

## Risk on a Page

Risk Title : Pupil attainment and achievement

Risk ID : 94

Description : If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and to contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Last Update : 04/01/2022

Historical RAG : 

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER				AMBER			AMBER		

Current Control Measures	Last Update	Risk Response	Projected Completion
Ongoing Mitigations In Relation To Covid 19 Disruptions Are In Place. This Includes Planned Responses To Any Temporary Or Partial Closures To Allow For Continuity Of Learning.	24/12/2021	Treat	31/08/2022
The Swansea Skills Partnership Continues To Meet On A Regular Basis And Ensures That A Ranges Of Local Educators Focus On The Skills Agenda And The Provision Of Good Quality Advice And Guidance For Pupils To Make Choices About Their Education Pathways. The Mychoice Website Provides Strong Support For Pupils To Select Courses At Post Compulsory Age Education. Recently, The Partnership Board Has Focussed On Improving Digital Capacity And Establishing A Neets (Not In Education Training And Employment) Prevention Network As A Sub-Group Of The Main Partnership Board.	02/12/2021	Treat	31/10/2024
Regular Ongoing Monitoring And Evaluation Of School Performance In Respect Of Provision Including Improving The Quality Of Teaching And Learning Is In Place. Each School Is Assigned A School Improvement Adviser To Undertake Support Visits So That Schools' Priorities And Evaluation Of Their Own Performance Is Examined Thoroughly. Where Schools' Capacity To Self-Improve Is Compromised More Intense Support Packages Are Agreed And Supported With Action Plans. The Statutory Function Of Monitoring And Evaluation Helps Mitigate The Risk Of Inferior Education For Pupils.	02/12/2021	Treat	31/10/2023
External Regulation And Review By Estyn, The Education Inspectorate, Remains In Place With Two Recent Letters To The Chief Executive Indicating That Support For Continuity Of Learning During The Pandemic Has Been Useful. Schools And Providers Have Not Been Inspected Since The Creation Of The Risk. However, One School Has Been Removed From A Non-Statutory Category Of Follow-Up In February 2021 And The Only Remaining School In Follow-Up Is Likely To Be Removed From This Category In December 2021. Inspections Will Re-Commence For Schools In April 2022. Inspection Of Local Government Education Services Re-Commence In November 2021 And Swansea Is Likely To Receive A Full Inspection In The Next Two Years. Both Self-Evaluation And Corporate Self-Assessment Processes Are Live And Updated On An Annual Or Sixth Monthly Basis.	02/12/2021	Tolerate	31/10/2024

### Current Control Measures

Education Improvement Is Scrutinised By Elected Members In Panel Each Month To Ensure That There Is Suitable Provision To Monitor Relevant Indicators Such As Attendance, Exclusion And Vulnerable Groups Of Learners. The Comprehensive Work Programme Re-Visits Policy Development Such As The Swansea Curriculum Implementation Plan And The Progress Of The Swansea Skills Partnership To Ensure That Plans Are Progressing Well.

Last Update

02/12/2021

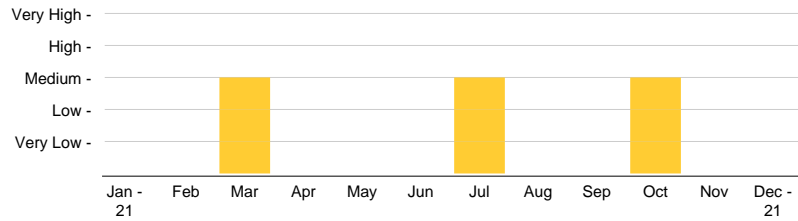
Risk Response

Tolerate

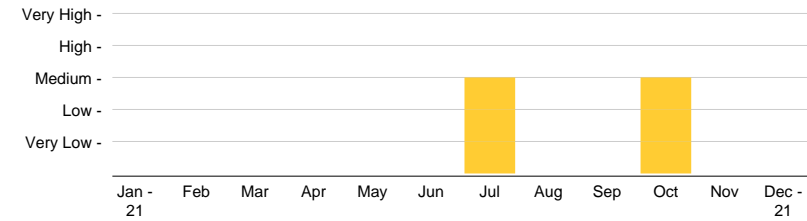
Projected Completion

31/10/2024

Historical Impact :



Historical Likelihood :



## Risk on a Page

Risk Title : Safeguarding

Risk ID : 153

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 Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 24/12/2021

Historical RAG :

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

### Current Control Measures

Prioritise And Target Resources At Maintaining Care And Support For Those Individuals In Most Critical Need Or At Risk Of Suffering Harm As Part Of The Emergency Planning Infrastructure And Re-Prioritisation Of The Councils Covid-19 Recovery Plan.

Last Update

24/12/2021

Risk Response

Treat

Projected Completion

31/03/2022

Monitor The Effectiveness Of Safeguarding Arrangements Bi-Monthly At The Corporate Safeguarding Board And The Regional Safeguarding Board, Quarterly At Cmt And Monthly At Pfm And Take Appropriate Remedial Action.

24/12/2021

Treat

31/03/2022

Monitor Each Month At Pfm And Bi-Monthly At Scrutiny Committee The Performance Of A Dedicated Safeguarding Team Established In Adult Services To Ensure A Timely Response To All Safeguarding Referrals And Undertake A Further Review Of Adult Services In April 2022.

24/12/2021

Treat

30/04/2022

Recruit 8 Additional Unqualified And Business Support Staff By The End Of December 2021 To Take On Some Of The Functions That Would Usually Be Carried Out By Social Workers In Order To Reduce The Burden On Child Protection Social Workers So That They Can Prioritise Direct Work With Children Who Are Subject To Child Protection Plans.

24/12/2021

Treat

31/10/2023

### Closed Control Measures

Establish And Maintain A Regional Protocol To Provide Secure Covid-19 Care Home Provision, Including Increased Capacity In The Councils In-House Care Homes.

Closure Date

31/08/2021

Reprioritise Workload To Focus On The Most Vulnerable People And Prioritise Services And Contact With Those Individuals During The Covid-19 Response.

