

Audit Committee

Summary of the overall status of risk within the Council – Quarter 2 2019/20

The following report summarises the overall status of risk within Swansea Council.

Overall Risk Status – Quarter 2 2019/20

The table below contrasts the overall risk status as at Quarter 1 with Quarter 2 2019/20.

	Low Risk	Medium Risk	High Risk
Quarter 1 19/20	20	129	29
Quarter 2 19/20	19	132	28
+ - change	-1	+3	-1

Summary – changes to the Risk Registers

- 97.2% of the risks that were in place as at Quarter 1 2019/20 were recorded as having been reviewed in Quarter 2 2019/20 (173 of 178 risks were recorded as being reviewed).
- This is a slight decline from the position at Quarter 1 2019/20 where 97.4% of risks had been reviewed since Quarter 4 2018/19.



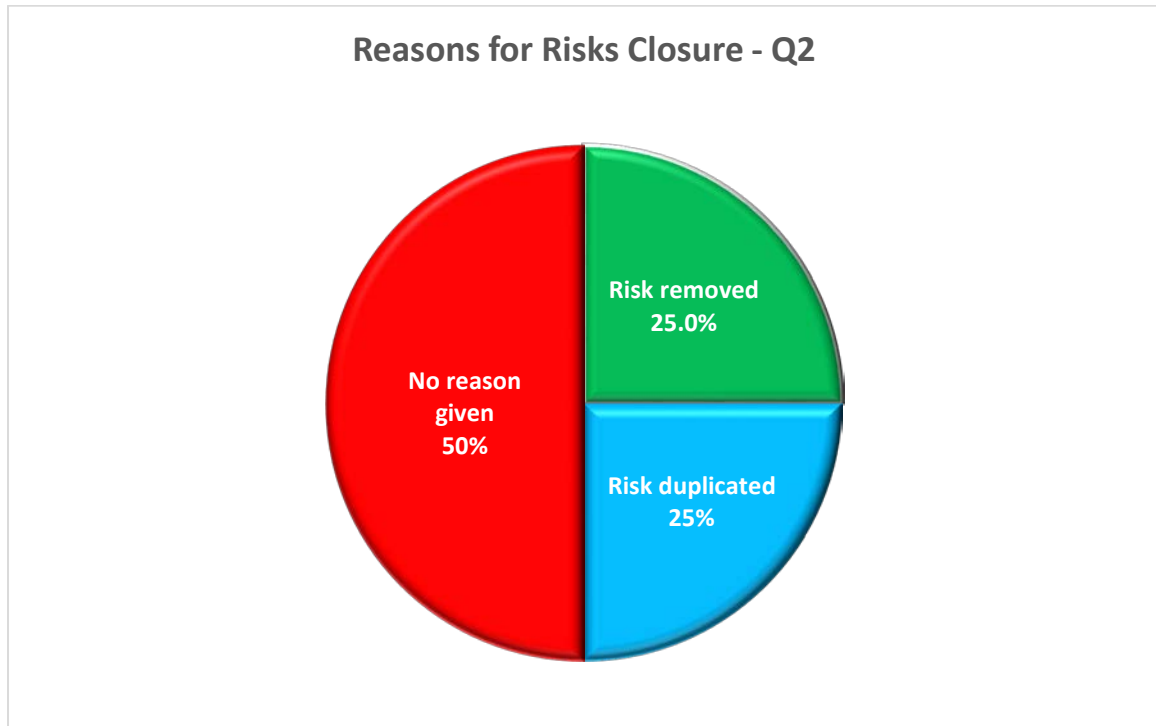
- 5 new risks were added to the registers.

Low Risk	Medium Risk	High Risk
0	3	2

- 4 risks were closed.

Low Risk	Medium Risk	High Risk
0	3	1

- **2** out of the **4** risks (**50%**) that were closed had reasons/comments for doing so recorded, compared to **89.3%** in Quarter 1 2018/19. Reasons for closure displayed in the chart below:



- **1** risk was escalated in Q2 whereas **3** risks were escalated in Quarter 1.
- The overall RAG status of 10 risks were changed.
- Of these **5** showed a reduction in risk level and **5** showed an increase.

Other observations

- Controls and actions are in place for all risks on the registers.
- CMT are reviewing the Corporate Risks each month.
- A new risk register ICT application is being rolled out incrementally across the Council. All Place directorate risks have been transferred to the new application. It is expected that the transfer of all risks from the old to the new system will be complete early on in the New Year.

Corporate & Directorate Risk Registers

- The Corporate Risk Register and Directorate Risk Registers dated 21/11/19 are attached at **Appendix B** and **Appendix C** respectively.

Appendix B

Corporate Risk Register Report 21/11/19

Id	Risk Title	Category	Responsible Officer	Date Last Updated	Overall RAG
CR 80	Financial Control – MTFP aspects of Sustainable Swansea	Corporate Finance	ben smith	05/11/2019	R
CR 82	Safeguarding	Corporate Plan Priorities	david howes	20/11/2019	R
CR 83	Pupil attainment and achievement	Corporate Plan Priorities	nick williams	22/10/2019	A
CR 84	Tackling poverty	Corporate Plan Priorities	david howes	19/11/2019	A
CR 85	Workforce Strategy	Corporate Governance	Sarah Lackenby	22/10/2019	A
CR 86	Digital, data and cyber security	Corporate Governance	Sarah Lackenby	22/10/2019	A
CR 87	Emergency Planning, Resilience and Business Continuity	Corporate Governance	adam hill	19/11/2019	A
CR 88	Health & Safety	Corporate Governance	adam hill	19/11/2019	A
CR 89	New legislative and statutory requirements	Corporate Governance	tracey meredith	05/11/2019	A
CR 90	Decision to leave the European Union (BREXIT)	Corporate Finance	adam hill	19/11/2019	R
CR 91	Tax evasion	Corporate Finance	ben smith	05/11/2019	A
CR 101	Regional Working	Corporate Governance	phil roberts	18/11/2019	A
CR 102	Supplement to risk CR90 - Decision to leave the European Union (BREXIT)	Corporate Finance	adam hill	19/11/2019	R
CR 103	Sustainable Swansea Transformation Programme Delivery	Corporate Plan Priorities	Sarah Lackenby	22/10/2019	A

Risk ID	Risk Title	Risk Level	Risk Description	Directorate	Service Area	Project Name	Responsible Officer	Updater	Prev Overall RAG	Current Overall RAG	Last Updated	Active
49	City Centre (CR81)	Corporate	IF we are unable to attract sufficient investment and development and do not regenerate the city centre, THEN there will be a detrimental impact on the Swansea economy and reputational damage for the Council	-	-	-	Martin.Nichols	Martin.Nichols	Red	Red	02-NOV-19	Yes

CR 80: Financial Control – MTFP aspects of Sustainable Swansea

Risk Description:

If we fail to deliver Sustainable Swansea and maintain sufficient financial control, and in particular do not ensure we contain service overspending, 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.

RR 19/07/19 - Description changed from 'Financial Control (Service Overspending) and Sustainable Swansea' to 'Financial Control – MTFP aspects of Sustainable Swansea' as per CMT 10/07/19

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.
- Launch of Reshaping Board to further challenge delivery/mitigations for non-delivery and accelerate timescale for assuring delivery
- MTFP.
- Dedicated Scrutiny Service Improvement and Finance Performance Panel consider and scrutinise the budget on a quarterly basis

All the above refreshed for 2019-20 budget round including launch of Zero Based Budget as next phase of Sustainable Swansea

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

BGS 24/9 - position remains stable compared to first quarter for 19/20 but has not materially improved. Risks for the future have increased especially around ending of public sector pay cap, partial funding only of teacher pay award, pending substantial increases to teacher employer costs, ongoing social care pressures. LG settlement 9 October - and extent to which there will be recognition and funding - will be key

BGS 14/11 - provisional settlement like for like cash £18k - allocation not adequate to address pressures. Develop ongoing budget proposals in light of this provisional settlement. Await further announcements and final settlement around 20th December.

BGS 13/2/19 - final settlement £1.5m better than provisional - this had been fully factored into Dec Cabinet budget report. Capital settlement for next 3 years £20m better than provisional, saving £1.5m in borrowing costs per annum longer term. Again fully factored into December Cabinet report.

Feb 19 - 3rd quarter budget monitoring indicates no material improvement - S151 action to ensure budget technically balances for 18/19 - downside is increases risks faced in 2019/20 budget round.

Feb 19 - current budget and mtfp reports going through Scrutiny and Cabinet and Council process. Publication for Special Cabinet missed publication deadline for February Audit Committee. Will follow to next Audit Committee (April).

Apr 9 - latest position reported to Audit Committee re controls exercised/action being taken

May 23 - outturn 18-19 finalised and services continue to overspend but actions in year have limited overspend (some only temporarily). Early indications are overspending pressures likely to continue in social services, education and resources/corporate services. S151 Officer retains a range of options to contain and mitigate overall impact on Council.

Sep 9 - 1st quarter report to Cabinet - services reporting £4.3m overspend forecast - covered temporarily by use of contingency. S151 Officer advice issued and Cabinet resolved that Directors must bring forward credible action plans to rebalance and in the meantime no officer may bring forward material

further spending commitments. Audit Committee received same advice from S151 Officer and has asked to urgently see implementation plans to achieve the required savings.

