

Appendix C

Directorate Risk Register Report 16/11/18

	Risk Title	Owner	Date Last Updated	Overall RAG
CS 41	Outstanding Equal Pay Claims	Sarah Caulkin	15/11/2018	G
CS 83	ICT Disaster Recovery	Sarah Caulkin	15/11/2018	A
CS 90	2019 Pay Award	Sarah Caulkin	15/11/2018	A
CS 91	Corporate Governance	Adam Hill	15/11/2018	A
CS 92	Sustainable Swansea Programme Delivery	sarah caulkin	15/11/2018	R

CS 41: Outstanding Equal Pay Claims

Risk Description:

If the Authority does not resolve the outstanding Equal Pay Claims THEN it will face a far greater cost in respect of these liabilities at the Employment Tribunal at a later date.

Controls in Place:

Small number of remaining Equal Pay Claims & Back Pay being processed.

- Responsible Officer amended to Sarah Caulkin by S Rees 21.12.17.

Actions to be taken:

Reviewed November 2018:

All outstanding pay claims are in the system. Keeping the risk open and reviewing until end of the financial year.

Cabinet decision 16th July 2015 to extend the MOU agreed in November 2014 to all new in scope claimants received since November 2015 and potential in scope non-claimants.

Number of live claims at Employment Tribunal continues to reduce as we make settlements and/or ask for them to be struck out.

Only 60 claims outstanding as at December 2017.

Owner: Sarah Caulkin

Responsible Officer: sarah caulkin

Current Likelihood: Low

Current Impact: Low

Overall RAG Status: Green

Report Date: 16/11/2018 14:35:08

CS 83: ICT Disaster Recovery

Risk Description:

If full DR arrangements are not in place then the Council will have no access to system in the event of a disaster which will have a significant business impact

Controls in Place:

1. There are reliant aspects to a number of the core systems e.g. email.
2. UPS are on all servers to eliminate the risk of power spikes.
3. Backups are taken every day and disks stored off site
5. New approach to improve / increase resilience and DR in Digital Strategy approved by Cabinet in January 2016. Implementation underway.
6. New storage arrays installed
7. New hybrid cloud environment to improve resilience

Actions to be taken:

Reviewed and updated November 2018:

1. Information asset register created, next phase underway with asset owners
2. Plans are being developed to provide a full DR solution covering Schools and corporate services
3. ICT resilience significantly improved with implementation of digital strategy, i.e. Office 365, new infrastructure and network configuration, new storage and back-up storage
4. Project underway moving more services to cloud to improve resilience
5. ICT working with resilience staff to support services with their business continuity arrangements
6. New projects underway in 2018 as part of Digital Strategy review
7. Audit of DR completed in August 2018 - plan reflects actions listed above
8. Oil change in transformer successfully completed with no down time in November 2017

Responsible Officer: sarah caulkin

Current Likelihood: Low

Current Impact: Very High

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

CS 90: 2019 Pay Award

Risk Description:

If the 2019 pay award is not modelled correctly there are potential implications regarding additional cost, equal pay issues and employee relations issues.

Controls in Place:

- Pay modelling structures and processes
- Trade union consultation

Actions to be taken:

Reviewed November 2018:

Extensive pay modelling has been undertaken and an external view taken. The preferred pay structure has been determined and will be EIA assessed. Pay model discussed at CMT, trade union consultation starting.

Owner: Sarah Caulkin

Responsible Officer: sarah caulkin

Current Likelihood: Medium

Current Impact: High

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

CS 91: Corporate Governance

Risk Description:

If there is not robust corporate governance then the Council is at risk of not meeting its statutory obligations

Controls in Place:

- Code of Corporate Governance Framework
- Annual Governance Statement
- Council Constitution - procedural rules
- Corporate Plan
- Clear roles and decision making structures
- Risk management
- Financial reporting
- Audit Committee
- Scrutiny Committee
- Statutory Officers

Actions to be taken:

Reviewed November 2018

- Risk Owner and responsibility passed to Deputy Chief Executive
- Internal audit of governance assurance rating of substantial
- Updating and reviewing the governance / assurance framework
- Updating and reviewing the Constitution (continuous)
- New tracker around finance / MTFP delivery in place and scrutinised at CMT

away days

- Contract Procedure Rules (CPR) in the process of being updated
- Reviewing governance around major projects so high risk projects are visible through CMT
- Updating and reviewing Financial Procedure Rules (FPR)

Owner: Adam Hill

Responsible Officer: adam hill

Current Likelihood: Low

Current Impact: High

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

CS 92: Sustainable Swansea Programme Delivery

Risk Description:

If the Sustainable Swansea Programme does not deliver at the pace and scale as planned, then the Council is at risk of not meeting its financial and strategic plans

Controls in Place:

- MTFP
- Programme plan
- Robust programme governance and reporting
- Robust programme management for risks, issues, changes
- Links with Corporate Governance risk around risk reporting for major projects
- Annual programme review reflecting lessons learned into revised programme

Actions to be taken:

Reviewed November 2018:

- New tracker monitored at CMT away days monthly
- Pace and scale of savings across the Council continues to be a challenge alongside growing service pressures. CMT taking remedial action to mitigate the risk
- Programme governance and reporting reviewed
- Tracker informs Qtrly finance reporting
- New budget and programme review underway - this year reviewing original strategic principles and framework
- Commissioning review progress being presented at Scrutiny in December