31/08/2021

Provide Support To People Who Are At Greater Risk From Domestic Abuse During Covid-19

31/08/2021

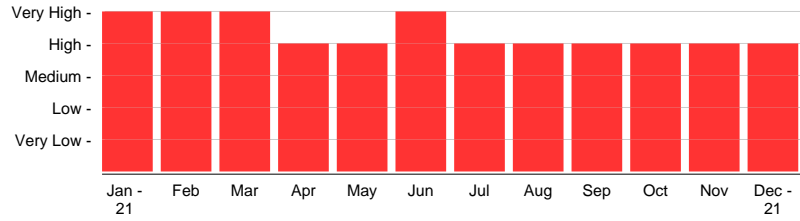
## Closed Control Measures

## Closure Date

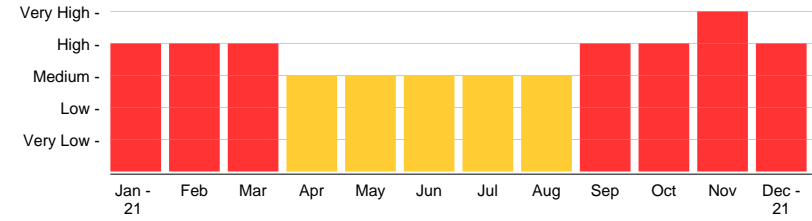
Implement The Councils Covid-19 Recovery Plan To Recover Services And Help Deal With Emerging Risks From Covid-19.	16/09/2021
Provide Emotional And Well-Being Support To Children And Young People During Covid-19	31/08/2021
As Part Of A Wider Restructuring Of Adult Services, There Is Still A Plan To Re-Establish A Dedicated Safeguarding Team At The Front Door.	16/04/2021
Provide Front-Line Social Care Staff With Ppe During Covid-19.	16/04/2021
Support And Shield Vulnerable People In The Community During Covid-19	16/04/2021
Subgroup Of The Corp. Safeguarding Board Reviewing Additional Safeguards That Can Be Implemented By The Hr Transactions Team.	16/04/2021
Action Plan Being Developed In Response To Recent Audit On Dbs Compliance In Schools.	16/04/2021
Children Services Are Planning To Further Enhance The Multi-Agency Front Door Team With A Dedicated Safeguarding Hub.	06/07/2020
Director Of Social Services To Advise Cabinet And Cmt On Options To Bolster Resilience Of The Workforce In Frontline Child Protection Teams	06/07/2020
¿ Sufficient Numbers Of Trained Adult And Children Services Staff. Principal Officers For Safeguarding Within Social Services	07/07/2020
¿ 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'	
Update (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	
Update 6/7/20 Safeguarding Arrangements And Resources Have Had To Be Remodelled To Ensure That This Key Priority Function Within Social Services Can Continue To Be Safely Delivered Despite The Restrictions Imposed As A Result Of Covid. The Planned Implementation Of The Multi	

Agency Safeguarding Hub Has Progressed Despite Covid And The Required Dedicated Safeguarding Team For Adults Has Been Included In The Modified Restructure Of Adult Services Required As A Result Of Covid.

Historical Impact : **High**



Historical Likelihood : **High**



## Risk on a Page

Risk Title : Financial Control - MTFP aspects of Sustainable Swansea

Risk ID : 159

Description : If we fail to deliver Sustainable Swansea and maintain sufficient financial control, and in particular do not ensure we contain service overspending, especially now inflation is embedded at levels far above the expectation of around 2%, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and price pressures and changing public expectations.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 17/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Further Development Work To Progress On Transformation Agenda Over Medium Term Through Achieving Better Together Reshaping Programme.	17/12/2021	Treat	31/03/2022
The S151 Officer To Issue Fortright And Formal Advice On The Adequacy Of Budgets As Part Of Budget Setting, Including The Central Inflation Provision And Contingency Over The Medium Term Taking Into Account All Known Pressures Including Prices.	17/12/2021	Treat	31/03/2022
Agree Modest Virements In Conjunction With The S151 Officer And Report More Sizeable Issues For Decision Through Cabinet On S151 Officer Advice Around Releases From Central Inflation Provision (£4m) And Contingency (£3.5m) In Year.	17/12/2021	Treat	31/03/2022
Identify Uncontainable Inflation Pressures As Variances In The Monthly Pfm Budget Reporting Cycles And Quarterly Through To Cabinet.	17/12/2021	Tolerate	31/03/2022
Compliance Within Financial Procedure Rules So That Spend Remains Within Budget, Including Permitted Virements.	17/12/2021	Treat	31/03/2022
Services To Ensure That Inflation Pressures Are Managed And Contained Within Cash Limits Agreed At The Time The Budget And Mftp Are Set.	17/12/2021	Treat	31/03/2022
Covid-19 Recovery Plan : Future Council - Finance - New Mftp. Linkages With Achieving Better Together Can Be Refreshed After Csr 2021. Do Expect Multi Year Settlement From Welsh Government A Possibility Which Will Aid Medium Term Certainty.	27/10/2021	Treat	31/03/2022

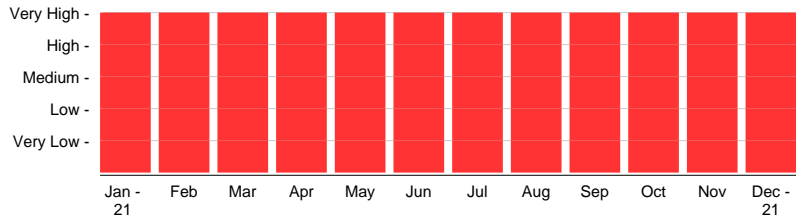
Current Control Measures	Last Update	Risk Response	Projected Completion
Covid Disruption	27/10/2021	Tolerate	31/03/2022
Extant Spending Restrictions Published To All Staff And Reviewed And Many Controls Continue To Be Directly Exercised By Cmt In Relation To Filling Vacant Posts, Restructures, Regrades And Committing Contract Sums	27/10/2021	Treat	31/03/2022
Agreed And Well Established Quarterly Reporting Plan In Place To Document And Record At Cabinet All Actions Or Non Actions In Services To Contain Spending	27/10/2021	Treat	31/03/2022
Pfm (Performance And Financial Management/Monitoring) Process Monthly Is Well Established And Understood By All Officers With Appropriate Escalation Mechanism To S151 Officer, Chief Executive And Cabinet If Non Compliance	27/10/2021	Treat	31/03/2022

### Closed Control Measures

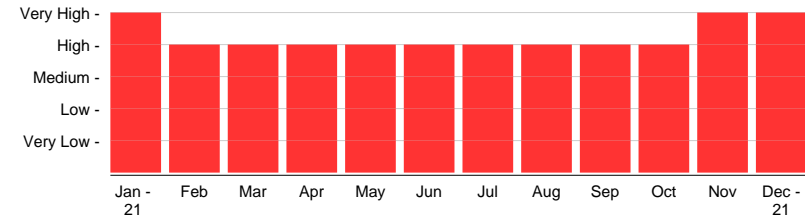
Closure Date

<ul style="list-style-type: none"> <li>¿ An Agreed Plan And A Process For Corporate Level Monitoring In Place.</li> <li>¿ An Agreed Budget.</li> <li>¿ Clear Governance And Reporting In Place.</li> <li>¿ Prevention Strategy.</li> <li>¿ Regular Monthly Monitoring At P&amp;Fms.</li> <li>¿ Reporting, Monitoring And Review At Fstg.</li> <li>¿ Audit Committee Providing Challenge, Oversight And Assurance.</li> <li>¿ Collaborative Officer And Member Budget Setting Process In Place.</li> <li>¿ Launch Of Reshaping Board To Further Challenge Delivery/Mirigations For Non Delivery And Accelerate Timescale For Assuring Delivery</li> <li>¿ Mtfp.</li> <li>¿ Dedicated Scrutiny Service Improvement And Finance Performance Panel Consider And Scrutinise The Budget On A Quarterly Basis</li> </ul> <p>All The Above Refreshed For 2019-20 Budget Round Including Launch Of Zero Based Budget As Next Phase Of Sustainable Swansea</p>	31/03/2020
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Historical Impact : Very High