Nov 5 - 2nd quarter still being reviewed - will report an improved position to Cabinet

Responsible Officer: ben smith

Current Likelihood: Very High

Current Impact: Very High

Overall RAG Status: Red

Report Date: 21/11/2019 12:11:15

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. Principal Officers for Safeguarding within social services
- Corporate Safeguarding Policy and Group.
- Strong performance monitoring and reporting arrangements.
- Positive engagement and support from Cabinet and Council.
- Mandatory 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
- Separate safeguarding arrangements in place in schools, with a central education safeguarding officer within the main local authority directorate
- Two dedicated scrutiny panels in place to scrutinize social services work and performance.
- New and revised Safeguarding Policy following a review undertaken by the Safeguarding PDDC'

Updates (16/7/2019)

Children services have completed the restructure of the frontline supported care planning teams.

First phase training for staff in the adult services practice model is almost complete.

Multi agency monitoring of potential safeguarding referrals is now in place at the front door of adult services.

A process for the regular audit of safeguarding cases has now been established within adult services to mirror the equivalent arrangements for children services.

Update 20/9/19

Some concern about diminished capacity within frontline child protection teams due to high levels of churn within the workforce.

Update 10/10/19

Additional concern identified regarding the operation of HR transactions processes in relation to DBS checks and some other employment checks in regulated services.

Update 19/11/19

CMT have agreed action plan to stabilise recruitment and retention of frontline children services staff

Actions to be taken:

As part of a wider restructuring of adult services, there is still a plan to re-establish a dedicated safeguarding team at the front door.

Children services are planning to further enhance the multi-agency front door team with a dedicated safeguarding hub.

Director of Social Services to advise Cabinet and CMT on options to bolster resilience of the workforce in frontline child protection teams.

Action plan being developed in response to recent audit on DBS compliance in schools.

Subgroup of the corp. safeguarding board reviewing additional safeguards that can be implemented by the HR transactions team.

Updated 20 November 2019- David Howes, Director of Social Services

Responsible Officer: david howes

Current Likelihood: Medium

Current Impact: Very High

Overall RAG Status: Red

Report Date: 21/11/2019 12:11:15

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.
- Education Skills Co-ordinator appointed.

Actions to be taken:

25/09/19-22/10/19: The work of Swansea's Skills Partnership continues to gain momentum in collaborative work with partners to improve advice and guidance for school leavers and also to build digital capacity.

10/06/19: CAs continue to support schools to work as learning organisations.

- Managing the review of ERW and strong KS4 outcomes in 2018.
- ALN Commissioning Review complete but now requires separate risk.
- OECD principles of schools as learning organisations disseminated to schools and senior leaders in schools
- The Chief Exec and Director have continued to lead on ERW arrangements at Joint Committee including issues regarding funding in particular. However,

there remain uncertainties regarding commitment of all LA to regional working under the current budget arrangements although there is a commitment to the model in principle.

- Provided a consultation response regarding the “middle tier” to the Assembly.
- Attendance rates remain variable but still within an acceptable variance. Primary attendance has gone up but secondary attendance is down compared to the half-term last year.
- School Improvement Partnership provides a suitable forum to support and challenge schools regarding their use resources but also to provide support.
- EOTAS project is progressing although there is an anticipated delay. There has been a good outcome to the recent PRU inspection.
- ALN Strategy in place but there are significant capacity issues that need addressing which need raising as a separate risk.

Responsible Officer: nick williams

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

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 and performance framework in place
- Council Poverty Forum renewed, chaired by Deputy 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:

Review of Poverty and Prevention infrastructure completed with objective of further strengthening a whole Council approach to tackling poverty. Interim management arrangements agreed with direct report through to the Director of Social Services.

Commissioning reviews in Employability and Financial inclusion are underway with cross-directorate involvement. Internal and external stakeholders have been identified and workshops are scheduled.

The Poverty Truth Commission start-up group is established with representation from Cabinet and partner organisations, including SCVS who have been confirmed as the Commission host. The current focus is on securing funds for the commission with 50% of the required funding now in place.

Swansea has been successful in being selected to be one of four UK pilot areas involved in a Coordinated Crisis Support programme to support citizens facing financial crisis to address the underlying needs to prevent the recurrence of crisis. There has been a good response from the initial meeting with partners regarding the programme. The next stages include confirming a programme Steering Group, developing the Implementation Plan detailing the funding allocation plans with the aim to start delivery from February 2020. The programme is complementing and supporting the work of the Financial Inclusion Commissioning Review.

Poverty forum refreshed with leadership via the Deputy Chief Exec. Updated action plan is being implemented with actions identified across Council services, these include; targeted support for Pension Credit claims, employability support for families facing benefit status changes, approaches to addressing debt to the authority and employability support through the new education curriculum framework.

Updated 19 November 2019 - David Howes, Director of Social Services

Responsible Officer: david howes

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

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
- Gender pay gap and project plan
- Apprenticeship / traineeships strategy
- Organisational Development (OD) strategy and implementation plan in place
- Tracking and monitoring of OD plan and delivery
- New reporting through revised CMT/Cabinet governance
- New reporting through Leadership Team

Actions to be taken:

Latest update October 2019:

- New service planning template being co-produced with Heads of Service to incorporate workforce planning
- Public Sector Equality Duty (PSED) return made to WLGA
- OD strategy incorporated into Future Council strand of Sustainable Swansea
- Leadership Hub sessions underway
- Management training and development underway
- Mandatory training reviewed and updated
- HR Policy review underway
- Workforce development part of the Future Council aspect of Sustainable Swansea
- Gender pay gap analysis and plan part of Policy Development Committee work plan
- Service plans completed, which is informed by a workforce analysis by each service

Responsible Officer: Sarah Lackenby

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

CR 86: Digital, data and cyber security

Risk Description:

If we do not have robust digital, data and cyber 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.

Risk revised 18/09/18 following attendance at a cyber-event with the police and receiving information from the WLGA regarding what Local Authorities should be demonstrating as basic measures.

Category:

Corporate Governance

Controls in Place:

- Public Services Network (PSN) compliance certificate (tested annually)
- Mandatory data protection and cyber security 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
- 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
- Externally hosted email filtering service to prevent the sending and receiving of emails which contain known and suspected virus infections.
- Firewalls and filtering software as our first line of defence to monitor incoming and outgoing network traffic.
- Software patching to enable systems to stay updated and secure from weaknesses and unauthorised access.
- Encryption is used on mobile devices as a security measure that makes data unreadable if it's stolen.
- Up-to-date anti-virus software installed on all Council PC's and laptops to

detect and remove malicious software.

- A variety of ICT policies and procedures to ensure staff are responsible for their actions when using technology.
- Staff only granted access to social media / networking for specific business reasons in a work-related professional capacity.
- Council data is backed up and taken off-site.
- Staff on Mobile working and remote access have the facilities to work outside their office and still have the same secure setup as if they were sitting at their desks.
- More use of secure cloud storage.
- Revised ICT Security Policy, Cyber Strategy and Information Governance framework approved by CMT
- General Data Protection Regulation (GDPR) compliance monitoring and reporting through P&FMs and new CMT/Cabinet governance
- GDPR project complete
- Members of Digital Services, Communications and emergency planning attended a cyber-security training event with the police which included senior officers from various local authorities interacting in an event of a real cyber incident.
- Part of the Wales WARP (Warning Advice and Reporting Point) to share cyber threats and defences with other public bodies.
- Member of the CISP (Cyber Security Information Sharing Partnership) which is a joint industry and government initiative set up to exchange cyber threat information.

Actions to be taken:

Latest update October 2019:

- LRF cyber exercise planned and revised SIRO training
- Further mitigation includes live testing of DR plan - options being reviewed potentially in line with wider corporate business continuity exercise
- Cyber essentials accreditation achieved
- PSN certification achieved
- New regional multi-agency cyber cell meetings being attended to share intelligence and actions
- Embarking on Cyber Essential and Cyber Essentials Plus accreditation
- Digital Services working with internal audit and emergency planning to further improve the ICT Disaster recovery plan.
- Cyber Security strategy created and ready for engagement with staff.

Responsible Officer: Sarah Lackenby

Current Likelihood: Low

Current Impact: High

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

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.
 - Ensuring senior staff training and roles are clear.
 - Greater responsibility allocated to Deputy CEO from 29 October 2018.
- Responsible Officer changed from Phil Roberts to Adam Hill as per CMT on

13/02/19

Business continuity plans being reviewed and updated
continue to monitor situation and additional training being undertaken within
CMT to build capacity.

24 June 2019 AH Training has been arranged for Senior officers at Gold
Level, to ensure experience and knowledge is up to date.

24 July 2019 AH Training at Gold Level has been undertaken by Adam Hill to
increase capacity at strategic level.

23/08/2019 AH business continuity plans are being reviewed in light of a EU
exit.

16/09/2019 AH As part of the EU preparedness the Emergency planning and
resilience has been subject to an assurance review. This is reviewed by the
team and any areas that need additional work or support will be raised as part
of the ongoing preparedness work.

14/10/2019 Emergency planning training and awareness undertaken with a
prepare and protect conference on 2 October, a Brexit strategic workshop on
4th October, an all wales connect exercise on 12 October and a CBRN
exercise on 16 October.

19/11/2019 AH - Cyber exercise was postponed until the new year due to
Brexit.

Responsible Officer: adam hill

Current Likelihood: Low

Current Impact: Very High

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

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.
 - Greater responsibility given to Deputy CE from 29 October 2018.
- Responsible Officer changed from Phil Roberts to Adam Hill as per CMT on 13/02/19.

Regular update on corporate Health and Safety introduced as part of Resources DMT to look at trends and patterns.