Owner: sarah caulkin

Responsible Officer: sarah caulkin

Current Likelihood: Medium

Current Impact: Very High

Overall RAG Status: Red

Report Date: 16/11/2018 14:35:08

People Risk Register Report 16/11/18

Id	Risk Title	Owner	Date Last Updated	Overall RAG
PE 61	Withdrawal or changes to grants at short notice	Dave Howes	12/11/2018	A
PE 83	Capacity to transform services and deliverability of budget proposals	Nick Williams	13/11/2018	A
PE 84	Increasing Demand for Specialist Services	Dave Howes	08/11/2018	A
PE 85	Workforce Planning	Dave Howes	15/11/2018	A
PE 87	Band B Programme funding envelope is reduced	Nick Williams	20/09/2018	A
PE 89	Data Breaches of Confidentiality	Dave Howes	12/11/2018	G
PE 90	Financial Stability of Social Care Market	Dave Howes	15/11/2018	A

PE 61: Withdrawal or changes to grants at short notice

Risk Description:

If grants are withdrawn or reduced at short notice, then there are additional costs to the Council as well as planning challenges for reduction in service delivery.

Controls in Place:

- All services areas are profiling for loss of grants and developing a plan of action for this. HR process and consultation period arrangements are being negotiated with unions to enable managers to give contractual notice period only. Regular liaison with Welsh Government is taking place to identify potential loss of grants at an early stage. Existing overspends plans are in place, and will be reviewed at quarterly reporting stage. Some areas are already making reductions in anticipation of WG grant cut.
- Schools are being made fully aware of grant terms and conditions and any restrictions. Exit strategies are being prepared once a grant has been awarded.
- Grant applications are considered carefully and rejected if the terms and conditions are too restrictive.
- Continuing engagement is taking place with schools through the Education Strategy Group and Budget Forum.
- Models of delivery are reviewed where grants are removed e.g. EMAU.

Actions to be taken:

- Continued monitoring of grants - ongoing
- Profiling of potential grant reduction - ongoing for different areas

- Managers preparing for a future with no ring fencing of grants, in case these are included in the overall Revenue Support Grant.
- Continue monitoring and continued pressures as a result of budget announcement October 2018
- Lobbying of WG regarding MEAG by Chief Executive and Cardiff, Newport
- Three year budget strategies in place for all services
- EMAU service being reviewed and remodelled

Updated 02.10.18 - Chris Davies

Updated 12.11.18 - Chris Davies

Owner: Dave Howes

Responsible Officer: david howes

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PE 83: Capacity to transform services and deliverability of budget proposals

Risk Description:

IF we do not have sufficient capacity to transform services THEN we will not balance the budget by year end

Controls in Place:

Requested regular reporting on budget proposal tracker to People PFM
Proposals developed in good time for agreement with Cabinet
Cabinet Members well briefed on the decisions that will need to be taken
Capacity for invest to save built into the budget in November in some areas
Improvement Plans in place for all service areas
quarterly budget monitoring in line with PFM cycle
National education grants are being rolled into a single Regional Consortium School Improvement Grant and its value is being reduced. Continuing engagement with stakeholders about funding prospects continues through Education Strategy Group and Schools Forum.

Actions to be taken:

Budget Tracker in development, should be complete and in PFM reporting by April 2018

recruitment of Invest to Save capacity by June 2018

13/11/18 - Colin Goddard Changed the responsible officer from Chris Sivers to Nick Williams (Director of Education) to fall in line with organisational restructure. Future Updates will be given by Nick Williams.

Owner: Nick Williams
Responsible Officer: nick williams
Current Likelihood: Medium
Current Impact: High
Overall RAG Status: Amber
Report Date: 16/11/2018 14:35:08

PE 84: Increasing Demand for Specialist Services

Risk Description:

IF we cannot predict and reduce demand effectively THEN specialist services will struggle to cope and there will be insufficient resources to meet that demand

Controls in Place:

Predictive modelling taking place for some services
Prevention Strategy agreed
Budget savings tracker in preparation for reporting to PFMs

Actions to be taken:

Implementation of commissioning strategies to ensure supply matches demand. Completion of commissioning reviews for LD, MH and YAPD services to ensure adequate sustainable services

Updated 09.10.18 - Peter Field

Updated 08.11.18 - Peter Field

Owner: Dave Howes
Responsible Officer: david howes
Current Likelihood: Medium
Current Impact: High
Overall RAG Status: Amber
Report Date: 16/11/2018 14:35:08

PE 85: Workforce Planning

Risk Description:

IF we do not predict the needs of the workforce of the future THEN we will have experience skills and resourcing gaps that will lead to additional demand and overspending on budgets.

Controls in Place:

- Transformation Plan in place, outlining what will be required to achieve change.
- Interim Training needs analysis and work force plan is in place.

- Agreed practice frameworks for both Child and Family and Adult Services

Actions to be taken:

- Transformation Plans to be implemented.
- Three-year budget strategy in place linked to the transformation plan to be realised.
- Swansea Social Services Training Needs Analysis Templates completed by the end of November 2018.
- Overall Social Services Workforce Development Plan due to be completed. February 2019
- Identify reporting mechanisms, which must include and incorporate a performance framework.
- Conclude a performance framework and ensure it is embedded within services.
- The development of marketing opportunities in social care
- Work force structure and data cleanse linked to the work force development plan.
- Communication strategy specific to workforce planning to be developed.