Historical Likelihood : Very High



## Risk on a Page

Risk Title : New Legislative and Statutory Changes

Risk ID : 180

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 Level : Corporate

Responsible Officer : Tracey.Meredith

Councillor : Robert Stewart

Last Update : 30/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
Lobby Welsh Government To Streamline Legislative Requirements, Bureaucracy And Decision Making To Allow A Flexible And Rapid Response To And Recovery From Covid-19.	16/12/2021	Terminate / Close	31/07/2022
Legal, Equalities And Future Generations Implications Are Inserted Into All Decision Making Reports That Proceed To Cabinet/Council/Committees With Legal, Finance And Access To Services Sign Off To Ensure That There Is Compliance With Legislation And That Any Legal, Equality, Financial, Future Generation Issues Are Considered Prior To Decisions Being Made.	16/12/2021	Treat	31/07/2022
Consultations From Wg And Uk Government Are Reported To Cmt Via A Standing Item On The Cmt Agenda. This Enables Wider Visibility Amongst Cmt Members. It Also Provides Early Sight Of Proposed Changes To Legislation Or New Legislation Which Is Proposed And Enables Discussion Around The Impact Of Such Changes/New Legislation On The Local Authority Services.	16/12/2021	Treat	31/07/2022
An Action Plan For The Lgewa Has Been Prepared With A View To Allowing Officers To Plan Any Changes That Are Needed To Constitution And Governance Arrangements. The Action Plan Is Updated On A Regular Basis And Is Reported To Cabinet And Cabinet/Cmt Awayday When Necessary.	16/12/2021	Treat	31/07/2022
Lawyers In Local Government Update On New Legislation, Consultation And Constitutional Matters - Circulated By Chief Legal Officer To Cmt On Regular Basis.	16/12/2021	Terminate / Close	21/11/2021
Policy Briefings Are Circulated To Cmt And Where Appropriate Cabinet At Cmt/Cabinet Awaydays. The Monitoring Officer Attends Quarterly Meetings Of Wales Monitoring Officers Where Updates On Legislation Is Discussed. The Monitoring Officer Circulates Llg Updates To Cmt Via The Agenda As And When Received. Other Statutory Officers Also Circulate Briefings Via Cmt. This Enables Cmt To Be Aware Of Legislative Changes And Ensure Wider Visibility Where Appropriate.	16/12/2021	Treat	31/07/2022



## Closed Control Measures

## Closure Date

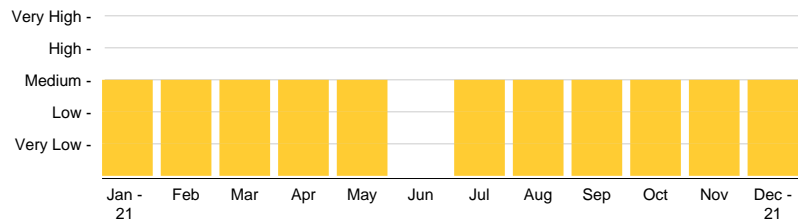
Strategic Delivery Unit: Horizon Scan And Give Advice On Our Response To New Legislation And Other Major External Change. ¿ Legislative Duties And Legal Obligations Incorporated Into Reports To Committees And Decision Makers With All Reports Signed Off By Legal And Access To Services. ¿ Embedding Legislative Duties At The Earliest Stages Of Decision-Making Update ¿ Well Being Of Future Generations Guidance To Be Updated To Include Toolkit Which Will Be Referenced In Report Writing New Guidance.¿ 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. Well Being Future Generations Webpage Updated. Cmt Updated By Monitoring Officer On Legislative Changes/Consultations In Wg From Llg Llg Changes To Legislation Circulated To Cmt No Further Update- Following The Publication Of The Local Government And Elections (Wales) Bill Cmt/Cabinet Awayday Were Presented With Contents Of The Bill For Consideration And Call To Evidence From Wg. Separate Risk To Be Considered For The Contents Of The Bill As It Goes Through Assembly.

28/06/2021

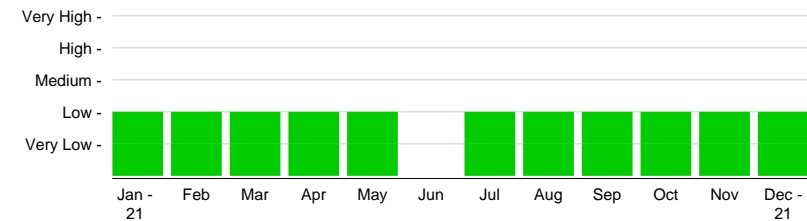
Legislative Requirements - Built Into Plans And Decision Making.

30/04/2021

Historical Impact : **Medium**



Historical Likelihood : **Low**



## Risk on a Page

Risk Title : Workforce Strategy

Risk ID : 196

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 Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : David Hopkins

Last Update : 20/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER		AMBER		AMBER

### Current Control Measures

Workforce Strategy For 2021-24 Being Developed To Incorporate Workforce Planning, For Consultation With Cmt And Cabinet In April/ May/ June In 2021.  
 Consultation With Members, Cmt, Leadership Team And Employees (Via Staff Survey) Ongoing.  
 Employee Focus Groups To Be Held In November. (Updated October 2021).

Last Update

20/12/2021

Risk Response

Treat

Projected Completion

31/03/2022

The Workforce Strategy Is Being Developed To Identify The Key Strategic Objectives, Priorities And Activities That Is Required For The Workforce To Help Achieve The Council'S Key Strategic Priorities.  
 (S) The Strategy Specifies The Themes And Strands That Have Been Identified As Key To Its Successful Delivery.  
 (M)The Appropriateness Of The Themes And Strands That Sit In The Strategy Are Being Measured By Continued Consultation With Key Stakeholders Such As Members, Cmt, Leadership Team And Employees Via The Staff Survey. Further Consultations Will Take Place With Employee Focus Groups, Trade Unions And With Members And Cmt.  
 (A) It Has Been Recognised That, To Achieve Successful Delivery, Additional Resource Would Be Required And Funding Has Been Received To Enable Us To Mitigate The Risk Of Lack Of Resource.  
 (R) Measure Have Been Put In Place To Ensure Effective Project Management Of The Key Activities Following On From The Anticipated Agreement To This Strategy.  
 (T) This Work Has Been Ongoing Since April 2021 And Will Continue Until The Strategy Is Agreed In Q4 21/22