24 June 2019 AH Health and Safety mandatory training updated to ensure it is included with the corporate mandatory training.

24 July 2019 AH Health and Safety is reviewed on a weekly basis as part of CMT to identify any areas which require escalation or are of concern.

23/08/2019 AH 2 posts within health and safety have been reviewed and are being recruited to maintain operational levels.

16/09/2019 AH Business continuity plans are being reviewed in light of the current situation regarding EU exit.

14/10/2019 AH Risk reviewed and continued to be monitored via CMT and Leadership team regularly.

19/11/2019 AH Business continuity plans are almost complete with only 2 Outstanding which have been followed up with the Director to encourage completion.

Responsible Officer: adam hill

Current Likelihood: Low

Current Impact: High

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

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

Update 8/4/19

- Well Being of Future Generations guidance to be updated to include toolkit which will be referenced in report writing new guidance.

Update 10/04/19

- Created a web page to provide information on Well-being of Future Generations and to point staff and Members to Welsh Government and Future Generation Commissioner resources to refer to and to help inform the development of any proposals / reports at the earliest stage.

16 June 2019 Well Being Future Generations webpage updated. CMT updated by monitoring Officer on Legislative changes/consultations in WG from LLG

29 August 2019 LLG changes to legislation circulated to CMT
no further update

Responsible Officer: tracey meredith

Current Likelihood: Low

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

CR 90 / 102: Decision to leave the European Union (BREXIT)

Risk Description:

New Description 23/01/19 (see below) - If there is continuing uncertainty from the decision to exit the European Union (BREXIT), then the Council will not be able to prepare as effectively as it would like to in order to ensure service continuity and to safeguard the financial / economic, social, environmental and cultural well-being of citizens and resident EU nationals.

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

and subsequent review of Corporate Risks. Supersedes risk CR64. (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 Description revised on 23/01/19 following approval by cross-departmental Brexit Steering Group on 21/01/19.

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)

Arrangements we are putting place to manage them:

- Corporate - Work with the WLGA and welsh Government to ensure there is a collective and consistent approach across Welsh local government in responding to BREXIT; the Leader for the Council also leads for WLGA on Europe, which will be beneficial to the Council in identifying means to address risks. Lobby via WLGA, professional associations for locally retained business rates.
- Economic development and regeneration - Increase level of marketing and promotion of city centre projects and opportunities; increase awareness of Business support offer available to local companies and local supply chain opportunities; exploring alternative funding sources and methods of funding.
- Information management: We will follow ICO guidance with regard to Brexit.
- Records management: We will ensure any European project records are secured and up to date for the period stipulated by the EU regardless of Brexit but also expect there may be guidance from WEFO on this.
- ICT/Digital: We have been ensuring UK based data centres in our move to Cloud to mitigate any impact of Brexit as well as ensuring data security. Brexit may impact patching of software where we have large global suppliers such as Oracle. A fundamental global change to the system as a result of EU legislative changes may still need to be delivered by us (unless suppliers release a UK version which is yet unknown). We've seen ICT contract costs gradually rising over the past 18 months due to concern in the market on the impact of Brexit. We have been mitigating against contract inflation in the budget and MTFP wherever possible.

- Social care - Relevant staff are participating in briefings on the national schemes set up to mitigate that impact and communicating directly with local providers to better assess likely impact.
 - HR - Joined the national teleconferences with the Home Office around EEA nationals and residency. Undertaken a risk assessment and identified potentially impacted employees and areas of work. Plans to communicate to managers information to help by providing useful and reassuring information to staff (FAQs, considering discussing in meetings i.e. one-to one's). Established a working group to prepare an action plan to ensure that we are able to manage a migrant workforce and making business decisions on how to potentially support employees to regularise their stay or apply to become British citizens. Attending Home Office seminars, in relation to plans to pilot their Settled Status Scheme systems with UK health and social care staff ahead of the systems becoming fully operational and open to all from 30 March 2019; this pilot will run from 29 November until 21 December this year Ensuring that we remain updated in line with CIPD advice and legal guidance.
- Internal steering group focussed on preparedness across the organisation and linking through to external groups set up and meeting monthly with action log to ensure measures are put in place and tracked

Updated 28/03/19 RR

- Ensured that organisations supplying Agency Workers to the Council are complying with Government advice, guidance and rules concerning the employment and status of resident EU nationals
- Draft communications plan and portal for Brexit related internal and external communication and information, including the dissemination of Welsh and UK Government advice developed.

Actions to be taken:

- Lobby via WLGA, professional associations for locally retained business rates
- 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 (COMPLETE)
- Undertake a BREXIT impact assessment (COMPLETE)

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 consequential - 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.

BGS 24/9/18 - given lack of progress in the past 3 months pan UK - this has been increased to very high likelihood of uncertainty pervading and the risks and impact of the permutations of Brexit deals and no deals has also deteriorated

BGS 14/11 - Key implications risks and opportunities:

- Legal – no immediate specific issues as all EU laws segue into or are already UK law
- Contracted services – EU nationals employed by your contractors. Probably have higher numbers of non-EU non-UK nationals especially in care sector.
- Care sector - increased fragility of the domiciliary and residential care market due to workforce impacts.
- HR – own workforce we have around 100 EU nationals. There is a proposed settlement fee of £554 per worker. Expectation is we as employer would pay fees even if no legal obligation.
- Civil Contingency - civil unrest locally unlikely but everything is still contingency planned for locally, regionally and nationally; can be escalated as needs be.
- EU funds – after 2022/23 structural funds and programmes dry up. Loss of EU Structural Funds currently £30m of schemes in progress particularly supporting economic development, capital and skills initiatives. There is no indication of how this funding would be replaced and very limited alternative funding from Welsh Government and other sources. Shared Prosperity Fund as replacement vague as to implications – policy vacuum.
In economic development & poverty and prevention, we have around 45 of our staff funded by EU funds. Impact on wider work creation programmes. Wider Welsh issues are E.g. Welsh Development Bank part funded by ERDF.
- State Aid Regime – currently tied to EU rules – but in a “no deal” Brexit we would default to WTO rules, which are arguably even more onerous.
- Agency and workforce - need to actively engage with both for a post EU Brexit, no discrimination policy etc.
- Risks – are currently too finance focussed and need to widen to procurement, staff, HR, civil contingency etc. and actions to mitigate (COMPLETE - Description revised 23/01/19).
- Money – zero grant losses from EU factored into MTFP post 2022-23. Unknown.
- Port Health Authority - becomes potentially hard border – implications for goods and food/waste transit etc. Swansea Airport – we are landowner not operator but still a port of entry – albeit small scale
- Data – where will it be held - Microsoft e.g. only just opened British Data centres. What is the legal regime for services in cloud in future?
- Health, Environment – long-term risk re climate change, agriculture etc.
- Public Health – monitoring water, power - significant resource issues re certification of meat, food, livestock, vaccines etc. if EU certification schemes end.
- Local economy risks: Lower levels of inward investment due to the uncertainty of financial markets and changing regulations created by Brexit. Market uncertainty also affects ability to attract developers and investors to

commit to city centre regeneration schemes.

Potential effect on businesses ability to trade with EU companies impacting on employment levels.

- Procurement - cost inflation due to a no-deal. There may be some inflation on our contracts; but too early to tell as the detail is not yet apparent. If 'no deal' then likely higher inflation for a period as the supply base reacts to new tariffs etc. Loss of EU labour may cause cost increases too, but again given the settled status regime proposed by UK Gov, that may be a longer-term problem.

AH 14/12/18 - Welsh Audit Office call for Evidence was used to gather information on work undertaken to date to prepare and identify issues in relation Brexit. This information will be used to develop a more robust response through the Brexit Steering group.

RR 16/12/18 - Review of Civil Contingency Plans: Duty Rotas. Continue to monitor with partners

RR 28/01/18 - New controls added following Brexit Steering Group held on 21/01/19. Progress to be reviewed at the next meeting on 26/02/18.

- List all the groups that are meeting with internal and external partners to discuss and respond to Brexit.
- Develop a single communications plan and portal for Brexit related internal and external communication and information, including the dissemination of Welsh and UK Government advice (DRAFT COMPLETE 22/03/19).
- Direct communication with partners through the Local Resilience Forum.
- Revise and fully test Business Continuity Plans (as well as the Port Authority), including the robustness of supplier and partner arrangements.
- Ensure that organisations supplying Agency Workers to the Council are complying with Government advice, guidance and rules concerning the employment and status of resident EU nationals (COMPLETE 26/02/19).
- Establish a working group to prepare an action plan to manage and support the affected EU resident Council workforce and the implications for service delivery.
- Establish a gap analysis to identify all programmes and projects dependent upon EU funding & create a list of strategic options post 2020.
- Procurement - identify level of exposure amongst suppliers and alternative arrangements (especially in services to vulnerable people) should supply be disrupted.

AH 7/3/2019 - This is all covered through the Brexit Steering group with officers allocated responsibility for managing and acting on each point above and feeding back to the steering group.

RR 28/03/19 - controls and actions updated.
monitoring of actions and controls undertaken

Ah 24/6/2019 Steady state is in place and regular communication takes place with other agencies and within the council.

24/7/2019 AH New Prime Minister elected so expect more detailed information to come forward for the steering groups and working groups to work on and develop plans to mitigate any issues.

AH 23/8/2019 The Deputy Chief Executive attends welsh government and UK government briefings, sits on the SWLRF and has re-introduced the Brexit working group to ensure our preparedness and checks are in place and to mitigate any risks where possible or escalate where necessary. These meetings are held every 2 weeks on the run up to the 31 October.

