

## Appendix C – Directorate Risks (22/10/20)

### 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
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	Peter.Field	Amber	Amber	Amber	22-OCT-20	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 is in turn creates a number of pressures. Pre-covid the number of people on the waiting list for dom care services continued to grow and was close to being at an all-time high. Step down from hospital was prevented leading to delayed transfers of care. Use of rehab services for these purposes (and to prevent hospital admission) could not be optimised since these resources were backed up providing temporary bridging services, pending availability of longer term domiciliary care. Over reliance of residential care can 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	Red	Red	22-OCT-20	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	Red	Red	22-OCT-20	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	Deborah.Reed	Amber	Amber	Amber	21-OCT-20	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	Red	Red	21-OCT-20	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	Amber	Amber	-	25-SEP-20	Yes

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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 and following Covid 19. 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	Red	-	25-SEP-20	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
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. There is insufficient specialist provision across the authority to meet the additional learning needs for learners aged 0-25. IF there is insufficient provision available to meet identified additional learning needs across the age ranges THEN the authority will face increased costs due to the use of independent placements, home education packages, demand for mainstream funding to meet increased needs and out of County provision which the local authority will be required to secure under the new legislation. In addition, there will be increased legal costs associated with our failure to meet ALN requirements in line with our statutory commitments.	Education	-	-	Alison.Lane2	Alison.Lane2	Red	Red	Red	19-OCT-20	Yes
120	Delay to review/consultation of home-to-school transport	Directorate	-	IF there is further delay in agreement to review and consult prior to implementing home-to-school transport policy changes, with policy changes agreed by Cabinet by September 2020, THEN the savings will not be possible to achieve even by September 2022. MTFP savings targets are already undeliverable to the original timescales.	Education	Achievement and Partnership Services	-	Kate.Phillips2	Kate.Phillips2	-	Red	Red	19-OCT-20	Yes

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130	Violence and aggression towards staff by pupils at the PRU.	Directorate	-	towards staff by pupils does not reduce, THEN there is a significant risk that a member of staff or another pupil is likely to be seriously hurt resulting in legal action against the Council and an impact on how the PRU is perceived by the public.	Education	Achievement and Partnership Services	-	Amanda.Taylor2	Helen.Morgan-Rees	Red	Amber	-	30-SEP-20	Yes
91	School Cloud Oracle Access	Directorate	-	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.	Education	Education Planning and Resources	-	Helen.Morgan-Rees	Kelly.Small	Amber	Amber	-	18-SEP-20	Yes
89	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	-	Brian.Roles	Louise.Herbert-Evans	Amber	Amber	-	18-SEP-20	Yes
263	Special School Project	Directorate	-	IF a strategy and timeline is not established for special school provision THEN there is a risk that the authority will fail to meet its responsibilities in relation to ALN, will be unable to fully implement several elements of the ALN Strategy, and will continue to have to place an increasing number of pupils in out of county and independent provision leading to continued and increased budget overspends, and negatively impacting on pupil and family wellbeing and safeguarding.	Education	Education Planning and Resources	-	Brian.Roles	Louise.Herbert-Evans	Red	Red	-	18-SEP-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	Louise.Herbert-Evans	Red	Red	-	18-SEP-20	Yes
255	School Highway and Access Review - Y Crug Glas	Directorate	-	If the Council is unable to access capital investment to deliver alternative facilities for Y Crug Glas on an alternative site, then the current priority school site and highway traffic related issues will not be addressed. The issues will be further exacerbated by potential developments in the area, and has been subject to a request by Housing to create an alternative entrance.	Education	Education Planning and Resources	-	Brian.Roles	Louise.Herbert-Evans	Red	Red	-	18-SEP-20	Yes
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	Kelly.Small	Red	Red	-	18-SEP-20	Yes

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### 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 by reversing tree loss, then there will be a significant detrimental impact on environmental resilience, social, cultural and economic prosperity and well-being.	Directorate - Place	Planning and City Regeneration	-	Paul.Meller	Paul.Meller	Amber	Amber	Amber	23-OCT-20	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, this has been exacerbated by the CV19 pandemic and the required cessation of inspections	Directorate - Place	Housing and Public Health(PLACE)	-	Lynda.Anthony	Peter.Williams	Amber	Amber	Amber	23-OCT-20	Yes
60	Welsh Housing Quality Standard	Directorate	-	If the Authority does not achieve the Welsh Housing Quality Standard by the extended deadline yet to be announced by WG because of the impact of CV19, 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	Amber	23-OCT-20	Yes
48	Loss of Trees due to Ash Die Back	Directorate	-	If Ash Die Back (ADB) is not managed and resourced effectively, then there will be significant overspends incurred, risk to life and property, and risk to reputation. 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.	Directorate - Place	Waste Parks and Cleansing	-	Chris.Howell	Jeremy.Davies	Red	-	Red	22-OCT-20	Yes
81	PL GEN 81: Failure to deliver the infrastructure to support the City Bay Region's Economic Regeneration Strategy	Directorate	-	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. Further WG funding announced for 2021.	Directorate - Place	Highways and Transportation	-	Stuart.Davies	Lee.Davies	Amber	Amber	Amber	21-OCT-20	Yes

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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	21-OCT-20	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	-	20-OCT-20	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	Jill.Goddard	Amber	Amber	Amber	20-OCT-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	Amber	19-OCT-20	Yes
260	Procuring an Energy From Waste Contract	Directorate	-	If we are unable to secure an affordable Energy from Waste contract by February 2022 when Tir john is due to close, through a low cost option and/or WG gate fee subsidy, Then the increased cost in residual disposal could result in a budget pressure in excess of £1M.	Directorate - Place	Waste Parks and Cleansing	-	Chris.Howell	Matthew.Perkins	Red	-	Red	15-OCT-20	Yes

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61	Disabled Facilities Grants - Programme Delivery and Budget Performance	Directorate	-	then this could have a reputational impact for the Authority, and result in a loss of fee income for the service. If the DFG programme is not fully committed, then disabled and vulnerable clients will not receive much needed adaptations, impacting on their ability to maintain living independently within their own homes.	Directorate - Place	Housing and Public Health(PLACE)	-	Darren.Williams	Peter.Williams	Red	Red	-	24-SEP-20	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. 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	-	-	28-AUG-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	-	-	-	30-JAN-20	Yes

## Resources

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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	Jo.Harley	Amber	Amber	-	21-SEP-20	Yes