Updated 09.10.18 - Teresa Mylan-Rees

Updated 15.11.18 - Teresa Mylan-Rees

Owner: Dave Howes

Responsible Officer: david howes

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PE 87: Band B Programme funding envelope is reduced

Risk Description:

IF we are unable to gain approval to detailed business cases and timely access to the full funding envelope approved in principle by WG THEN the investment in schools capital will not address all the identified priority needs.

Controls in Place:

- Robust governance arrangements for Band B
- Coherent and consistent County-wide strategy and detailed plans for early investment priority areas
- Continuing constructive engagement with WG officials
- CMT is ensuring oversight of the programme

Actions to be taken:

- Sufficient capacity and resourcing to inform business cases and then deliver approved schemes
- Detailed business cases submitted and approved by WG in line with indicative delivery timescales

- Contingency 'plan B' in respect of specific investment areas where WG funding support is potentially wavering (e.g. Special Schools)

06-09/18: Risk amended to reflect progress on Band B since the original risk was identified. No changes to RAG status.

Owner: Nick Williams
Responsible Officer: nick williams
Current Likelihood: Low
Current Impact: High
Overall RAG Status: Amber
Report Date: 16/11/2018 14:35:08

PE 89: Data Breaches of Confidentiality

Risk Description:
Data breaches.

Controls in Place:
Adult Services Action Plan and Child and Family Services Action Plan to counteract breaches and to prevent them taking place.

A Data Protection Impact Assessment (DPIA) to be completed.

Actions to be taken:

DPIA has been completed along with a process for sending mail. Next steps are to roll out communication/training workshops and planning of these is being undertaken.

Updated 03.09.18 - Deborah Reed
Updated 02.10.18 - Deborah Reed
Updated 12.11.18 - Sonia Miles

Owner: Dave Howes
Responsible Officer: deborah reed
Current Likelihood: Very Low
Current Impact: Very Low
Overall RAG Status: Green
Report Date: 16/11/2018 14:35:08

PE 90: Financial Stability of Social Care Market

Risk Description:
If there is financial instability within the care home and domiciliary care provider market, then there will be a serious threat to the capacity, choice and

quality of services available to citizens and to vulnerable adults to help them to remain at home or in a home of their choice.

Controls in Place:

Discussions/meetings held with service providers at risk.

Liaison with Corporate Procurement/Legal/Finance teams.

Packages of care reallocated to alternative service providers, when risks identified relating to the stability of Domiciliary Care providers.

Monitoring visit with all service providers covering regulations/contract specification standards/business plans/financial risk/financial systems.

Actions to be taken:

To develop Swansea's market position through Western Bay Regional Health and Social Care programme, and through the work of a Category Hub, as part of Sustainable Swansea - Fit For The Future programme.

Termination of contracts with named providers where quality standards are not consistently met or financial due diligence is not found. In some cases this includes reallocation of some packages of care, rather than complete termination of the contract to help stabilise the provider.

Under Sustainable Swansea-Commissioning reviews of Domiciliary Care, Residential Care, and Day Services in Swansea. A re-commissioning process is underway. This involves creating zones across the county to encourage a more even distribution of services and an optimal number of Providers. This will help to build stability in the sector.

Undertaking review of fee rates of care homes to ensure that rates paid can sustain services and cover costs. A standard approach to annual costs review is being developed to ensure services are sustainable across adult services.

Adult Services Improvement Plan - longer term plan to develop around process going forward.

Updated - 9 October 2018 - Peter Field

Updated - 15 November 2019 - Peter Field

Owner: Dave Howes

Responsible Officer: david howes

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

Place (Finance) Risk Register Report 16/11/18

	Risk Title	Owner	Date Last Updated	Overall RAG
PL FIN 2	Building Maintenance	andrew shaw	14/11/2018	A
PL FIN 12	Welfare reform	Jane Harries	16/11/2018	A
PL FIN 16	Disabled Facilities Grant - Performance and Budget Spend	Mark Wade	16/11/2018	A
PL FIN 17	Reduced Capital funding / loss of staff	Stuart Davies	01/10/2018	A

PL FIN 2: Building Maintenance

Risk Description:

Given the current condition of our building assets and the available revenue maintenance budget, there is significant risk that the demand will outstrip available budget. As we move forward the ability for us to add to the budget will not exist with other measures to reduce by the required 20%. As part of 'Sustainable Swansea' it is recognised that should the CCoS reduce its asset register, savings could be realised from the revenue maintenance budget. This has been factored within future CB&PS savings.

To ensure we manage within the available budget there needs to be a reduction within the asset portfolio.

Controls in Place:

- Maintain prioritisation of annual budget to facilitate statutory compliance programme. Programme identified within service priorities with progress reviewed on a quarterly basis. To ensure that the Authority is fully compliant, as we (CCoS) have a legal obligation under British and European law.
- That appropriate measures are adopted to ensure the safety of all staff and visitors within any assets owned by the CCoS. Specific procedures to ensure compliance to include: Electrical testing programme, Asbestos revisit programme, servicing of mechanical and electrical systems, glass filming programme etc.
- A statutory compliance Strategy had been developed and implemented to ensure the Authorities position is protected.
- Capital maintenance budget identified for priority matters.
- Additional one off capital budget made available for school's AMP, which will target areas of high risk. This will support issues of business continuity etc.
- Review overall asset base as part of asset management plan.
- Maintain existing budget. Work within agreed criteria as agreed by Exec Board. Close liaison with relevant HoS to maintain communication of potential risk.
- Continue with risk based approach with prioritisation of budget i.e. target 'D' rated building elements.