28/10/2021

Treat

31/12/2021

### Closed Control Measures

Workforce Planning

Closure Date

31/03/2021

Workforce Planning  
 Corporate Plan

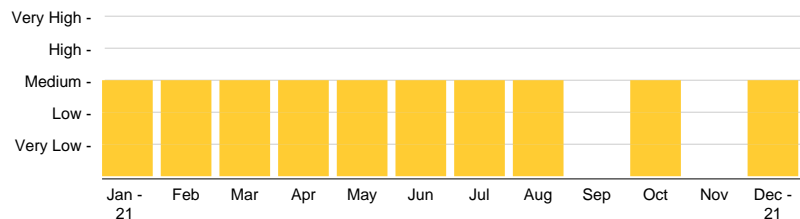
31/03/2021

**Closed Control Measures**

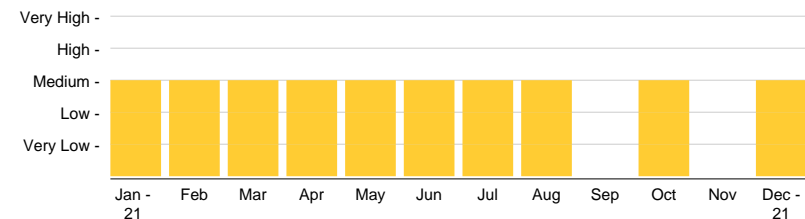
**Closure Date**

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 Service Planning	31/03/2021
Gender Pay Gap And Project Plan	31/03/2021
Organisational Development (Od) Strategy And Implementation Plan In Place.	31/03/2021
Support Staff To Work Remotely At Home During Covid-19.	31/03/2021
Tracking And Monitoring Of Od Plan And Delivery.	31/03/2021
Workforce Will Be A Key Strand Of The Future Council Workstream In The New Covid-19 Recovery Plan	31/03/2021
Support Staff Health And Well-Being During Covid-19.	31/03/2021
Reporting Through Leadership Team.	31/03/2021
Apprenticeship / Traineeships Strategy.	31/03/2021
Redeploy And Train Staff To Assist With The Covid-19 Response.	31/03/2021
Corporate Plan - Transformation & Future Council Objective.	31/03/2021

Historical Impact : Medium



Historical Likelihood : Medium



## Risk on a Page

Risk Title : Availability of Domiciliary Care

Risk ID : 221

Description : If demand for personal care at home continues to exceed the Council's capacity to directly provide or commission sufficient domiciliary care staff and services, then the local authority will fail to meet its statutory duties under the Social Services and Well Being Act, individuals care and support needs will not be sufficiently well met and there will be significantly increased pressure on acute hospital services.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED		RED	RED		RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Increase The Number Of Contracted Providers When Capacity Pressures Require And Review Annually The Councils Framework For Commissioning Domiciliary Care.	24/12/2021	Treat	31/03/2022
Review Waiting Lists And Care Provider Available Capacity On A Daily Basis In Order To Prioritise Access To Services For Individuals' Needs. Review Waiting Lists On Weekly Basis To Ensure Priority Cases Are Being Considered And Monitor At The Regional Emergency Community Silver Planning Meeting.	24/12/2021	Treat	31/03/2022
Increase Access To Short Term Residential Placements To Reduce The Need For High-Intensity Domiciliary Care For Individuals Being Discharged From Hospital. Monitor The Effectiveness Of This Approach Bi-Monthly At The Regional Health And Care Transformation Board And Review The Emergency Arrangements In Feb 2022.	24/12/2021	Treat	31/03/2022
Continue To Work With Third Sector Providers To Reprioritise Their Services To Support Individuals With An Alternative To Domiciliary Care To Mitigate The Detrimental Impact Of Lack Of Access To Formal Care; Continue To Monitor The Effectiveness Of This Approach Bi-Weekly At The Regional Health And Care Transformation Board.	24/12/2021	Treat	31/03/2022
Continue A Pilot Of Dom Care Services Being Provided By A Residential Care Provider	24/12/2021	Treat	31/12/2021
Continue To Adapt Respite Services To Flex To Address Long-Term Needs And Review At The End Of December 2021 The Effectiveness Of Of This Approach.	24/12/2021	Treat	31/12/2021
Review As Part Of The Budget Setting Process Within Social Services By End Of March 2022 The Need For A Further Uplift To The 10% Uplift Of The Fee To All Domiciliary Care Providers Implemented In Year To Enable External Providers To Pay A Competitive Salary To Staff To Assist With The Recruitment And Retention Of Domiciliary Care Staff.	24/12/2021	Treat	31/03/2022

Closed Control Measures

Closure Date

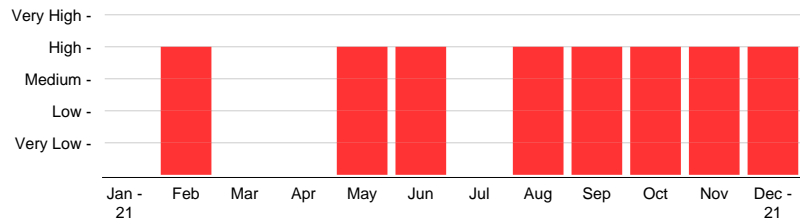
Review Direct Payments Rates

01/03/2021

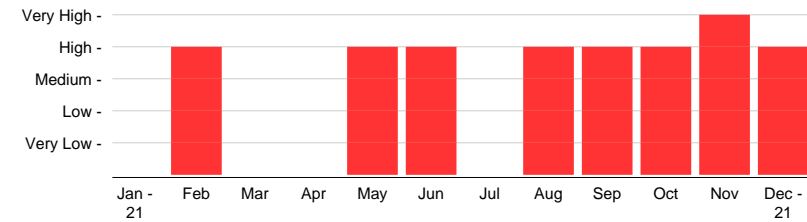
Re-Procured Services At Higher Cost, With Improved Terms And Conditions For Dom Carers And More Efficient Geographical Coverage, To Enhance Provider Capacity To Deliver Services And Recruit And Retain Staff.  
Revised Direct Payments Strategy To Incentivise Take Up And Reduce Burden On Commissioned Services.  
Daily Management Of Waiting Lists And Contact With Care Providers To Facilitate Access To Services.  
Piloting Of  $\delta$ Hospital To Home $\delta$  Initiatives To Alleviate Hospital Pressures And Reduce Escalation Of Care And Support Needs.

11/01/2021

Historical Impact : High



Historical Likelihood : High



# Risk on a Page

Risk Title : Digital, data and cyber security

Risk ID : 222

Description : 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 Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : Andrew Stevens

Last Update : 22/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED		RED	RED	RED	RED	RED	RED

### Current Control Measures

Introduce Simulated Cyber-Attacks On Staff To Measure Their Actions, Identify Weaknesses And Improve Knowledge.  
This Will Check The Level Of Compliance From Users And The Level Of Staff Awareness And Training Needed To Improve Knowledge.

Last Update

22/12/2021

Risk Response

Treat

Projected Completion

31/03/2022

### Closed Control Measures

Bullwall Software Purchased To Protect Against Malware Attacks. The Software Identifies Abnormal Activity On Devices And Shuts Down The Device To Prevent A Malware Attack On The Councils Network

Closure Date

30/11/2021

Further Mitigation Includes Live Testing Of Dr Plan - Options Being Reviewed Potentially In Line With Wider Corporate Business Continuity Exercise.

