

Appendix B - Corporate Risks @ 23.01.2020

Risk ID ↑	Risk Title	Risk Level	Risk Category	Risk Description	Directorate	Service Area	Project Name	Responsible Officer	Updater	2 Months Overall RAG	Prev Overall RAG	Current Overall RAG	Last Updated	Active
49	City Centre (CR81)	Corporate	Strategic	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.Nicholls	Martin.Nicholls	Amber	Amber	Amber	07-JAN-20	Yes
91	School Cloud Oracle Access	Corporate	Finance	If the Oracle Cloud Project does not include school access at development stage then there are likely to be higher financial costs to include their needs at a later time. There is already a corporate project underway to move schools on to Oracle with a view to making efficiencies for both schools and corporate.	-	-	-	Nick.Williams	Kelly.Small	-	-	-	18-NOV-19	Yes
94	Pupil attainment and achievement	Corporate	Operational	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.	-	-	-	Nick.Williams	Nick.Williams	Amber	-	-	21-NOV-19	Yes
153	Safeguarding	Corporate	Strategic	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.	-	-	-	David.Howes	Angela.Morgan	-	Red	-	20-DEC-19	Yes
155	Tax evasion	Corporate	Finance	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.	-	-	-	Ben.Smith	Ben.Smith	-	Amber	Amber	13-JAN-20	Yes
159	Financial Control & MTFP aspects of Sustainable Swansea	Corporate	Finance	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	-	-	-	Ben.Smith	Ben.Smith	-	Red	Red	13-JAN-20	Yes
180	New Legislative and Statutory Changes	Corporate	Governance	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.	-	-	-	Tracey.Meredith	Tracey.Meredith	-	Amber	Amber	21-JAN-20	Yes
196	Workforce Strategy	Corporate	Strategic	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.	-	-	-	Sarah.Lackenby	Sarah.Lackenby	-	Amber	-	17-DEC-19	Yes
212	Tackling Poverty	Corporate	Strategic	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 2017/2022 and subsequent review of Corporate Risks. Supersedes risk CR44.	-	-	-	David.Howes	Amy.Hawkins	-	Amber	-	20-DEC-19	Yes
222	Digital, data and cyber security	Corporate	Governance	CR86 -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.	-	-	-	Sarah.Lackenby	Sarah.Lackenby	-	-	Amber	13-JAN-20	Yes
223	Sustainable Swansea Transformation Programme Delivery	Corporate	Strategic	CR103- 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	-	-	-	Sarah.Lackenby	Sarah.Lackenby	-	-	Red	13-JAN-20	Yes
235	Emergency Planning, Resilience and Business Continuity	Corporate	Governance	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.	-	-	-	Adam.Hill	Craig.Gimblett	-	-	Red	21-JAN-20	Yes
236	Health & Safety	Corporate	Governance	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	-	-	-	Adam.Hill	Craig.Gimblett	-	-	Amber	21-JAN-20	Yes
237	consequences after Decision to leave the European Union (BREXIT)	Corporate	Governance	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.	-	-	-	Adam.Hill	Richard.Rowlands	-	-	Red	21-JAN-20	Yes

Risk Id	Risk Title	Category	View	Edit	Responsible Officer	Date Last Updated	Updated By	Overall RAG	Audit History
CR 101	Regional Working	Corporate Governance	View		phil roberts	18/11/2019	CCOS\PHIL.ROBERTS	A	View History

Directorate Risks @ 23.01.2020

Corporate Services

Risk ID ↑≡	Risk Title	Risk Level	Risk Category	Risk Description	Directorate	Service Area	Project Name	Responsible Officer	Updater	2 Months Overall RAG	Prev Overall RAG	Current Overall RAG	Last Updated	Active
224	ICT Disaster Recovery	Directorate	-	CS83 - 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	Directorate - Resources	Digital and Transformation Services	-	Sarah.Lackenby	Sarah.Lackenby	-	-	Red	13-JAN-20	Yes
242	Corporate Governance	Directorate	-	If there is not robust corporate governance then the Council is at risk of not meeting its statutory obligations	Directorate - Resources	Legal Democratic Services and Business Intelligence	-	Adam.Hill	Adam.Hill	-	-	Amber	24-JAN-20	Yes

Social Services

Risk ID ↑≡	Risk Title	Risk Level	Risk Category	Risk Description	Directorate	Service Area	Project Name	Responsible Officer	Updater	2 Months Overall RAG	Prev Overall RAG	Current Overall RAG	Last Updated	Active
215	Withdrawal or Changes to Grants at Short Notice	Directorate	-	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.	Social Services	Directorate Reports	-	David.Howes	Jane.Whitmore	-	Red	-	20-DEC-19	Yes
216	Increasing Demand for Specialist Services	Directorate	-	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.	Social Services	Directorate Reports	-	David.Howes	Peter.Field	-	Red	-	20-DEC-19	Yes
217	Workforce Planning	Directorate	-	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.	Social Services	Directorate Reports	-	David.Howes	Teresa.Mylan-Rees	-	Amber	-	20-DEC-19	Yes
218	Data Breaches of Confidentiality	Directorate	-	If a data breach occurs then this will result in a breach of confidentiality for an individual and the ICO will have to be notified potentially incurring significant fine for the Authority.	Social Services	Directorate Reports	-	David.Howes	Deborah.Reed	-	Red	-	21-JAN-20	Yes
219	Financial Stability of Social Care Market	Directorate	-	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	Social Services	Directorate Reports	-	David.Howes	Jane.Whitmore	-	Amber	-	20-DEC-19	Yes
220	Capacity for Effective Commissioning Arrangements	Directorate	-	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.	Social Services	Directorate Reports	-	David.Howes	Jane.Whitmore	-	Red	-	20-DEC-19	Yes
221	Availability of Domiciliary Care	Directorate	-	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.	Social Services	Directorate Reports	-	David.Howes	Peter.Field	-	Red	-	20-DEC-19	Yes