Maintain SLA's in respect to condition data and regime of building inspections.

[Updated Aug 2016]

(No further update 18th October 2016 - RL)

(No further update 14th Nov 2016 - RL)

(No further update 12th December 2016 - RL)

(No further update 23rd Jan 17 - RL)

(No further update 28th Feb- RL)

(No further update April 10th - RL)

(No further update 18th May - RL)

(No further update 19th June - RL)

(No further update 24th July - RL)

(No further update 22nd August - RL)

(No further update 17.9.17 - RL)

(No further update 11.10.17 - AS)

(No further update 17.1.18 - AS)

(No further update 28.2.18 - RL)

(No further update 20.3.18 - RL)

(No further update 23.5.18) RL

(No further update 18.6.18) RL

Removal of Leisure Centres and Plantasia will help but as the budget has already been taken in previous years there us still a risk. 25.7.18

As above - Transfer of ownership 1.10.18 16.8.18

(No further update 19.9.18) AS

No further update 14.11.18 RL

Owner: andrew shaw

Responsible Officer: andrew shaw

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PL FIN 12: Welfare reform

Risk Description:

Reduction in the amount of rent being collected as consequence of Welfare Reform changes, impacting on income to the Housing Revenue Account.

Welfare Reform changes introduced in recent years, including the removal of the single room subsidy (bedroom tax), Universal Credit (UC) and the Benefit Cap are all having an impact on the collection of income resulting in increasing arrears.

In December 2017 the DWP will migrate Swansea to a full digital service area. One of the biggest impacts of this will be an increase in the number of UC claimants, meaning they will receive their housing costs direct once a month and their rent will no longer be paid to the Council weekly through housing benefit. In addition in December 2017 18-21 year olds will no longer be

automatically entitled to receive housing costs unless they fall into and are exempted category. Collectively all the changes highlighted along with the financial pressures generally being experienced by Council tenants will make income collection extremely challenging in the years ahead.

Controls in Place:

Rent arrears procedures in place and robustly followed.

Officers are set weekly arrears collection targets.

Early intervention and support is provided to tenants. The Rents Team's dedicated Financial Inclusion Officer and New Tenancy Officers help tenants with the support and advice they need in relation to Welfare Reform and more generally in managing their arrears.

Tenants are encouraged to join the Credit Union and open accounts to help ensure bills and rent are paid on time and that tenants are able to manage their money and avoid getting into financial difficulties.

Actions to be taken:

A working group is in place to assess the impact of Welfare Reform and this meets on a quarterly basis. Universal Credit has now been introduced and the rent accounts of those being affected are being closely monitored every week.

In relation to arrears, these are being robustly monitored and appropriate action is being taken.

November Update - No new issues, arrears continue to be monitored. The next Welfare Reform Working Group Meeting is on January 26th.

December Update - no further updates.

January Update - Welfare Reform Working Group meeting is now scheduled for Jan 28th, further information regarding the impact of Welfare Reform will be reported to the group.

December Update - No further updates required

January - meeting of the Welfare Reform Officer impact group planned in February

February Update - Welfare Reform Officer Working Group met and discussed the latest impact statistics for the Authority.

March - No further updates required.

April - No further updates required.

May - no further updates

June/July - Officer working group continues to meet on a regular basis to review the current situation

August - no further updates

September - An officer group has been set up involving senior managers, to look at the options open to address specifically the changes being introduced which will affect the under 35s via the introduction of shared room rates.

October - no new updates available

Nov/Dec - no further updates

January - Corporate research project into the likely affects of Welfare Reform in Swansea to be commissioned.

Feb - no further updates

March - no new updates

April - no new updates

May - no new updates

June - no new updates

July - no new updates

August - no new updates

September - no new updates

October - results from the Universal Credit pilot Authorities in Wales being analysed

November - no new updates

December - Universal Credit introduced in Swansea on December 13th with its impact to be analysed.

January - 121 tenants now affected by Universal Credit, impact to be closely monitored

February - further increase in tenants receiving Universal credit

March - no further updates

April - no further updates

May - the impact of UC is increasing at a significant rate, there are over 1200 tenants now claiming UC credit and this is impacting on rent arrears. Analysis of the impact is on-going.

June - numbers of people on UC steadily increasing

July - Arrears have increased 595K in last 7 months and much of this can be attributed to Universal Credit

August - impact still being monitored

September - report taken to Housing Futures Programme Board outlining possible impact of Universal Credit on the HRA in future.

October -Arrears have increased by 678k in the last 10 months. Current working practices within the Rents Team are in the process of being reviewed in order to ensure that collection and recovery processes are robust and effective.

November - Impact continues to be monitored

Owner: Jane Harries

Responsible Officer: jane harries

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PL FIN 16: Disabled Facilities Grant - Performance and Budget Spend

Risk Description:

Failure to meet Disabled Facilities Grant (DFG) performance and capital budget spend targets for 2018/19

Controls in Place:

Various monitoring systems in place to measure performance and spend within Housing. Regular meetings held at operational level to monitor Occupational Therapy performance within Social Services.