20/10/2021

Ms Security Compliance Licences To Be Procured Following Evaluation. This Will Enhance All Security Monitoring Across The Authority For All Users With Swansea Devices.

01/09/2021

Evaluating New Software To Further Support Existing Cyber Security Suite

26/07/2021

Digital Services Working With Internal Audit And Emergency Planning To Further Improve The Ict Disaster Recovery Plan.

01/04/2020

Lrf Cyber Exercise Planned And Revised Siro Training.

31/12/2020

Cyber Security Strategy Created And Ready For Engagement With Staff.

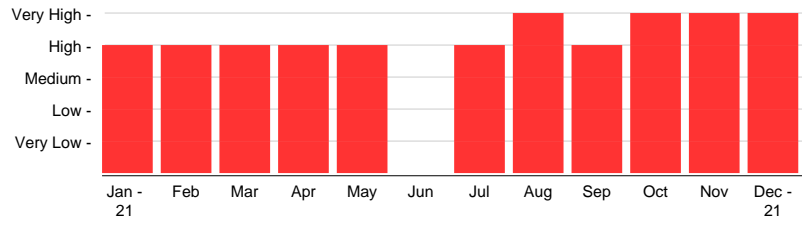
01/01/2021

New Regional Multi-Agency Cyber Cell Meetings Being Attended To Share Intelligence And Actions.

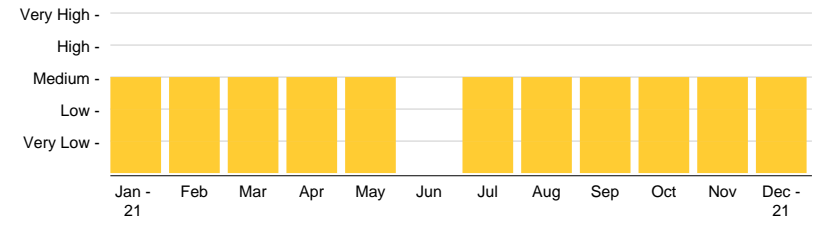
01/10/2019

Closed Control Measures	Closure Date
Embarking On Cyber Essential And Cyber Essentials Plus Accreditation.	03/06/2019
Provide Staff With Ict Security And Data Management Updates And Guidance During Covid-19 And Whilst Working From Home, Including Cyber Security Guidance And Covid-19 Cyber Scams Staffnet Page.	01/06/2020
Ensure The Councils Covid-19 Recovery Plan Accounts For Increased Risks From Cyber Attacks And Data Fraud Arising From New Working Patterns And Reliance In Technology.	02/11/2020
Cyber Security During Covid Reviewed Alongside Cyber Security Advice From Warp And Psn Compliance, E.G. Use Of Zoom	30/04/2020
Cyber Essentials Accreditation Achieved.	31/10/2019
Psn Certification Achieved.	31/10/2019
Member Of The Cisp (Cyber Security Information Sharing Partnership) Which Is A Joint Industry And Government Initiative Set Up To Exchange Cyber Threat Information.	31/03/2020
Part Of The Wales Warp (Warning Advice And Reporting Point) To Share Cyber Threats And Defences With Other Public Bodies.	31/03/2020
Enhanced Security Layer Provided By Microsoft Office 365.	31/03/2020
Communications Issued To All Staff And Members Following Publication Of A Case Study Detailing The Impact Of A Cyber Attack At Another Council.	31/10/2019
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.	31/03/2020
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.	
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.	

Historical Impact : **Very High**



Historical Likelihood : **Medium**





# Risk on a Page

Risk Title : Emergency Planning, Resilience and Business Continuity

Risk ID : 235

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 Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrew Stevens

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER

## Current Control Measures

Communication During An Incident Is Critical For Responding Cohesively In Partnership With Other Agencies, During Extreme Weather Or Overload Of It And Mobile Communication Systems An Alternative Form Of Communication Is Required As Follows.

- 1 Receipt Of Welsh Government Grant Funding.
2. Purchase Of Ofcom Radio Broadcast License
3. Purchase Of Motorola Base Station & Hand Held Digital Radios
4. Staff Training
5. Radio Cycle And Comms Check Protocol
- 6 Equipment Added To Service Asset List, Defects Logged And Comms Checks Recorded For Monitoring

Once These Control Measures Are Implemented, The Emergency Management Service Will Have The Capability To Communicate To A Range Of Approximately 5 Kilometres.  
The Effectiveness Of The System And Equipment Will Be Reviewed On An Annual Basis.

## Last Update

24/12/2021

## Risk Response

Treat

## Projected Completion

31/01/2022

As A Category 1 Responder Under The Civil Contingencies Act, Swansea Council Has A Legal Requirement To Plan For And Respond To Emergencies, To Do This The Following Is In-Place.

1. Staff Trained At Operational, Tactical And Strategic Level Via The South Wales Local Resilience Forum
2. A Major Incident Plan, Which Is Reviewed Annually. And Exercised Every Three Years Unless Activated Or A Significant Change Such As A Change In Statute Require Earlier Change.
3. Maintain And Review On An Annual Basis All Subordinate Plans, Including Mass Fatalities, Flood, Offsite Comah Plan, Rest Centre Plan.
4. Manage A Duty Officer Rota To Effectively Respond To Emergencies Available 24 Hours Per Day, 365 Days Per Year.
5. Annually Review All Identified Risks Within The Borders Of Swansea Council, To Ensure Control Measures Remain Relevant And Proportionate.
6. The Council Has A Corporate Business Continuity Policy And Guidance In-Place Which Is Redistributed Annually To All Heads Of Service To Ensure Business Continuity Plans Are Robust And Reviewed

24/12/2021

Treat

31/03/2022

Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Annually.</p> <p>7. The Emergency Management Service Has Guidance, Procedures And Action Cards In-Place Which Are Reviewed Annually For All Significant Risks.</p> <p>8. The Emergency Management Service (Ems) Acts As The Conduit For Security And Counter Terrorism Information From The Welsh Extremism &amp; Counter Terrorism Unit, Disseminating Information To Key Internal And External Partners As Required.</p> <p>9. Ems Maintains A Fully Stocked Incident Responce Vehicle, To Protect/Support The Public During An Emergency.</p>	27/05/2021	Treat	31/03/2022
<p>New Service Delivery 21-22, To Develop Emergency Arrangements For Reservoir Inundation/Breach, Coal/Spoil Tip Landslide/Breach, Felindre Site, And Development Of Additional Rest Centres</p>			