AH 16/09/2018 all services have completed an assurance assessment and RAG rating on their preparedness and what mitigation and investigations have taken place and where additional work is required to give additional assurance. The deputy chief executive has also met with a range of companies and organisations to check Preparedness and also met with the Port Health Authority. Internal audit has also undertaken a Audit on the work undertaken on Preparedness and the outcome is High Assurance and no actions.

14/10/2019 Brexit Steering group meets every 2 weeks and a Teams site established to share information and updates between meetings. A Brexit strategic Workshop for South wales was held on 4th October to share information, good practice and scenario test.

19/11/2019 AH - Brexit extended till January and General Election on 12 December. Brexit steering group stood down, with the Teams site being updated with any updates and remains an agenda item at CMT and Leadership Team and services to continue to work up Brexit plans.

Responsible Officer: adam hill

Current Likelihood: Very High

Current Impact: Medium

Overall RAG Status: Red

Report Date: 21/11/2019 12:11:15

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 have established policies, procedures and communication to follow financial rules, procedures and guidance and to prevent the risk.
- Audit/Corporate Fraud have incorporated 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

BGS Reviewed 24/9/18 - no change to likelihood assessment, impact reduced

BGS Reviewed 12/12/18 - no change to assessment - mitigations adequate

BGS Reviewed 13/2/19 - no change to assessment - mitigations remain adequate, following S151 action taken to strengthen schools segregation of duties for online banking access to own school accounts.

BGS reviewed 23/05/19 - no change to assessment - mitigations adequate

BGS reviewed 09/09/19 - no change to assessment - mitigations adequate

BGS reviewed 05/11/19 - no change to assessment - mitigation adequate

Responsible Officer: ben smith

Current Likelihood: Low

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

CR 101: Regional Working

Risk Description:

If the Council, along with its partners and Welsh Government, does not develop and improve regional working, then it will divert the Council and its resources from key priorities and will not benefit Swansea and its residents.

We need to (Recommendations from Scrutiny Inquiry):

- Continue to be ahead of the game by looking at positive ways forward for Swansea in Regional Working collaborations by being involved, where possible, in pilots/trials that may ease and prepare the way forward for us.
- Address or mitigate the barriers found in existing regional partnerships and use the lessons learnt to inform our new collaboration activities.
- Ensure that we learn particularly from previous large collaborations both positive and negative aspects to help ease our way into new partnership arrangements.
- Ensure all partnerships have an effective governance structure that has a suitable amount of elected member challenge built in, particularly scrutiny in those larger most impactful partnerships like Swansea Bay City Region, Western Bay and ERW.
- Ensure that each partnership has one clear structured lead that can facilitate communication between the partnership and scrutiny.
- Ensure that the current financial and resource implications for Swansea (including quantifying officer time) are clearly and continually understood.
- Review the regional bodies that we work with, to see if any can be rationalised or amalgamated. We must be SMART about the partnerships which we are involved in to ensure we are adding value for time spent.
- That modern technology is used for meetings to reduce travel time, including, for example skype, video conferencing. Ensuring the right facilities are available for Councillors and staff and that they are encouraged and trained to use them.
- Make more use of the third and private sector bodies in our collaboration activities.
- Make representations to Welsh Government through our different working partnerships about streamlining and simplifying the business case and grant application process.
- Partnerships regularly review their governance, membership and impact. This should include the publishing of an annual report.

Category:

Corporate Governance

Controls in Place:

- The senior management restructure approved by Council on 21st June strengthens the Council's management capacity to ensure that the regional collaboration agenda can be taken forward proactively by Swansea whilst also allowing the Council to manage its ambitious programmes based around the corporate priorities.
- The new senior management structure agreed at Council on 21st June 2018 has director leads in place for each partnership.
- The Council is playing a leading and proactive role in major regional collaborations.
- A mapping exercise has been undertaken that identified the key local, regional and national partnerships.
- ERW produces audited and published accounts and are inspected by Estyn and has produced a document called Democratic Accountability and Scrutiny, which recognises the role of scrutiny in, amongst other things, monitoring performance and budgets. The City Deal is in the development stages of practical formation and detailed agreement; it is envisaged that the governance structure will be similar to that of ERW.
- The Chief Executive takes the lead role for ERW and Western Bay as well as being an executive member of the City Deal Joint Committee.
- The Leader of the Council is the City Region Joint Committee Chair.
- The City Deal has a Joint Working Agreement in place, which was approved at Council on 26th July 2018.
- A review of progress has been undertaken by IPC on the Western Bay Health & Social Care collaboration.
- The Council meets up regionally with 5 other local authorities to discuss collaboration projects.
- The Council has a clear rationale in place when collaborating and it is clear on the anticipated benefits and costs.
- ERW has fully formed Governance Arrangements, which includes a Joint committee, an ERW Service Committee and a joint scrutiny mechanism. A Joint Committee Agreement and joint scrutiny arrangements were agreed for the City Deal at Council on 26th July 2018. Western Bay has a Joint Committee in place; there are scrutiny arrangements in place for all three partnerships
- The Council is playing a leading and proactive role in major regional collaborations.
- The Council has a clear rationale in place when collaborating and it is clear on the anticipated benefits and costs.
- The Council understands what it currently contributes directly to ERW, Western Bay and City Region and how much it contributes to all other partnerships.
- The Council is rolling out and promoting the use of Skype as part of the wider roll out of Office 365 resulting from the Council's Digital Strategy and modernisation agenda.
- The City Deal is being delivered with the involvement of the private sector.

The Western Bay Programme supports collaborative working between four statutory partner organisations, together with the third and independent sectors. ERW has independent members involved in the Executive Board.

- Representations have been made to Welsh Government on reforming the grant regime; for example through the Council's response to the recent Green Paper on Local Government Reorganisation.

Actions to be taken:

- Continue to influence the collaboration agenda and decision-making at Welsh Government (Responsible officer – Chief Executive).
- Undertake a lessons learnt exercise (including learning points identified by the Scrutiny Inquiry Panel) across the three main regional collaborations and develop an action plan/s with resource implications to address any specific and remaining barriers (Responsible officer - Director leads).
- Review governance arrangements of the 3 main partnerships – ERW, Western bay and City Deal - to ensure they remain fit for purpose (Responsible officer - Director leads & Monitoring Officer).
- Continue to assess the value to the Council from being involved in existing or new partnerships, including an analysis of costs and benefits (Responsible Officer - CMT).
- Review how Skype could be used amongst partners to reduce travelling and officer and Councillor time and further encourage participation in partnership working (Responsible officer – Chief Transformation Officer).
- Continue to engage the third sector in existing partnerships (Responsible officer - Director leads).
- Continue to press Welsh Government for a more streamlined grant process (Responsible officer – Chief Executive).
- Produce an annual report to Council on the progress made across the main regional collaborations; ERW, Western Bay and City Deal (Responsible officer – Chief Executive).

Update February 2019

- Responsible officer changed from Phil Roberts to Jack Straw as per CMT on 13/02/19.
- Regional Working Annual Report to proceed to Council on 25th April 2019

Update March 2019

- Regional Working Annual Report to proceed to Council annual meeting on 23rd May 2019

Update June 2019

- Responsible officer changed from Jack Straw to Phil Roberts as per CMT on 12/06/19.
- Discussion with CMT/Cabinet on possible approaches to regionalisation at next Awayday

Update August 2019

- Informal discussions held with Minister following CMT/Cabinet awayday discussion.

The Chief Executive has met with senior civil servants to discuss a regional

proposition.

Further discussions taken place with the Minister.

Regional discussion to be held next month.

CEO and Leader attendance at Regional Scrutiny enquiry to update on 15/10/19.

Update November 2019

Chief Executive has held discussions with other regional CEOs in mid and South West Wales.

Further discussions to be held with WG post-election.

Responsible Officer: phil roberts

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

CR 103: Sustainable Swansea Transformation Programme Delivery

Risk Description:

If the Sustainable Swansea Transformation Programme does not deliver radical cross-cutting change, then the Council and its workforce are at risk of being unsustainable in the longer term

RR 19/07/19 - Corporate Services Risk CS92 Sustainable Swansea Programme Delivery closed and matter escalated to Corporate Risk Register, as per CMT 10/07/19

Category:

Corporate Plan Priorities

Controls in Place:

- Programme plan.
- Robust programme governance and reporting.
- Monitoring and reporting at CMT away days and CMT/Cabinet Away Days.
- 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.
- Annual Report to Scrutiny.

Actions to be taken:

Latest update October 2019:

- WAO invited to November Sustainable Swansea Board session.

- 2019 review underway.
- Risk re-positioned in August: a) Escalated to corporate risk as delivery is the responsibility of CMT and Heads of Service; and b) The programme is large and articulates change and transformation across four areas many of which are not financial. Risks related to the MTFP savings have therefore been separated out.
- Scheduled 'deep dive' sessions and overall highlight report monitoring at CMT away days and CMT/Cabinet away days.
- Timing of complex change and transformation continues to be a challenge, particularly where services are trying to delivery business as usual and change at the same time with the same resources. Sickness has also impacted in some services. Mitigations are being delivered such as multiskilling and matrix working.
- Focus on digital transformation moving forward - digital first as per the strategy.
- New programme implementation underway following MTFP approval at March Council.
- Programme governance and reporting reviewed.
- Programme review underway - this year reviewing original strategic principles and framework.
- Commissioning review progress presented to Scrutiny in December - further questions and information will be presented at April Scrutiny Performance Panel.