Actions to be taken:

A Batch of DFG referrals are to be issued to an OT staffing agency due to resource issues in the OT team. Direct recruit of OT staff employed by Housing will follow thereafter in an attempt to maximise long term performance and reduce DFG waiting times for the medium to the long term. Regular updates to P&FM to be given.

November Update - work has now been issued to an O.T agency and 1.5 new OT staff have been recruited by the Council. The agency work will help insure capital DFG spend by the end of the year and the recruitment will help build commitment for 2016/17 spend.

December Update - no new updates required.

January Update - new OTs now in post

February Update - underspend for 2015/16 now projected and P&FM have been informed however the appointments of the new OTs will ensure greater spend in 2016/17.

March - no further issues.

April - no further issues

May - no further issues

June/July - performance improving however further improvements required with regard to the speed of the process. A meeting with Social Services has been arranged to look at the issues.

August - no further updates

September - further changes/plans to increase available OT resources to be taken to CMT in the Autumn.

October - no further updates.

November - changes to procedures being discussed with Social Services

December - further OTs being recruited as part of the on-going structural changes to the OT service.

January - No further update available

Feb - no further updates

March - no new updates

April - no new updates

May - The OT service are exploring procedural changes to the way they operate which could be beneficial to the DFG process.

June - no new updates

July - no new updates

August - no new updates

September - no new updates

October - no new updates

November - New monitoring system in place with social services to ensure numbers of assessments required each month are maintained

December - No further updates

January - no further updates

February - no further updates

March - no further updates

April - no further updates

May - no new updates

June - no further updates

July - no new updates

August - no further updates

September - no further updates

October - no further updates

November - no further updates

Owner: Mark Wade

Responsible Officer: mark wade

Current Likelihood: Low

Current Impact: Medium

Overall RAG Status: Amber

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PL FIN 17: Reduced Capital funding / loss of staff

Risk Description:

All technical staff are fee earning. Therefore, with loss of income there is insufficient funding to pay salaries and staff (knowledge and experience) will be lost. These staff play an integral part in supporting the regeneration of the city centre.

Controls in Place:

Advanced forecasting of future workload, plus diversification of skills to meet peaks in workload. Opportunity to engage with TFW

Actions to be taken:

Actions to be taken: Collaboration with Regeneration to develop successful grant bids to support future workloads. Contingency plan to be put in place to retain key staff members should external grant funding streams cease.

No further update 26/03/18

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

Owner: Stuart Davies

Responsible Officer: mark thomas

Current Likelihood: High

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

Place (General) Risk Register Report 16/11/18

Risk Id	Risk Title	Owner	Date Last Updated	Overall RAG
PL GEN 5	Housing Risk S: Inadequate supply of housing to meet needs	Mark Wade	16/11/2018	R
PL GEN 6	Housing Risk W: Failure to meet the Welsh Housing Quality Standard	Mark Wade	16/11/2018	A
PL GEN 45	Highways-Failure to adequately maintain structural integrity of Carriageway & Footway Highway Assets leading to not fit for purpose and higher costs	Stuart Davies	01/10/2018	R
PL GEN 54	Commissioning and Sustainability of Cultural Services	Tracey McNulty	24/07/2018	R
PL GEN 81	Failure to deliver the City Bay Region's Economic Regeneration Strategy	Stuart Davies	01/10/2018	A
PL GEN 91	Major Transport Provider Ceases Trading	Stuart Davies	01/10/2018	A
PL GEN 93	Cessation of P&R service	Stuart Davies	01/10/2018	A
PL GEN 95	Ageing Vehicle Fleet	Stuart Davies	01/10/2018	A
PL GEN 97	Services in the community	Geoff Bacon	14/11/2018	A
PL GEN 98	Community cleaning	Geoff Bacon	14/11/2018	G

PL GEN 5: Housing Risk S: Inadequate supply of housing to meet needs

Risk Description:

An inadequate supply of housing to meet needs.

A Housing Market Assessment has identified the gap between the supply and demand for affordable Housing. The Authority has been successful in ensuring full spend of the funding in the Programme Delivery Plan and has been successful in the past at applying for additional funds made available by the Welsh Government, to deliver more Affordable Housing and it will continue to apply for such additional funding as and when it is made available. The Council's More Homes Strategy sets out the Council's plans to increase the supply of affordable housing in Swansea, including direct build council schemes on HRA land.

The More Homes Team is focussed on maximising delivery, including exploring Innovative and alternative models for delivery.

The Council works closely with WG and local RSLs to ensure there is a co-ordinated and strategic approach.

Actions to be taken:

Additional funding has been secured via the two Welsh Government initiatives listed above.

The Cabinet Member for Wellbeing accepted a number of recommendations made by the Affordable Housing Scrutiny Inquiry that would contribute to increasing the supply of affordable housing. In December 2014 the Panel met again and confirmed that they were happy with progress being made in implementing the recommendations.

The Authority recently successfully bid for funding of £1.76m from the Welsh Government's Smaller Properties Initiative to help RSLs build more smaller affordable units which are now more in demand due to Welfare Reform.

A Strategy for using additional HRA funds to build more Council homes is currently being developed and will be considered by Cabinet early in the New Year.

November Update - A 'More Homes' Development Manager has now been appointed to take forward the Authority's new Council House Building Programme.

December Update - No further update required

January Update - environmental issues have been identified on one of the More Homes pilot sites, another potential pilot site is being identified.