Closed Control Measures	Closure Date
<p>Swansea As A Diverse Multicultural/Language Diverse Society, Requires Ready Access To Translators To Support Our Community By Effectively Communicating During An Emergency.</p> <p>To Improve Our Ability To Respond And Support The Community, A Language Survey And Request For Staff Volunteers Has Been Implemented And A Full Database Of Staff With Additional Language Skills Will Be Created And Held Confidentially By The Emergency Management Service. This Database Will Be Reviewed And Amended Every 6 Months, Including The Confirmation Of Contact Information To Maximise Our Ability To Respond To An Emergency.</p> <p>This Update Will Be Communicated To The Emergency Management Staff, Added To The Duty Officer Folders And Drive.</p>	20/12/2021
<p>Tier 1 Comah Exercise Remotely Via Teams For Hse Legal Compliance, All Blue Light And Cat1 Partners Present</p>	28/09/2021
<p>Covid Compliant Rest Centre Training/Exercise With Brc And Police Planned</p>	03/08/2021
<p>Assistant Emo Post Job Evaluated Dpr For Cmt Approval 9th April For Sign Off And Recruitment</p>	14/06/2021
<p>Ems Staffing And Resilience</p>	26/03/2021
<p>Prepare For Further Covid-19 Or Other Infectious Disease Outbreaks.</p>	26/03/2021
<p>Review And Update Business Continuity Plans.</p>	31/12/2020
<p>Multi Agency Exercising And Training.</p>	31/03/2020
<p>Review Of Mip And Supporting Action Cards Underway</p>	26/03/2021
<p>Offsite Comah Plan &amp; Exercising.</p>	31/03/2020
<p>Emergency Recovery Plan.</p>	31/03/2020
<p>Vehicle Mitigation &amp; Protective Security Advice.</p>	31/03/2020

Closed Control Measures	Closure Date
Commissioned Emergency Control Centre.	31/03/2020
Flood Management Plan.	31/03/2020
Mass Fatality Plan.	31/03/2020
Major Incident Plan.	31/03/2020
Crisis Media Plan.	31/03/2020
Additional Dedicated Ppe Reserve For Responders And Public During Evacuation And Additional Rest Centre Location For Mass Evacuation To Be Established From Bay. Ppe Reserve Now Catalogued With Dedicated Management Spreadsheet	11/09/2020
Rest Centre Plan & Arrangements. Duty Packs Reviewed And Updated Oct 20	31/03/2020
Specific Covid Rest Centre Arrangements Developed And Implemented Complete With Evac Ppe And Hygiene Supplies. Ppe Reserve Catalogued And Issued First Response Supplies To Duty Officers	19/06/2020
Restructure Of Ems To Include Additional Ems Officer And Principle For 12 Months Losses To Ems Officers Through Hr Process Further Dpr And Review Required In November	12/07/2020
Additional Strategic Training To Increase Organisational Resistance Agreed For 3rd November Swlrf Cancelled Gold, However Gold Lie Being Established And Tactical Training Under Development. Action Complete Director Trained Via Gold Lite Package	03/11/2020
Dpr To Recruit Two Ems Officers And Extend Principal Emo Agreed 27th November, Internally And Externally Advertised	22/01/2021
Temporary Mortuary Arrangements.	31/03/2020
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.	13/02/2020
Project Griffin Training.	31/03/2020
Call Out & Activation Protocols/Action Cards.	31/03/2020
Rag Alert System Across H&S, Emergency Management.	31/03/2020
Service And Corporate Business Impact Assessments And Business Continuity Plans.	31/03/2020
Continual Review Of Plans & Protocols.	31/03/2020
Risk Profiling.	31/03/2020

## Closed Control Measures

Closure Date

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

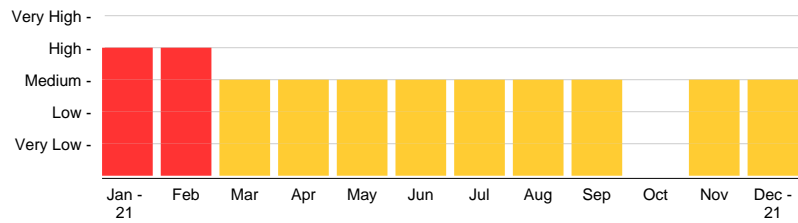
¿ Continual Review Of Plans & Protocols

¿ Service And Corporate Business Impact Assessments And Business Continuity Plans

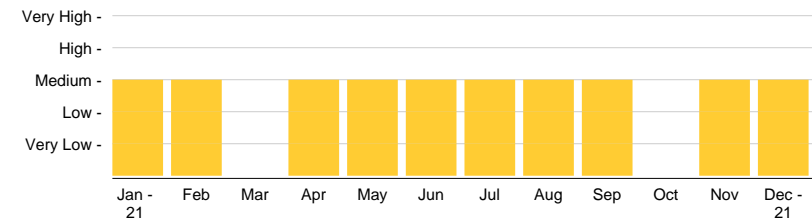
¿ Rag Alert System Across H&S, Emergency Management

31/03/2020

Historical Impact : **Medium**



Historical Likelihood : **Medium**



## Risk on a Page

Risk Title : Health & Safety

Risk ID : 236

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 Level : Corporate

Responsible Officer : Adam.Hill

Councillor : David Hopkins

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER

### Current Control Measures

Corporate Health & Safety Acting As The Competent Advisor For The Authority For Health & Safety, And Fire Safety Management Undertake An Annual Program Of Audit And Inspections Across All Service Areas To Maintain And Improve Arrangements And Compliance With Policy, These Are Recorded To Protect The Organisation And Agreed Improvement Plans Put In-Place And Monitored For Completion.  
 All Corporate H&S Training Records, And Qualification Refresher Recalls Are Centrally Administered With Compliance Reports Provided To Services On A Bi-Annual Basis.  
 H&S Officers Also Investigate More Significant Accidents Falling Under The Remit Of The Riddor Regulations, Providing A Management Report To Prevent Re-Occurrence, Ensure Legal Compliance And An Improvement Of Standards, These Are Also Provided With Statistical Information To Directors Biannually And Within An Annual Corporate Accident Report And Trend Analysis.  
 The Service Also Manages A Rag Rated Alert System Allowing Communication Of Best Practise, Legal/Policy Changes And Areas For Action Across The Authority, These Are Document Control And Stored For Evidence Purposes And Liaison With The Health & Safety Executive, Fire And Rescue Services And Legal Representatives.  
 If Sufficient, Suitably Trained Staff Were Not In-Place It Would Leave The Organisation Unable To Meet It'S Legal Responsibilities.

### Last Update

24/12/2021

### Risk Response

Tolerate

### Projected Completion

31/03/2022

Swansea Council, Recognising Its Legal And Moral Obligations Will Under Full Consultation Develop And Implement A Corporate Menopause Policy Which Will Be Communicated To All Service Areas. This Will Be Done In A Phased Manner, December 2021 Hr Consultation. January 22 Head Of Service Consultation, March Final Consultation And Sign Off With Trade Unions.  
 In The Interim Guidance For Managers And Employees, With All Supporting Arrangements Via Occupational Health And Stress Management Have Been Put In-Place.