Responsible Officer: Sarah Lackenby

Current Likelihood: Medium

Current Impact: High

Overall RAG Status: Amber

Report Date: 21/11/2019 12:11:15

Appendix C

Corporate Services Directorate Risk Register Report 21/11/19

Risk Id	Risk Title	Owner	Date Last Updated	Overall RAG
CS 83	ICT Disaster Recovery	Sarah Lackenby	22/10/2019	A
CS 91	Corporate Governance	Adam Hill	19/11/2019	A
CS 93	Snap Parliamentary Election/Referendum	Huw Evans	07/11/2019	A

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:

Latest update October 2019:

- Digital Strategy approved by CMT - cloud first strategy to significantly improve DR.
- New ERP system approved to improve DR as it is cloud based for major processes.
- Options for live testing of DR plan being considered.
- Audit undertaken in August 2018 with limited assurance. All actions from the recommendations now complete, Audit Committee updated.
- Information asset register created, next phase underway with asset owners
- Plans are being developed to provide a full DR solution covering Schools and corporate services.
- ICT resilience significantly improved with implementation of digital strategy, i.e. Office 365, new infrastructure and network configuration, new storage and back-up storage.
- Project underway moving more services to cloud to improve resilience.

- ICT working with resilience staff to support services with their business continuity arrangements.
- New projects underway in 2018 as part of Digital Strategy review.
- Oil change in transformer successfully completed with no down time in November 2017.

Owner: Sarah Lackenby

Responsible Officer: Sarah Lackenby

Current Likelihood: Low

Current Impact: Very High

Overall RAG Status: Amber

Report Date: 21/11/2019 12:42:33

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:

- 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).

MTFP agreed with finance reports also for HRA account and Capital programme agreed at Council on 28 February 2019.

Deputy Chief Executive presented at the Audit committee to show the link between risk and assurance and also at Scrutiny planning meeting to help shape.

AH 24/6/2019 CMT and Leadership governance review undertaken and new way of working introduced for management of agendas, schedule of business and core business items.

24/7/2019 AH Review of appraisal, 121 and Service plans being undertaken to look at format and ensure golden thread feeds throughout the process. This is expected to be completed by November 2019.

23/08/2019 a review of the annual governance statement has been undertaken in terms of how it is managed during the production of the SMAS submissions. This will transfer to the strategy team to co-ordinate.

16/09/2019 AH Annual Assurance Statement preparations SMAS have transferred to Richard Rowlands and an initial meeting is being set up to hand over.

14/10/2019 AH Annual Governance Statement handover meeting taken place and work has started on preparation for this years senior Managers assurance statements.

19/11/2019 AH - SMAS Templates circulated to Heads of Service and Directors for a 6 month review of current position within the directorates.

Owner: Adam Hill

Responsible Officer: adam hill

Current Likelihood: Low

Current Impact: High

Overall RAG Status: Amber

Report Date: 21/11/2019 12:42:33

CS 93: Snap Parliamentary Election/Referendum

Risk Description:

If a snap Parliamentary Election / Referendum is called due to Brexit or other reason Then this will have a risk impact on the Team ability to deliver it without additional support. It must be delivered therefore support must be provided.

Given the ongoing situation within Political Parties and the issues surrounding a Brexit deal, there is a likelihood that a snap Parliamentary Election or Referendum could be called at short notice. The minimum time that the Government need give is 25 working days. This could place the Authority in a difficult position when looking to deliver the election due to Officer planned leave, the need to book venues (Rooms within Guildhall, Polling Stations & Count Venue), appoint and train Postal Voting Staff, Polling Station Staff, and Counting Staff etc.

Controls in Place:

- The HoDS and Electoral Services Team Leader manage Officer Leave and they ensure that there is adequate cover in place for the planned period; however this could get difficult if a snap election were called.
- All additions, deletions and amendments to the Register of Electors are carried out as quickly as possible so as to ensure that as many people as possible are able to vote.
- The Electoral Services Team Leader has informed the relevant Room Booking Officers within the Authority of the potential for a snap election and for them to be prepared to cancel bookings in order to accommodate the election.
- The Head of Democratic Services formally requests additional support from the Chief Executive (Returning Officer) during such periods in order to assist with making contact with all 145 Polling Station venues in order to ensure that they are booked for the day.
- Electoral Services Team Leader / HoDS attends Association of Electoral Administrator Meetings & works closely with the Electoral Commission.
- Continue with the online training of staff system currently in place. Whilst there is a cost to this, it frees up the Electoral Services Team with the aid of the DS Team to get on with the detailed work linked to an election.

Actions to be taken:

- The HoDS to ask relevant Officers to consider cancelling their leave in the event of a snap election. Consideration needs to be given to recompense any critical Officer needed to run such an election.
- In the event of a snap election, the Chief Executive should instruct those responsible for Room Bookings within the Authority, that Elections take precedence and that all bookings will be cancelled. This becomes difficult when Weddings and other major events are being held in the Brangwyn Hall and surrounding rooms. Consideration in that event would be to utilise the LC or other Leisure Centres in Swansea.

Reviewed - The ongoing effect of Brexit and the Deal / No Deal debate continues to keep this as a very real risk. No update required on 26 November 2018

Reviewed 11/12/2018.

RR 07/01/19 - Legal & Demo Service Risk LD33 escalated to Corporate

Services Directorate Risk Register as per email dated 18/12/18 from Huw Evans Head of Democratic Services.

Reviewed: 18/02/2019 - The risk remains real. We will continue to liaise with Electoral Commission etc and are ready to react. Staffing risk due to leave remains a concern.

Reviewed: 18/03/2019 - The potential of a Snap Parliamentary Election and / or a Referendum remain as real risks. There is now an additional risk, with the UK potentially having to participate in the European Parliamentary Elections on 23-26 May 2019. A European Parliamentary Election is one of the most straight forward elections to deliver as Swansea will not be the Returning Officer, therefore we will not have any links with Candidates, Ballot Paper Design or Proofing. All key venues are provisionally booked and key staff are ready to work to deliver it. Easter leave will mean some staffing difficulties but this has been factored in.

Reviewed: 16/05/2019 - No change.

Reviewed: 23/06/2019. European elections successfully delivered. Imminent Conservative Party Leadership Election. There remains high possibility of snap General Election/further referendum which is being closely monitored.

Reviewed: 15/07/2019 - No Change.

Reviewed: 21/08/2019 - There is significant chatter in the media of a potential of a Snap Election in Autumn 2019 with the likely dates being 24 or 31 October or 7 or 14 November 2019. HoDS has kept Returning Officer appraised and has shared draft Election timetables for those dates. Count Venues are booked, Staffing Letters have been sent out and Polling Station Letters have also been sent out.

Reviewed: 04/09/2019 - The likely hood of a Snap Election gathered momentum last night, with the PM stating that he would be putting a motion in relation to the Fixed Term Parliament. The expected date is now Tuesday, 15 October 2019 but nothing set in stone. On Monday, 2 September 2019, the Head of Democratic Services asked the Returning Officer (Chief Executive) for officer support to speed up the administration of the Annual Canvass as this impacted on a Snap Election. The Returning Officer released officers to assist with the work and this is ongoing.

Reviewed: 10/09/2019 - Parliament was prorogued yesterday until 14 October 2019. As such, a Snap Parliamentary Election is delayed until 21 November 2019 at the earliest.

Reviewed: 10/10/2019 - The Prorogation of Parliament was found to be unlawful by the Supreme Court and Parliament continued to meet. However, it has since been prorogued again with a Queen's speech due early next week. The weekend of 19 & 20 October 2019 may bring about more certainty as to whether there will be a snap Parliamentary Election / Referendum. However,

at the moment, everything is uncertain.

Reviewed: 07/11/2019 - Writ was issued today. We will publish the notice of Election on 08/11/2019. The careful planning and monitoring of the risk has allowed the Deputy Returning Officer and supporting team to be ready. Election will be held on 12 December 2019. All venues booked. Staffing is well underway.

Owner: Huw Evans

Responsible Officer: tracey meredith

Current Likelihood: High

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 12:42:33

People Directorate Risk Register Report 21/11/19

Risk Id	Risk Title	Owner	Date Last Updated	Overall RAG
PE 61	Withdrawal or changes to grants at short notice	David Howes	06/11/2019	R
PE 83	Capacity to transform services and deliverability of budget proposals	Nick Williams	17/10/2019	R
PE 84	Increasing Demand for Specialist Services	David Howes	10/10/2019	A
PE 85	Workforce Planning	Dave Howes	06/11/2019	A
PE 87	Band B Programme funding envelope is reduced	Nick Williams	17/10/2019	A
PE 89	Data Breaches of Confidentiality	Dave Howes	06/11/2019	A
PE 90	Financial Stability of Social Care Market	David Howes	10/10/2019	A
PE 92	Specialist Provision and OOC Placements	Mark Sheridan	02/09/2019	R
PE 93	Accessibility Plan in light of WG guidance	Louise Herbert-Evans	17/10/2019	A
PE 94	Implementation of ALNET Act 2018	Mark Sheridan	02/09/2019	R
PE 95	Capacity for effective commissioning arrangements	David Howes	06/11/2019	A
PE 96	Failure to manage the provision of ALN in line with the ALN act will result in increased expenditure	Mark Sheridan	02/09/2019	R

PE 97	Failure to administer a multiagency approach to vulnerable learners will encounter increased resource costs	Nick Williams	18/09/2019	R
PE 98	AVAILABILITY OF DOMICILIARY CARE	David Howes	06/11/2019	R

PE 61: Withdrawal or changes to grants at short notice

Risk Description:

There is a significant risk of the withdrawn or reduction at short notice, particularly around the uncertainty of Brexit.