January Update - Social Housing Grant allocated to Swansea is forecast to be fully spent by RSL's this financial year

February Update - Extra £1.4m to be allocated to the Authority by WG to help RSL schemes. Work to be undertaken to determine which schemes should benefit, this needs to be done by the end of March.

March - all extra resources allocated to RSL schemes.

April - Full Social Housing Grant expenditure programme for 2016/17 developed and approved by the Cabinet Member for Next Generation Services.

May - No further updates

June - no further updates

July - Planning permission being sought for the 2 Council Housing new build schemes.

August - Welsh Government have decided to offer RSLs the opportunity to bid for further Housing Finance Grant to help them build more affordable homes.

September - a new system of financing affordable housing is being introduced by the WG with immediate effect. It blends both Social Housing Grant and Housing Finance Grant and should result in more affordable housing being grant funded over time.

October - A Meeting WG officials was attended by key officers to discuss new grant funding arrangements.

November - 'More Council Homes' - long term strategy is being reported to Council in November

December - no new updates

January - RSLs have been asked to bid for blended SHG/HFG funding for 2017/18

Feb - funding bids received from the RSLs and approved by the Cabinet Member.

march - no new updates

April - no new updates

May - The Authority has received an increased allocation of Social Housing Grant for this financial year.

June - no new updates

July - no new updates

August - the possibility of utilising the WG Innovative Housing Grant is being explored.

September - Innovative Housing Grant has been applied for and first batch of new Council houses have now been completed.

October - no new updates

November - awaiting the result of the Innovative Housing Grant application

December - The quantity of Innovative Housing Grant awarded to the Authority by the WG in relation to the Colliers Way development was less than anticipated.

January - awaiting details from WG regarding the possibility of increased borrowing to be permitted to fund more Council Housing.

February - awaiting WG guidance on changes to borrowing cap

March - information on borrowing cap changes received from the WG

April - The Authority has reported to WG that 132 affordable homes have been delivered by RSLs in 2017/18 by grant subsidised schemes such as SHG.

May - no new updates

June - audit of affordable housing delivery underway

July - Innovative Housing bid submitted to the Welsh Government

August - the Authority is participating in the Welsh Governments review of affordable housing provision

September - Response sent to WG's Affordable Housing Review

October - The Authority has been successful in its bid for IHP2, to enable 2 new council schemes of 34 homes to be built as Swansea Standard plus Homes As Power stations. The Authority is also bidding for additional borrowing to enable the full allocation of AHG, and to fund more developments post 2020.

November - WG have announced plans to lift the HRA borrowing cap for Welsh stock retaining Local Authorities. Legal advice is being sought on the implications of this. Awaiting recommendations from the Affordable Housing Supply Review.

Owner: Mark Wade
Responsible Officer: mark wade
Current Likelihood: High
Current Impact: High
Overall RAG Status: Red
Report Date: 16/11/2018 14:35:08

PL GEN 6: Housing Risk W: Failure to meet the Welsh Housing Quality Standard

Risk Description:

Failure to meet the Welsh Housing Quality Standard.

Controls in Place:

The Welsh Government has accepted the Council's HRA Business Plan for funding the improvements needed to the stock to meet the requirements of the Welsh Housing Quality Standard by 2020. The Business Plan is based on a number of key assumptions, some of which are outside the direct control of the Council such as rent setting policies which are controlled by the Welsh Government.

Actions to be taken:

The submission of further reports to Programme Board will be made, should any change in terms of the Council's financial position or WG policy occurs.

November Update - A WHQS Compliance Policy has been developed and will be submitted to Council for consideration on February 25th. In addition, WG officials recently visited the Authority and the issue of risks in relation to the WHQS was discussed.

December Update - No further updates required

January Update - The Welsh Housing Quality Standard is being considered by a Scrutiny Working Group on Feb 3rd.

February Update - A WHQS Compliance Policy has been approved by Council and submitted to the WG. A Scrutiny working group have met to consider progress towards WHQS and have put forward a number of recommendations to be considered. A response will be sent to the chair of the group by the end of March highlighting how these recommendations will be addressed.

March - Response sent to the chair of the WHQS Scrutiny Group

April - All local ward Members informed in writing of WHQS capital works in their area

May - No further updates

June - No further updates

July - Welsh Government Officers visited the Authority to discuss progress with meeting the WHQS. Positive feedback was received and it was indicated that the Authority would continue to receive Major Repairs Allowance funding.

August - Current WHQS compliance statistics sent to the WG to meet their requirements.

September - some potential 'reputational' issues are being experienced with the kitchen and bathroom element of the WHQS. The situation is being closely monitored by both Housing & CBS and remedial action is being taken.

October - no new updates

November/December - adjustments to the HRA Business Plan are being explored which might have an impact on future Capital Programmes.

January - Capital programme for 2017/18 going to Council in Feb

Feb - Capital Programme approved by Council

March - WHQS verification process to commence shortly.

April - no new updates

May - - no new updates

June - no new updates

July - no new updates

August - WHQS compliance return submitted to the Welsh Government.

September - no new updates

October - no new updates

November - overall RAG status reduced to Medium (Amber) after a review of the risk by Housing Futures Programme Board

December - the Welsh Audit Office have arranged to visit the Authority in February to assess progress in relation to achieving the WHQS. An initial planning meeting with the WAO took place in December.