24/12/2021

Treat

31/03/2022

Swansea Council Has A Corporate Health & Safety Policy In-Place Developed Under Full Consultation With Key Internal Stakeholders In-Place Signed By The Chief Executive And Leader, Which Clearly Identifies The Health & Safety Responsibilities Of Every Level Of Employee, Which Is Reviewed Every 3

01/11/2021

Treat

31/03/2022

Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Years Or If Significant Change Occurs Such As A Change In Statute, Leader Or Statute Changes. This Policy Is Provided To All Staff During Induction, And There Is A Mandatory Health &amp; Safety Training Framework For All Employees.</p> <p>Each Director Chairs A Bi-Annual Health &amp; Safety Committee Made Up Of Employee And Management Representatives And Trade Unions, Supported By Competent H&amp;S Officers Who Provide Statistical Reports, Advice And Any Updates From The Health &amp; Safety Executive. Each Directorate Has Proportionate Lower Level Health &amp; Safety Groups In-Place Based On Risk.</p> <p>All Policies Subordinate To The Corporate H&amp;S Policy Are Reviewed Under Consultation Every 3 Years, Or Significant Change.</p> <p>Policy Review Plan For 21-22</p>	26/08/2021	Treat	31/03/2022

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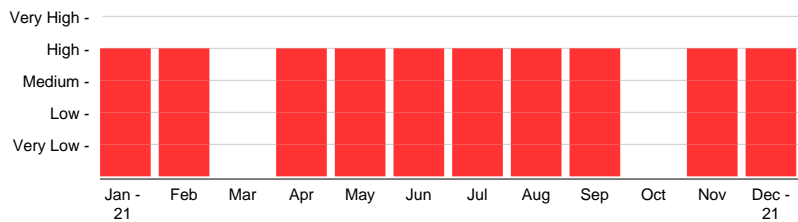
Closed Control Measures	Closure Date
With Departure Of Hso Covering Social Services, Dpr To Recruit To Be Submitted By 10th June, Interim Cover Within The Team Established, Recruitment To To Start Estimated 30/07/21	27/09/2021
Dpr For Replacement H&S Training Officer Signed Off By Cmt And Passed To Employee Services For Advertisement 22nd March	14/05/2021
Review Of Corporate Smoking Policy In Line With Regulatory Changes	28/04/2021
Staff Well-Being As Part Of The Future Council Stream Of The Council'S Covid-19 Recovery Plan.	31/03/2021
Provide Stress Management And Counselling And Health & Safety Advice And Support To Staff During Covid-19.	31/03/2021
H&S Staffing To Ensure Service Delivery	08/03/2021
H&S Toolkits.	31/03/2020
Well-Being Policies. New Mental Health Policy Under Consultation To Include Social Isolation And Impacts From Home Working	31/03/2020
Retrospectively Entered, Covid Assessments, Standard Operating Procedures Created For Schools And Premices, Bame And Health Assessment Processes Created And Various Ppe Guidance.	30/07/2020
Due To Service Losses, Available H&S Officers At A Significantly Reduced Level, Particularly With Demand From Schools And Social Care Sector, Dpr On Service Need And Staffing To Be Submitted To Cmt November Dpr Signed Off 30th November	30/11/2020
Additional Guidance On Health Assessments And General Covid Information As Priority Objective	25/09/2020
Early Review Of Lone Working, Dse And Mental Health Policies To Include Impacts And Resources Available From Extended Home Working And Social Isolation	11/12/2020
Review Business Continuity Plans To Prepare For Eu Exit.	16/10/2020

**Closed Control Measures**

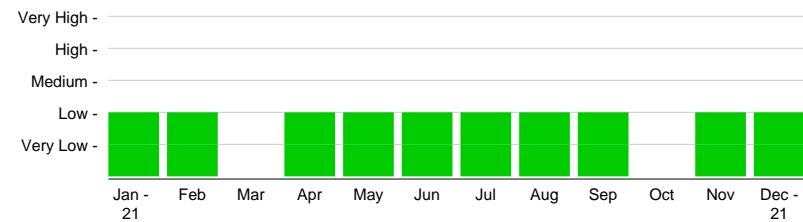
**Closure Date**

Directors H&S Committees & Sub Safety Groups.	31/03/2020
Member Of British Association Of Counsellors And Psychotherapists (Bacp).	31/03/2020
Noise, Dust, Lighting, Humidity & Vibration Sampling.	31/03/2020
Riddor Procedures For Reportable Incident To The Hse.	31/03/2020
H&S Audit Plan.	31/03/2020
Rag Alert System Across H&S, Emergency Management And Well-Being.	31/03/2020
Health & Safety Policies.	31/03/2020
Health & Safety Mandatory Training And E-Learning.	31/03/2020
Swansea Council Rag Fire Risk Profiling For All Premises.	31/03/2020
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	13/02/2020
<ul style="list-style-type: none"> <li>¿ Health &amp; Safety (H&amp;S) Policies</li> <li>¿ H&amp;S Toolkits</li> <li>¿ Riddor Procedures For Reportable Incident To The Hse</li> <li>¿ H&amp;S Audit Plan</li> <li>¿ Well-Being Policies</li> <li>¿ Member Of British Association Of Counsellors And Psychotherapists (Bacp)</li> <li>¿ Seqosh Accreditation By Faculty Of Occupational Medicine</li> <li>¿ Noise, Dust, Lighting, Humidity &amp; Vibration Sampling</li> <li>¿ Directors H&amp;S Committees &amp; Sub Safety Groups</li> <li>¿ Rag Alert System Across H&amp;S, Emergency Management And Well-Being</li> </ul>	31/03/2020

Historical Impact : High



Historical Likelihood : Low



## Risk on a Page

Risk Title : Regional Working

Risk ID : 259

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.

Risk Level : Corporate

Responsible Officer : Phil.Roberts

Councillor : Robert Stewart

Last Update : 20/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

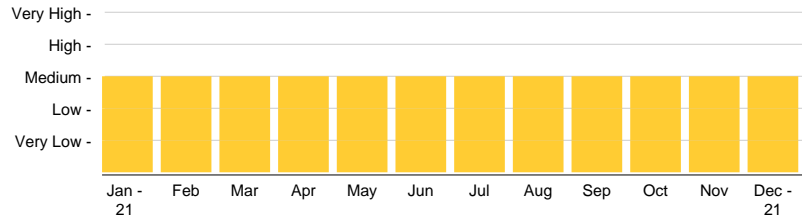
Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Corporate Joint Committees (Cjcs). The Formal Shadow Arrangements For The New Cjc Has Been Set Up Between Swansea, Npt, Carmarthenshire And Pembrokeshire Councils. There Are Fortnightly Officers Meetings And Monthly Meetings With Council Leaders. There Has Been A Successful Welsh Government Bid For The Financial Report To Set The Structure Up. By March 2022 The Structure Will Be Finalised And Will Include An Indicative Budget For 2022/23.</p> <p>Cabinet Has Received Formal Reports And Once The Formal Agreement Is Finalised There Will Be A Report To Cabinet/Council Prior To The New Financial Year. Internally Cmt Are Updated In Regular Meetings And Discussed In Informal Cabinet And Cmt Meetings. The Roles And Responsibilities In Governance Monitoring And 151 Officers Have Been Agreed Among Councils. Completion Date March 2022 (Updated 08/11/21).</p>	20/12/2021	Treat	31/03/2022
<p>Erw Replacement. The Shadow Joint Committee For Partneriaeth Is Established. Formal Approval Via Report To Cabinet Of The Establishment Of The South West Wales Education Partnership, With Carmarthenshire And Pembrokeshire And An Agreement Of Its Terms Of Reference, Governance And Audit And Scrutiny Functions. The Agreement Of The Tor And The Role Of The Joint Committee Is Very Clear, There Is A Sound Governance Arrangement And Clarity On The Roles And Responsibilities Of The Respective Councils; Completion Date December 2021. The Formal Dissolution Of Erw: Completion Date January 2022 (Updated 08/11/21).</p>	08/11/2021	Treat	31/01/2022
<p>Regional Meetings. Continue To Hold Regional Meetings Between Officers And Members Remotely Through Microsoft Teams To Ensure That Meetings Are More Frequent And Effective And Provide Confidence That Governance Remains Robust Until The Cjc Arrangements Are Finalised In March 2022 (Updated 08/11/21).</p>	08/11/2021	Treat	31/03/2022