If this happens there are additional costs to the Council as well as planning challenges for reduction in service delivery.

Controls in Place:

Monthly liaison with Welsh Government takes place to identify potential loss of grants at an early stage and joint working arrangements in place to understand the impact of any loss or reduction of grants feeding into WG Brexit plans. Spending review in WG currently underway, the majority of these grants are not EU funded however the impact of funded needed by WG to mitigate for Brexit will effect reserves, which in turn will effect funding allocations to these areas.

Grants are coordinated via the Commissioning Hub to ensure:

- A consistent approach to commissioning externally funded grant programmes by managing them through a single hub in line with WG developments Flexible Funding approach to Grant for both internal and external services.
- We maximise use of grant opportunities to draw down additional funds in a coordinated and planned way to add value to service delivery
This approach enables us to have full oversight of grant programmes and mitigate against withdrawal or changes in grant allocation at short notice by giving us the ability to move between grant programmes if applicable, this is in line with WG approach to flexible funding Grant applications are considered carefully and rejected if the terms and conditions are too restrictive.

Corporate Finance are advising departments about the need to comply with Council procedures. This has had a particular focus on the requirement for NGAs and ensuring grants with a value of £75k and above are considered by External Funding Panel.

Actions to be taken:

Continued monitoring of grants – ongoing – all on track for 19/20

Continued discussions with WG – ongoing – nothing will be confirmed for 20/21 until January 2020

Scenario planning to take place now to identify what a potential 10% reduction in grants would look like and how this would impact on service delivery and existing saving plans.

This will be incorporated into the commissioning reviews already underway looking at these areas to understand the impact of a funding reduction and help prioritise areas based on need, demand and outcomes.

All commissioning reviews are underway, apart from the Flying Start Childcare Settings in Schools which will start in January 2020

Information re-inputted (6 November 2019) due to system failure - David Howes, Director of Social Services

Owner: David Howes

Responsible Officer: jane whitmore

Current Likelihood: High

Current Impact: High

Overall RAG Status: Red

Report Date: 21/11/2019 13:39:46

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 be able to effectively manage service pressures and so deliver budget targets

Controls in Place:

09/09/19:

Regular reporting on budget proposal tracker to PFM

Proposals developed in good time for agreement with Cabinet

Cabinet Members well briefed on the issues and decisions that will need to be taken

Wherever possible capacity for invest to save opportunities built into budget plans 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 Budget Forum.

Continuing work to, as far as possible, deliver required MTFP savings targets

over next three years.

Actions to be taken:

29/05/19-17/10/19 - Budget tracker, outturn variances and continuing service pressures reported to PFM on a monthly basis. Whilst specific savings proposals remain deliverable, the scale of continuing unfunded pressures on demand led and inherently volatile service budgets presents a considerable challenge and almost certainly a budget overspend.

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.

Service plans completed.

Savings targets still deliverable but external and unforeseen pressures may delay delivery of targets.

External statutory pressures are now creating a risk of overspends in other areas particularly out of county/independent placements and recoupment as well as support for severe and complex needs.

ERW Directors and joint council agreed in principle greater transparency of distribution based on purpose rather than historical precedent.

Owner: Nick Williams

Responsible Officer: nick williams

Current Likelihood: High

Current Impact: High

Overall RAG Status: Red

Report Date: 21/11/2019 13:39:46

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 (All options appraisals to be finalised by April 2020).

Implementation of commissioning review options for OP res care to develop more specialist internal services for older people. Re-commissioning of domiciliary and respite at home services (contract awards to commence October 2019)

Updated 10 October - David Howes, Director of Social Services

Owner: David Howes

Responsible Officer: peter field

Current Likelihood: Medium

Current Impact: High

Overall RAG Status: Amber

Report Date: 21/11/2019 13:39:46

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. Social Care Wales as the workforce regulator sets the strategic direction for the development of the social care workforce. Significant changes in legislation and statutory requirements in the current economic climate pose a risk to their implementation within the required timescales for internal as well as external commissioned providers.

Controls in Place:

Senior Workforce development group (SWFDG) in partnership HR established to produce clear data sets to understand workforce current future needs.

- Improvement plan for Child and family services that link workforce-planning needs throughout to ensure a skilled, qualified and experienced workforce.
- Transformation Plan for Adult services in place, outlining what will be required to achieve change.
- Preparation and action planning for the workforce in readiness for legislative and regulatory changes.

All roles have been mapped and plans in place in readiness for the All Wales induction Framework for our registered services.

A risk matrix has been developed for internal and external staff identifying number of staff with or without qualification and what actions will be taken to

ensure all staff are on a pathway to register to enable timely registration.

Further development of regional working and where appropriate sharing resources.

The Staff Development & Training unit are working together with The Domiciliary Service Manager to ensure our internal Domiciliary care workers achieve the requirements needed for their imminent registration We are also working regionally with the external providers providing information, guidance and assistance where required .

In the process of employing suitably qualified and experienced assessors to meet the requirements of the new qualification framework.

- Interim Training Needs Analysis and Workforce Plan is in place.
- Improvement program for skilled workforce in place for Child and family Services.
- SCWWDP – financial application for 2019/20 has been completed and letter of confirmation received.
- Agreed Practice Frameworks for both Child and Family and Adult Services.

Actions to be taken:

- Identify reporting mechanisms, which must include and incorporate a performance framework this work is ongoing with SWFDG.
- To continue development of Action planning for residential registration and qualification needs.
- Conclude a performance framework and ensure it is embedded within services – Ongoing.
- The development of marketing opportunities in social care.
- Work force structure and data cleanse linked to the work force development plan.- Ongoing work with SWDG.
- Role profile linked to qualification framework and CPD for all social care staff ongoing.
- Development of system to ensure verified qualification review.
- Production of training hub project plan.
- Communication strategy specific to workforce planning to be developed.
- Completion of the SCWWDP midpoint review on progress for priority outcomes regionally and locally is being collated in readiness for November submission date.

Information re-inputted (6 November 2019) due to system failure - David Howes, Director of Social Services.

Owner: Dave Howes

Responsible Officer: teresa mylan-rees

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 13:39:46

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:

29/05/19-17/10/19: Continuing positive progress to develop detailed business cases for WG approval and deliver early priority capital investment areas. Concerns have been consistently raised regarding the capacity of teams across the Council to deliver the scale of capital investment to the required timescales.

- 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: 21/11/2019 13:39:46

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) has been completed.

PO for Resources attends all breach panels and communicates lessons learned.

Communication on keeping data safe has been circulated via May's edition of the staff newsletter in both Adult & Children's Services.

Actions to be taken:

DPIA has been completed along with a process for sending mail. Next steps are to roll out communication/training workshops.

Changes in processes agreed via Panel to be incorporated into guidance for staff with master copy held by PO Resources.

Practice guidance being developed for Social Work Staff to be discussed at SMT September 2019.

Working Group to be formed to plan formal training.

Exercise being undertaken to ensure all managers have completed the GDPR compliance checklist and that all systems holding personal data are on the Information Asset Register by the end of June 2019.

New process for Adoption Reviews being developed to tighten up on security following recent breach. To be signed off at POG September 2019.

Mandatory face to face training being introduced as part of Social Services Induction. Monitoring to take place of ELearning compliance – ongoing.
PO- Resources to be member of the newly formed Corporate Information Governance Group.

Information re-inputted (6 November 2019) due to system failure - David Howes, Director of Social Services.

Owner: Dave Howes

Responsible Officer: Sonia Miles

Current Likelihood: Medium

Current Impact: High

Overall RAG Status: Amber

Report Date: 21/11/2019 13:39:46

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. Escalating Concerns multi agency home closure processes in place to transfer residents to alternative settings.

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 West Glamorgan 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 stabilize 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 supported living and domiciliary care service Providers. This will help to build stability in the sector (contract awards scheduled for first of October 2019).

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. This involves assessing impacts of NLW and other inflationary pressures to ensure fees paid cover these cost pressures.

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

Updated 10 October 2019 - David Howes, Director of Social Services

Owner: David Howes

Responsible Officer: peter field

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 13:39:46

PE 92: Specialist Provision and OOC Placements

Risk Description:

If there continues to be a shortfall in specialist in county placements for pupils with moderate to profound and complex difficulties including ASD then the department will face escalating costs to place out of area or escalating home education placements and provision or overspend of the severe and complex needs budget.

A lack of in-county placements is reducing parents' confidence of in-county provision as well as calls from STFs for extra funding to meet the complexity of needs. There will continue to be significant pressure on the out of county and recoupment budgets which will be difficult to mitigate.

Controls in Place:

Escalated from Service Risk ED36 linked to EDR044.

The LA is looking to increase recoupment charges in line with updated S.52 statement and including admin charges.

Band B proposals submitted for a new special school submitted although these are now likely to be pushed back to Band C.

3 x new ASD STFs due to open opened in Jan 2018.

Further proposals increase further specialist provision capacity being drafted for approval at SLB and Cabinet/Council now subject to consultation.

Actions to be taken:

02/09/19

- 20 new places created in Penybryn Special School.
- Arfryn identified as site for interim provision for learners with ASD and challenging behaviour.
- Special School Plans now prioritised and project group agreed to deliver. MS to chair.
- Outreach not sustainable under current grant conditions but ABA practitioners trained.
- However, severe and complex needs budget and independent and out of county budgets now predicted to overspend.