January - no further details regarding WAO audit of WHQS

February - WAO to visit week commencing April 16th, stock condition survey to commence Feb 19th

March - stock condition survey underway

April - WAO currently visiting the Authority to look at WHQS delivery. Stock condition fieldwork now complete

May - provisional results of WAO review now made available to the Authority.

June - The Authority has supplied responses to initial questions raised by the WAO

July - no new updates

August - latest compliance stats being sent to the Welsh Government

September - technical strategy Commissioning Review underway

October - WAO report received. The report was generally positive.

November - Authority's comments regarding the WAO report have been sent back to them. WG confirm that the borrowing cap is to be lifted in Wales

Owner: Mark Wade

Responsible Officer: mark wade

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PL GEN 45: Highways-Failure to adequately maintain structural integrity of Carriageway & Footway Highway Assets leading to not fit for purpose and higher costs

Risk Description:

That some of the highway infrastructure is in a poor condition (in this case Carriageways, Footways) due to a lack of investment over many years.

Current backlog in carriageways alone is calculated to be £54m.

Current funding levels mean that the number of roads in poor condition will double within 10 years. An increase of traffic, local HGV movements and prevailing weather conditions are also major contributory factors.

An increase in assets due to reassignment between services without budget transfer also puts increasing pressures on what can be achieved.

Risk of further deterioration and highway becoming unfit for purpose.

Risk of increasing claims due to failure to meet statutory duty.

Controls in Place:

- Policy framework developed and approved by Council 2009.

2009 Inspection regime meets code of practice for maintenance management.

- Asset Management Plan 2010-15 published autumn 2010.
- 2010-15 - New 5 year programme for maintenance.
- 2011 Agreement across all Wales on intervention levels.
- Local Road Capital Grant from WAG diminishing and stopped 2011/12.
- 2012-15 LGBI investment from WG. A total of £10.45m for the Authority to invest in its highways asset of which around £1m per years was directed to this asset.
- 2013 All Wales Asset Mgmt Project links with SCOTTS project for best practice.
- 2013-16. £1m extra capital funding each year from the Authority's insurance reserve was allocated to reduce the deficit in funding. With this funding the total budget remains at around 55% of that required to maintain a steady state condition of the highway.
- 2015-20 - New 5 year programme for maintenance for carriageways, footways, street lighting, structures and drainage published.
- Asset Management Plan 2016-25 under review.
- 2016-17 Asset Management Annual Status Options Report(ASOP).
- 2017 Review of Safety Inspection Policy in accordance with new draft code of practice.

Significant progress being made through CSS wales and WLGA with additional £1.8m of funding from WG for 18/19 and a commitment to look at future funding levels.

Actions to be taken:

- Finalise the 2016-25 Asset Management plan in accordance with latest CCS Wales guidance. Code of Practice Updated 2017.
- Bid on further funding to reach steady state levels.
- CSS Wales working with WLGA to present case for further funding from WG
- Review of non-adopted highway and recently transferred assets to value risk, cost implications and to establish the increase in shortfall in budget due to condition.
- Review of safety inspection to new Code of Practice 2019.

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 01/10/18

Owner: Stuart Davies

Responsible Officer: bob fenwick

Current Likelihood: High

Current Impact: High

Overall RAG Status: Red

Report Date: 16/11/2018 14:35:08

PL GEN 54: Commissioning and Sustainability of Cultural Services

Risk Description:

To maintain or improve the sustainability of the range of Cultural services, depending on the success of the commissioning programme. Maintaining the financial viability/sustainability of the Cultural services portfolio.

Controls in Place:

Drawing up of tenders and development of Lots.
Collect and evaluate bids.
Prepare reports - In-House Management decisions and directions.
Present reports - Political decisions and directions.
Bid costs vs budgets - management of shortfalls.
Budget monitoring.
Business planning.
Future measures to be developed and applied as the programme continues.

Actions to be taken:

- Proceed with Commissioning and Transformation of Cultural Services
Jan 16 - Commissioning strand moving forward.
Cabinet report accepted.
Specifications and Procurement Guide being developed.
Jan 17 - Commissioning underway; bids submitted and being considered.
Jan 18 - Bids drawn up and submitted to Cabinet and Council.
June 2018 - Cabinet resolved that the recommendations as detailed in the "Commissioning Review: Cultural Services" report be approved.
July 2018 - Following the extensive assessment, review and procurement programme, Cabinet has agreed to begin a 20 year partnership with Freedom Leisure to operate our Leisure Centres.

Owner: Tracey McNulty

Responsible Officer: tracey mcnulty

Current Likelihood: High

Current Impact: High

Overall RAG Status: Red

Report Date: 16/11/2018 14:35:08

PL GEN 81: Failure to deliver the City Bay Region's Economic Regeneration Strategy**Risk Description:**

To provide Strategic Transport links to main centres of employment. Infrastructure projects are wholly reliant on grant funding from Europe or via Welsh Government, the uncertainty of future grant funding streams is a risk to the continued regeneration of the city centre and improving connectivity with other regional centres and key transport corridors / interchanges.

Controls in Place:

Annual bid for grant funding takes place and is successful to date. Transport has now been raised as a key element in the City Deal with proposals to

develop a Metro solution being supported by WG

Actions to be taken:

A review of our bid submissions are regularly undertaken and advice sought from Welsh Government on quality of bids. Collaborative working across the authority to maximise benefit from various funding sources.