Education

Risk ID ↑	Risk Title	Risk Level	Risk Category	Risk Description	Directorate	Service Area	Project Name	Responsible Officer	Updater	2 Months Overall RAG	Prev Overall RAG	Current Overall RAG	Last Updated	Active
95	Capacity to transform services and deliverability of budget proposals	Directorate	-	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.	Education	Education Planning and Resources	-	Brian.Roles	Brian.Roles	Red	Red	Red	13-JAN-20	Yes
96	Band B Programme funding envelope is reduced	Directorate	-	IF we are unable to gain approval to detailed business cases and timely access to the full funding envelope approved in principle by Welsh Government, THEN the investment in schools capital will not address all the identified priority needs.	Education	Education Planning and Resources	-	Brian.Roles	Brian.Roles	Amber	Amber	Amber	13-JAN-20	Yes
98	Specialist Provision and OOC Placements	Directorate	-	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 Directorate 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 recoument budgets which will be difficult to mitigate.	Education	Vulnerable Learners Service	-	Alison.Lane2	Alison.Lane2	Red	-	-	21-NOV-19	Yes
99	Implementation of ALNET Act 2018	Directorate	-	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. IF we do not get sign up from other key stakeholders with regard to their responsibilities to identify need and secure provision, THEN it is likely the local authority will not meet its statutory obligations with regards to the ALNET Act and face significant cost implications.	Education	Vulnerable Learners Service	-	Alison.Lane2	Alison.Lane2	Red	-	-	21-NOV-19	Yes
100	Failure to manage the provision of ALN in line with the ALN act will result in increased expenditure	Directorate	-	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.	Education	Vulnerable Learners Service	-	Alison.Lane2	Alison.Lane2	Red	-	-	21-NOV-19	Yes
101	Failure to administer a multiagency approach to vulnerable learners will encounter increased resource costs	Directorate	-	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.	Education	Vulnerable Learners Service	-	Alison.Lane2	Alison.Lane2	Red	-	-	21-NOV-19	Yes
89	PE 93: Accessibility Plan in light of WG guidance	Directorate	-	IF the Plan is not updated this year then the LA is liable to Equality Act discrimination appeals or Ombudsman complaints	Education	Education Planning and Resources	-	Louise.Herbert-Evans	Louise.Herbert-Evans	Red	Red	-	09-DEC-19	Yes

Place

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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: 1. Tree diseases and pathogens. 2. Removal of trees for safety reasons. 3. Trees lost through development. 4. Lack of robust tree protection measures. 5. Lack of a strategy for replacing lost trees. 6. Natural loss through age. Risks arising as a result of tree loss include: 7. Air and water quality will deteriorate, affecting people's health. 8. Mental health and well-being will decline. 9. The risk of flooding and landslip will increase in some areas. 10. Atmospheric carbon levels will increase. 11. Loss of biodiversity and ecological resilience. 12. Localised temperature controls and other environmental shelter will be lost. 13. Birds and other wildlife will lose habitats and food sources. 14. The loss of ecosystem services will impact on public service budgets. 15. The loss of aesthetic and character will lead to falling property values, affecting the local and regional economy. 16. Noise levels will increase. 17. We will not comply with legislative requirements, e.g. Environment (Wales) Act 2016. 18. Reputational damage. 19. Precedent set for 'other' developers. 20. Loss of local distinctiveness and sense of place. 21. Sale of council owned land 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	Amber	Amber	Amber	20-JAN-20	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	Red	Red	17-JAN-20	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. 22/11 - Ongoing 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	Amber	Amber	20-JAN-20	Yes
60	Welsh Housing Quality Standard	Directorate	-	If the Authority does not acheive 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	-	31-DEC-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	Amber	-	23-DEC-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	Amber	-	30-DEC-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 helath and the reputaion of the Council	Directorate - Place	Housing and Public Health (PLACE)	-	Lynda.Anthony	Peter.Williams	Amber	Amber	-	20-DEC-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	Amber	21-JAN-20	Yes
72	Structural failure of Highways Assets.	Directorate	-	If the Highways asset is not funded to steady state then the condition will deteriorate, leading to structural failure, failure of statutory duty, increased risk of claims, increasing backlog of work (£20m increase over 5 years), decreasing reputation, and increasing cost of reactive maintenance. Factors include Increase in HGV traffic, climate change, increasing number of assets.	Directorate - Place	Highways and Transportation	-	Bob.Fenwick	Bob.Fenwick	Amber	-	Amber	21-JAN-20	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	-	19-DEC-19	Yes

Place (cont'd)

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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. IF the vehicles are not renewed THEN there will be increased costs and non-availability.	Directorate - Place	Highways and Transportation	-	Mark.Barrow	Mark.Barrow	Amber	Amber	-	20-DEC-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	Amber	Amber	20-JAN-20	Yes
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	Amber	Amber	20-JAN-20	Yes