- Although Welsh figures show that overall home educated learners have not risen in numbers in Swansea the proportion who have ALN and are being educated at home has risen from 15 in 2014 to over 70 in 2019.

02.05.19

Capacity issues are hampering progress. Paper to restructure ALN services presented to CMT.

06/18:

Alison Lane added as responsible officer following appointment as Head of ALNU. Mark Sheridan remains risk owner as Head of Service.

- Renewed bid to transformation grant to increase/enhance capacity building activity over the next two years.
- In medium term increase STF places by re-designating current STFs, increasing number of STFs for MLD and ASD. In long term build new special school as part of Band B. The development of outreach support will help to mitigate risk. Seek to ensure ABA providers are quality assured.
- ALN Strategy to map need and provision.

12/17: In short term use innovation funding to provide outreach capacity from special schools. Identify good practice in specialist provision and provide funding to release staff from specialist provision to help with the monitoring. Develop a monitoring and evaluation framework which enables the LA to review specialist provision on an annual basis.

In short term more closely manage severe and complex needs budget and increase places in Pen-y-bryn and current STFs. In medium term increase STF places by re-designating current STFs, increasing number of STFs for MLD and ASD. In long term build new special school as part of Band B. The development of outreach support will help to mitigate risk. Seek to ensure ABA providers are quality assured.

11/17: Finalise specialist provision and special school paper. Continue with Band B proposal process. Bring STFs online

Owner: Mark Sheridan

Responsible Officer: Alison Lane (Edu)

Current Likelihood: High

Current Impact: High

Overall RAG Status: Red

Report Date: 21/11/2019 13:39:46

PE 93: Accessibility Plan in light of WG guidance

Risk Description:

If the Plan is not updated this year then the LA is liable to Equality Act discrimination appeals or Ombudsman complaints

Controls in Place:

- Review and update Accessibility Strategy
- Carry out condition surveys
- Identify lead officer

Actions to be taken:

09/09/19-17/10/19: Work is ongoing with existing control measures.

22/05/19:

New risk

Owner: Louise Herbert-Evans

Responsible Officer: louise herbert-evans

Current Likelihood: High

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 21/11/2019 13:39:46

PE 94: Implementation of ALNET Act 2018**Risk Description:**

The new ALNET Act 2018 has significantly widened the potential statutory demands on LAs and increased the likelihood of escalating appeals for assessment and provision from a wider group of stakeholders.

If the confidence of parents and schools is not improved then the LA will face increasing costs awarded against it by Tribunal if the LA is not supported to oppose the appeals legally and otherwise.

The number of statements of special educational needs is proportionately the highest in Wales and is currently increasing. Statutory PIs are, therefore, deteriorating due to capacity within the LA to manage the volume of work. Inclusion of actual levels of statements and statement resource in the formula used to delegate the severe and complex needs budget has introduced a perverse incentive that may encourage schools to maintain statements and seek new statements.

The implementation of the ALNET Act by September 2020 is compromised by the lack of capacity at strategic levels in the ALN Unit due to the high level of operational management required. If these capacity issues are not resolved then there is a risk to the LAs reputation and consequent financially damaging legal actions because of the statutory nature of the reform.

05/06/19: If we do not get sign up from other key stakeholders with regard to their responsibilities to identify need and secure provision it is likely the local authority will not meet its statutory obligations with regards to the ALNET Act and face significant cost implications.

Controls in Place:

05/06/19: Review existing ALN Strategy and Implementation Plan.

- Engaging with parents and key stakeholders through the commissioning review.
- Working with schools with regard to the funding formula
- Working group set up to look at the funding formula.
- There are robust decision making and moderation processes in place for starting statutory assessments and stating levels of provision in statements.
- Proposals for addressing the staffing capacity issues are being presented to SLB.
- New models of service delivery being developed to clarify the provision offer and make it more flexible and targeted.
- Training in person centred approaches is being secured.

Actions to be taken:

02/09/19

- Continuing engagement with Regional ALN leads about the regional transformation plan.
- Annual review shows good progress against the ALN Strategy and Implementation Plan despite significant capacity issues.
- However, the issue of a statutory EYALNLO has not been resolved.
- New ALNU structure has been presented to CMT.
- Corporate paper on new structure with all costs and metrics being drafted as part of the wider Education re-structure.

06/06/19 - Escalated from service risk register due to Likelihood and Impact being revised to very high.. Previously ED35. Moved by administrator CRG

05/06/19:

- ALNU structure approved in principal.
- Attendance at ALN leads meetings.
- Judicious use of transformation grant funding to support training and engagement events with regard to the Act and Draft Code.

06/18

Alison Lane added as responsible officer following appointment as Head of ALNU. Mark Sheridan remains risk owner as Head of Service.

- Commissioning Review completed and changes in staffing structures agreed and in the process of implementation, although there are issues with recruitment to key posts.
- Joint working group to look at formula funding set up but progress is slow
- PCP training will be part of the regional implementation plan
- Outreach services commissioned using innovation funding to build school capacity.
- Panels already provide robust decision making and moderation. However, lack of capacity to oppose appeals to Tribunal and volume of tribunal appeals have mitigated against this action.

- ALN Strategy to be developed.
- Website and online presence requires improving
- Parent partnership/Early disagreement/dispute resolution processes and services require developing.

12/17:

- Careful management of decision and moderation processes including Panels.
- Meetings arranged with head reps to discuss this issue and review formula prior to ALNET Bill implementation.
- Need to look at wordings on Statements.

11/17:

- Conclude the commissioning review options appraisal
- Implement models of service delivery and commissioning review options
- Conclude negotiations with regard to funding formula
- Continued engagement with parents, carers, children and young people with regard to implementation
- Develop a communication plan and strategy as well as training for ALNET implementation

Owner: Mark Sheridan

Responsible Officer: Alison Lane (Edu)

Current Likelihood: Very High

Current Impact: Very High

Overall RAG Status: Red

Report Date: 21/11/2019 13:39:46

PE 95: Capacity for effective commissioning arrangements

Risk Description:

If there is insufficient capacity for decommissioning and re-commissioning, the Council's procurement arrangements remain at risk in terms of legal compliance, the effective drawdown of funding to comply with grant T&Cs and our ability to utilise a co-productive approach.

Controls in Place:

A cross directorate review has taken place and available resources have been reorganized to maximize capacity.

Opportunities for further development have been identified.

A commissioning hub has been established

Cross directorate governance arrangements have been established.

Actions to be taken:

A People Directorate Workplan is in place outlining areas of work for the next 12 – 18 months. This demonstrates a cross cutting commissioning approach.

New Commissioning Hub established from 1st August 2019

Planning work underway to review all roles around the commissioning cycle within the structure over the next 4 – 6 months. An initial workshop bringing all the teams together and explore roles around the IPC commissioning cycle, is planned for the 11th November which will identify gaps to inform review of job roles.

Further work to be undertaken with education to further embed integrated arrangements, maximise resources and realise commissioning opportunities, however capacity in this area is an issue which will be looked at in future structures.

Information re-inputted (6 November 2019) due to system failure David Howes, Director of Social Services

Owner: David Howes

Responsible Officer: jane whitmore

Current Likelihood: Medium

Current Impact: High

Overall RAG Status: Amber

Report Date: 21/11/2019 13:39:46

PE 96: Failure to manage the provision of ALN in line with the ALN act will result in increased expenditure**Risk Description:**

The ALN Act extends the local authority's responsibilities for identifying ALN and securing additional learning provision (ALP) to the age range of 0-25. Currently it is not clear if there is sufficient provision across the authority to meet the additional learning needs for learners aged 0-3 and 16-25 with severe and or complex needs. IF there is insufficient provision available to meet identified additional learning needs in these age ranges THEN it is likely the authority will face increased costs due to the use of independent placements and provision which the local authority will be required to secure under the new legislation.

Controls in Place:

02/09/19

- Review current ALN Strategy and Implementation Plan
- Work closely with Social Services and Health to include 0 – 3 and 19 – 25 with ALN in their commissioning reviews and planning so that there is a robust local authority offer.

- Work closely with Family Support Services and People Commissioning Group to secure grant funded specialist posts for 0 – 3 which can be used to identify and to support need flexibly.
- Secure core funding for EYALNLO as a statutory role.
- Secure flexible grant funding to enable assessment of 16 – 25 age range.
- Provide training to early years providers to improve capacity and reduce referrals for LA maintained IDPs.
- Awareness training for post-16 providers in Social Services.

19/06/19:

We need to map additional learning needs for the 0-3 and post 16 age ranges as well as the provision that is available across the Authority offered by Health, Social Services, Education and the third sector as well as non-maintained settings.

To work with local FE colleges to improve the capacity for them to include learners with more severe and complex needs as part of their Post 16 offer. Work with Early Years non-maintained settings as well as central Early Years teams and flying start to enable early identification and increased capacity to meet needs in an integrated way.

Further details are set out in the ALN Strategy and Implementation Plan.

Actions to be taken:

19/06/19: New risk escalated from Education PFM 17/06/19.

Owner: Mark Sheridan

Responsible Officer: Alison Lane (Edu)

Current Likelihood: High

Current Impact: High

Overall RAG Status: Red

Report Date: 21/11/2019 13:39:46

PE 97: Failure to administer a multiagency approach to vulnerable learners will encounter increased resource costs

Risk Description:

There are a significant cohort of learners with severe, complex and challenging needs who are proving difficult to place within the County and also out of County or in independent provision. IF the local authority cannot find a multi-agency integrated response to meet the needs of these learners THEN it will face increasing statutory costs, accommodation, and placement out of county which will have an impact on current corporate priorities such as the safe LAC reduction strategy.

