon scanning of all media, parliamentary decisions, negotiations.
- Lobbying through WLGA, professional associations for UK/WG government grant/other decisions to attract inward investment via alternative means e.g. City Deal, Tidal Lagoon (despite UK government rejection of financial support re latter)

Actions to be taken:

- Lobby via WLGA, professional associations for locally retained business rates

BGS Update 26/6/18 - Personally fed into Welsh Assembly Finance Committee budget roadshow on matter, WLGA and professional bodies continue lobbying, still await material detail and devolution consequentials - remains difficult to assess the overall risk - especially the impact score - remains unchanged for now but impact score may increase as time progresses and detail becomes clearer.

- Work with the WLGA and welsh Government to ensure there is a collective and consistent approach across Welsh local government in responding to BREXIT.
- Convene a group / committee tasked with mitigation of impacts in regards to BREXIT
- Undertake a BREXIT impact assessment.

Responsible Officer: ben smith

Responsible Cabinet Member: Cllr Rob Stewart

Current Likelihood: High

Current Impact: Low

Overall RAG Status: Amber

Report Date: 08/08/2018 12:28:12

CR 91: Tax evasion

Risk Description:

If the Council fails to prevent those who act for or on its behalf from knowingly or unknowingly facilitating (including failing to prevent) tax evasion, then the Council will be criminally liable and will face an investigation by HMRC with potential prosecution and unlimited financial liability.

Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks.

Category:

Corporate Finance

Controls in Place:

- VAT Manual, Guidance Notes and Accounting Instructions.
- VAT advice available via Principal Finance Partner and external VAT advisors.
- Financial Procedure Rules (FPRs) and Contract Procedure Rules (CPRs).
- IR35 guidance and procedure notes available.
- Procurement rules and procedures.
- Segregation of duties.

Actions to be taken:

- A briefing note discussed at CMT and circulated to senior management team, head teachers, finance managers and finance contacts to raise awareness.
- Head Teachers, finance managers / managers to establish policies, procedures and communication to follow financial rules, procedures and guidance and to prevent the risk.
- Audit/Corporate Fraud to incorporate this as part of their plans, investigations and audits.

BGS review 26/6/18 - no material identified cases - schools remain an operational boundary risk for Council given budget/operational delegation - but on basis of current isolated incidence of risk identified, likelihood down rated to low

Responsible Officer: ben smith

Responsible Cabinet Member: Cllr Clive Lloyd

Current Likelihood: Low

Current Impact: High

Overall RAG Status: Amber
Report Date: 08/08/2018 12:28:12