Awaiting announcement regarding Metro funding for 18/19

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

Owner: Stuart Davies

Responsible Officer: mark thomas

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PL GEN 91: Major Transport Provider Ceases Trading

Risk Description:

The Council has contracts in place with transport operators to provide subsidised socially necessary local bus services and also statutory home to school transport services.

The majority of local bus services in the Swansea area are operated by First Cymru and over 80% of these are provided commercially.

Controls in Place:

Transport Officers carry out pre-qualifying checks on all transport providers as part of the Procurement process for transport services.

A Corporate Taxi Framework Agreement is in place so that replacement or new taxi services can be arranged quickly.

Transport officers monitor the licensing and fleet makeup of the main providers in the area so that the appropriate suppliers could be contacted and alternative arrangements made quickly should the need arise.

Swansea Council works closely with other local authorities in S W Wales and shares intelligence on transport providers/ issues with them.

Actions to be taken:

Continuing to monitor industry and work with WG.

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

Owner: Stuart Davies

Responsible Officer: cath swain

Current Likelihood: Low

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PL GEN 93: Cessation of P&R service

Risk Description:

Cessation of P&R services would lead to added congestion and air quality issues within the city jeopardising economic performance of the city.

Controls in Place:

Seeking to market P&R

Ensure that P&R is a key element of a Metro proposal

Monitor the viability and ensure that there is a robust City wide parking and access strategy and policy

Actions to be taken:

Actions to be taken: Influencing key decision makers to inform that city centre regeneration does not hinge on free / cheap city centre parking.

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

Owner: Stuart Davies

Responsible Officer: mark thomas

Current Likelihood: High

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PL GEN 95: Ageing Vehicle Fleet

Risk Description:

The delayed vehicle replacement programme has resulted in a vehicle fleet age profile that is older than required. Resultant large increase in vehicle maintenance costs and non-availability as occurring as a result.

Approximately 66% of vehicles have passed their planned replacement dates.

There may be a subsequent large increase in vehicle (end of contract) costs

within year when vehicles are replaced.

Majority of minibuses owned and used by schools do not use the corporate vehicle maintenance facility (CTU) and the extent of compliance with subsequent H&S and legal obligations is unknown. Vehicles are insured by CCoS. Lack of corporate governance in this regard.

June 2017 - Social Services fleet transferred to ITU under Directorate of Place. 65% existing fleet is overdue for renewal with some vehicles operating beyond their economic life.

Controls in Place:

- Tenders for medium commercial, light commercial and refuse collection vehicles.
- Vehicles are being withdrawn from service and replaced with short term hire where repairs are deemed uneconomic to continue use.
- Tenders for electric vans, public lighting towers, social services welfare buses and some heavier commercials being prepared.

- Some schools use CTU
- Fleet Manager presented to primary and secondary business managers on risk (Feb 2015)

- Fleet transporting Social Service users - current funding being reviewed.

- 350 new vehicles procured 2017/18.

Actions to be taken:

Jan 2017 - 38 medium commercial vehicles ordered, deliveries expected to commence June 2017

Jan 2017 light commercial tender for 300 advertised, closes Feb 2017

Jan 2017 refuse collection tender for 36 advertised, closed Feb 2017

Jan 2017 instruction issued to workshop staff for prior authorising of repairs to older vehicles

Feb 2017 potential for end of contract cost increases discussed with Finance

August 2017 Tenders completed. 85 vehicles ordered with expectation of full delivery by Feb 2018. Light Commercial tender requirements being agreed with users (300 vehicles). Significant levels of demand on CTU workshops due to age, maintenance costs anticipated to exceed budget by @ £300k for 17/18 if current trend continues.

Jan 2017 Fleet Manager to arrange to present to headteachers' forum.

Corporate H&S manager to assist.

August 2017 Initial meet with Education. Fleet Manager to provide guide in readiness for new term

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

Owner: Stuart Davies

Responsible Officer: mark barrow

Current Likelihood: High

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PL GEN 97: Services in the community

Risk Description:

If there's insufficient buy in from services, then full operational and financial benefits will not be achieved

Controls in Place:

Significant engagement at team and board level. Pathfinder project in Clydach to test the principles

Pilot due to launch Oct 18 (RL) 25.7.18

On target for launch w/c 15th October, Gorseinon project team held first meeting this month too. (RL 24.9.18)

Launch delayed until 5th Nov due to IT issues and Councillors leave. (22.10.18)

Actions to be taken:

Pilot launch date on track, with next pilot area - Gorseinon - identified

risk of underachievement of savings still likely

Pilot launched on 6th Nov at Clydach Library. Work commencing on Hub strategy across county. RL 14.11.18

Owner: Geoff Bacon

Responsible Officer: geoff bacon

Current Likelihood: Medium

Current Impact: Low

Overall RAG Status: Amber

Report Date: 16/11/2018 14:35:08

PL GEN 98: Community cleaning

Risk Description:

If the community cleaning proposal isn't given sufficient support and resource then it will fail

Controls in Place:

Pathfinder project to commence in Clydach alongside SITC
Work progressing 25.7.18 (RL)
Work progressing 24.9.18 (RL)
Work progressing 22.10.18 (RL)
Work progressing 14.11.18 (RL)

Actions to be taken:

Ongoing activity, no further risks identified

Owner: Geoff Bacon

Responsible Officer: geoff bacon

Current Likelihood: Low

Current Impact: Low

Overall RAG Status: Green

Report Date: 16/11/2018 14:35:08