Controls in Place:

18.09.19 Following formation of the task and finish group the following control

measures have been identified:

Form and operational group to look at immediate multi-agency wrap-around solutions to current cohort of learners who are hard to place.

Map the potential numbers of learners who are falling into this group.

Map current provision.

Identify interim solutions that can increase the offer of educational placements for this group of learners.

19.06.19 Within authority multi-agency task and finish group needs to be formed to generate solutions and implementation plan.

Actions to be taken:

18/09/19 Hard to Place Task and Finish Group formed and met twice.

19/06/19: New risk escalated from Education PFM on 17/06/19.

Owner: Nick Williams

Responsible Officer: mark sheridan

Current Likelihood: High

Current Impact: High

Overall RAG Status: Red

Report Date: 21/11/2019 13:39:46

PE 98: AVAILABILITY OF DOMICILIARY CARE

Risk Description:

Difficulty recruiting and retaining domiciliary care workers is having an impact on the availability of domiciliary care. This in turn creates a number of pressures. The number of people on the waiting list for dom care services continues to grow and is close to being at an all-time high. Step down from hospital is prevented leading to delayed transfers of care. Use of rehab services for these purposes (and to prevent hospital admission) cannot be optimised since these resources are backed up providing temporary bridging services, pending availability of longer term domiciliary care. Over reliance of residential care may occur at increased cost, risk of reduced capacity, and increased dependency / reduced quality of life for individuals.

Controls in Place:

Re-procured services at higher cost, with improved terms and conditions for dom carers and more efficient geographical coverage, to enhance provider capacity to deliver services and recruit and retain staff.

Revised direct payments strategy to incentivise take up and reduce burden on commissioned services.

Daily management of waiting lists and contact with care providers to facilitate access to services.

Piloting of “hospital to home” initiatives to alleviate hospital pressures and reduce escalation of care and support needs.

Actions to be taken:

Opportunities to develop more preventative services being explored (e.g. community catalyst type services aimed at developing community solutions, micro enterprises, social enterprises and shared care arrangements which meet needs, prevent escalation and reduce demand of dom care.

Commissioning officers currently examining potential to expand care home services into dom care market to address capacity issues.

Re-fresh of procurement framework in 2020 to encourage further new entrants to market.

Ongoing support for dom care providers to build capacity and recruit workforce.

Information re-inputted 6 November 2019 due to system failure - David Howes, Director of Social Services.

Owner: David Howes

Responsible Officer: peter field

Current Likelihood: High

Current Impact: High

Overall RAG Status: Red

Report Date: 21/11/2019 13:39:46

Place Directorate Risk Register Report 21/11/19

Risk Category :												
Risk ID	Risk Title	Risk Level	Risk Description	Directorate	Service Area	Project Name	Responsible Officer	Updater	Prev Overall RAG	Current Overall RAG	Last Updated	Active
72	PL Gen 45 Highways -Failure to adequately maintain structural integrity of Highway Assets.	Directorate	The Highway and its infrastructure is in a poor condition due to a lack of investment over many years. There is a substantial backlog of outstanding maintenance. Current funding levels mean that the number of roads in poor condition is increasing and will double within 10 years. An increase in traffic, HGV movements and prevailing weather conditions are increasing contributory factors. An increase of assets managed without additional budget is also an increasing pressure. There is a risk that sections of the highway will become unfit for purpose. There is a risk of increasing claims due to failure to meet statutory duty. Risk to continued operation through inadequate condition of car parks may have significant impact on revenue and the City Centre Economy.	Directorate - Place	Highways and Transportation	-	Bob.Fenwick	Bob.Fenwick	Amber	-	31-OCT-19	Yes
66	Inadequate supply of affordable housing to meet needs	Directorate	if the Authority can not deliver enough affordable housing to meet the identifies need then there will be a negative reputational impact on the Authority.	Directorate - Place	Housing and Public Health (PLACE)	-	Carol.Morgan	Peter.Williams	Red	Red	19-NOV-19	Yes
73	Major Transport Provider Ceases Trading	Directorate	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.	Directorate - Place	Highways and Transportation	-	Cath.Swain	Cath.Swain	Amber	-	31-OCT-19	Yes
48	Loss of Trees due to Ash Die Back	Directorate	Ash Die Back (ADB) is a disease which is likely to affect all Ash trees across the country. Any Ash trees which become infected need to be felled for safety. If ADB is not managed and resourced effectively, then there will be significant overspends incurred, risk to life and property, and risk o reputation.	Directorate - Place	Waste Parks and Cleansing	-	Chris.Howell	Jeremy.Davies	Red	-	31-OCT-19	Yes
61	Disabled Facilities Grants - Budget Performance	Directorate	If the DFG budget for 2019/20 is not fully spent then this could have reputational impacts for the Authority	Directorate - Place	Housing and Public Health (PLACE)	-	Darren.Williams	Peter.Williams	Amber	-	25-OCT-19	Yes
62	Impact of Welfare Reform	Directorate	If the impact of Welfare reform is not managed effectively then there could be a significant negative financial impact on the Housing Revenue Account and associated Business Plan.	Directorate - Place	Housing and Public Health (PLACE)	-	Jane.Harries2	Peter.Williams	Amber	-	25-OCT-19	Yes

Risk Category :

Risk ID	Risk Title	Risk Level	Risk Description	Directorate	Service Area	Project Name	Responsible Officer	Updater	Prev Overall RAG	Current Overall RAG	Last Updated	Active
83	Loss of expertise due to reduction in Capital Funding	Directorate	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	Directorate - Place	Highways and Transportation	-	Stuart.Davies	Lee.Davies	Amber	-	31-OCT-19	Yes
77	SERVICE FAILURE OF VEHICLE FLEET (PL GEN 95)	Directorate	The delayed vehicle renewal programme has resulted in a vehicle fleet age profile that is older than required. Increases in vehicle maintenance costs and non-availability as occurring as a result. Approximately 25% of the fleet is overdue in terms of intended replacement dates	Directorate - Place	Highways and Transportation	-	Mark.Barrow	Mark.Barrow	Amber	-	31-OCT-19	Yes
59	PL FIN 2: Building Maintenance	Directorate	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.	Directorate - Place	Corporate Building Services	-	Nigel.Williams	Martin.Ridgeway	Amber	-	31-OCT-19	Yes
46	Swansea's Natural Resources & Biodiversity	Directorate	If we do not maintain and enhance Swansea's natural resources and biodiversity, including reversing tree loss, then there will be wider and detrimental impacts on environmental, social, cultural and economic well-being. Issue: The number of trees and area of tree cover within the County of Swansea is declining. Factors causing loss of trees (including hedgerows and woodlands) include: ζ Tree diseases and pathogens. ζ Removal of trees for safety reasons. ζ Trees lost through development. ζ Lack of robust tree protection measures. ζ Lack of a strategy for replacing lost trees. ζ Natural loss through age. Risks arising as a result of tree loss include ζ Air and water quality will deteriorate, affecting people's health. ζ Mental health and well-being will decline. ζ The risk of flooding and landslip will increase in some areas. ζ Atmospheric carbon levels will increase. ζ Loss of biodiversity and ecological resilience. ζ Localised temperature controls and other environmental shelter will be lost. ζ Birds and other wildlife will lose habitats and food sources. ζ The loss of ecosystem services will impact on public service budgets. ζ The loss of aesthetic and character will lead to falling property values, affecting the local and regional economy. ζ Noise levels will increase. ζ We will not comply with legislative requirements, e.g. Environment (Wales) Act 2016. ζ Reputational damage. ζ Precedent set for 'other' developers. ζ Loss of local distinctiveness and sense of place. ζ Sale of council owned land ζ should be assessed for consideration under the duty imposed by the Environment (Wales) Act 2016 for Tree retention and protection by TPO; could result in both the legal cost and reputational risk of non-compliance.	Directorate - Place	Planning and City Regeneration	-	Paul.Meller	Paul.Meller	-	-	27-SEP-19	Yes

Risk Category :												
Risk ID	Risk Title	Risk Level	Risk Description	Directorate	Service Area	Project Name	Responsible Officer	Updater	Prev Overall RAG	Current Overall RAG	Last Updated	Active
60	Welsh Housing Quality Standard	Directorate	If the Authority does not achieve the Welsh Housing Quality Standard by 31st December 2020 then sanctions could be imposed on the Authority by the Welsh Government and there would be a reputational impact also	Directorate - Place	Housing and Public Health (PLACE)	-	Peter.Williams	Peter.Williams	Amber	Amber	19-NOV-19	Yes
81	PL GEN 81: Failure to deliver the infrastructure to support the City Bay Region's Economic Regeneration Strategy	Directorate	To provide Strategic Transport links to main centres of employment. Infrastructure projects are partially 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. 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 The proposal to develop a SW Wales Metro in collaboration with the Regional Authorities will contribute to the aim of improving connectivity.	Directorate - Place	Highways and Transportation	-	Stuart.Davies	Lee.Davies	Amber	-	31-OCT-19	Yes
63	Risk Identified by the Food Standards Agency	Directorate	If the current backlog in low level food premises hygiene inspections continues, there could be an impact on public health and the reputation of the Council	Directorate - Place	Housing and Public Health (PLACE)	-	Lynda.Anthony	Peter.Williams	Amber	-	31-OCT-19	Yes