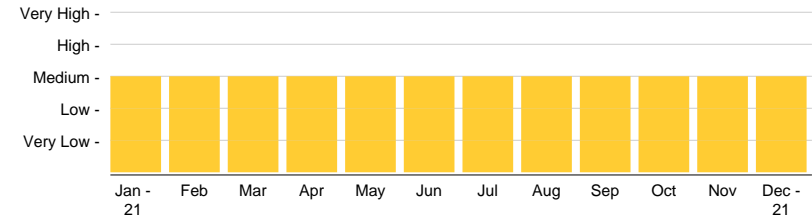
Closed Control Measures	Closure Date
Representations Have Been Made To Welsh Government On Reforming The Grant Regime.	31/03/2020
Governance Structures Are In Place For All Major Collaborations.	31/03/2020
Partnerships Have Been Mapped.	31/03/2020
Director Leads For Each Partnership.	31/03/2020
Senior Management Restructure Strengthening Capacity For Regional Working.	31/03/2020
<p>¿ 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.</p>	09/03/2020
<p>¿ The New Senior Management Structure Agreed At Council On 21st June 2018 Has Director Leads In Place For Each Partnership.</p>	
<p>¿ The Council Is Playing A Leading And Proactive Role In Major Regional Collaborations.</p>	
<p>¿ A Mapping Exercise Has Been Undertaken That Identified The Key Local, Regional And National Partnerships.</p>	
<p>¿ 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.</p>	
<p>¿ 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.</p>	
<p>¿ The Leader Of The Council Is The City Region Joint Committee Chair.</p>	
<p>¿ The City Deal Has A Joint Working Agreement In Place, Which Was Approved At Council On 26th July 2018.</p>	
<p>¿ A Review Of Progress Has Been Undertaken By Ipc On The Western Bay Health &amp; Social Care Collaboration.</p>	
<p>¿ The Council Meets Up Regionally With 5 Other Local Authorities To Discuss Collaboration Projects.</p>	
<p>¿ The Council Has A Clear Rationale In Place When Collaborating And It Is Clear On The Anticipated Benefits And Costs.</p>	
<p>¿ 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</p>	
<p>¿ The Council Is Playing A Leading And Proactive Role In Major Regional Collaborations.</p>	
<p>¿ The Council Has A Clear Rationale In Place When Collaborating And It Is Clear On The Anticipated Benefits And Costs.</p>	
<p>¿ The Council Understands What It Currently Contributes Directly To Erw, Western Bay And City Region And How Much It Contributes To All Other Partnerships.</p>	
<p>¿ 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.</p>	
<p>¿ 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.</p>	
<p>¿ 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.</p>	
<p>Covid-19 Has Significantly Impacted On The Potential For Increased Regional Collaboration In Two Ways. Firstly The Move To Remote Meetings Via Ms Teams Has Meant That Meetings Are More Structured, More Frequent And More Effective. The Ability To Hold Formal Meetings Using Ict Has Been Enabled By Wg Regulation And This Should Now Become The Norm. Secondly The Collaboration With Npt And Sbuhb Has Accelerated</p>	

With The Response To The Pandemic Being A Catalyst For Improved Joint Working Which Must Be Maintained Post-Covid.

Historical Impact : **Medium**



Historical Likelihood : **Medium**



## Risk on a Page

Risk Title : COVID-19

Risk ID : 264

Description : If we fail to carry on providing a co-ordinated and joined-up response to Covid-19 and make the best use of our workforce and available resources, then : we will be unable to protect vulnerable people and meet demand for key services, such as social care; there will be disruption to services and supplies, including food supplies; we will not be supporting critical services, key workers and local businesses sufficiently to limit the impact of the virus.

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Robert Stewart

Last Update : 15/12/2021

Historical RAG :

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
RED	RED	RED	RED	AMBER	AMBER	RED	RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Work With Partners During The Course Of The Pandemic To Inform And Reassure The Public And Reinforce Health And Social Distancing Messages Through Social And Other Media.	17/11/2021	Treat	31/03/2022
Prepare And Implement A Covid-19 Recovery Plan To Restart, Adapt, Recover And Transform Council Services. The Swansea Achieving Better Together Programme Has Three Phases: Recovery & Refocus Are In Implementation. Recovery (Short Term (2021)). Refocus (Mid Term (To May 22)) And Reshape Is In Development (Long Term ( 3-10 Years)).	29/10/2021	Treat	31/03/2022
Provide Help And Support To People And Communities In A Variety Of Ways During The Pandemic In Order To Keep Them Safe And To Protect Their Health And Well-Being; Such As Ttp, Free Lateral Flow Tests, Support At Home, Help With Funding, Etc. Among Other Types Of Help And Support.	29/10/2021	Treat	31/03/2022
Work With Health And Others During The Course Of The Pandemic To Prepare For The Possibility Of Further Covid-19 Outbreaks Through Planning And Providing Information, Support, Equipment, Facilities, Precautions (Such As Social Distancing, Face Masks And Testing) And Tpp Services.	29/10/2021	Treat	31/03/2022
Log And Share Good Practice And Lessons Learnt Responding To The Covid-19 Virus And Share Relevant Data And Statistics On The Impact Of The Virus, Such As Those Provided By Ons	22/04/2021	Treat	31/03/2022

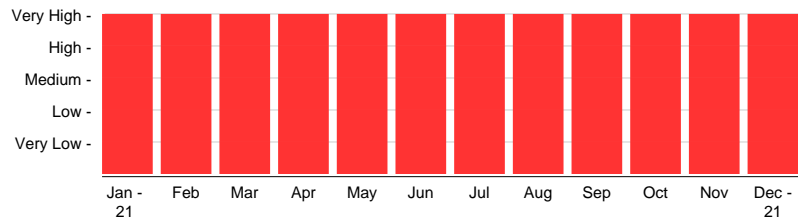
Closed Control Measures	Closure Date
Work With Welsh Government And Provide Council-Led To Support To Local Businesses During The Course Of The Pandemic To Enable Them To Continue To Trade, E.G. Advice, Grants And Rate Relief.	30/06/2021

**Closed Control Measures**

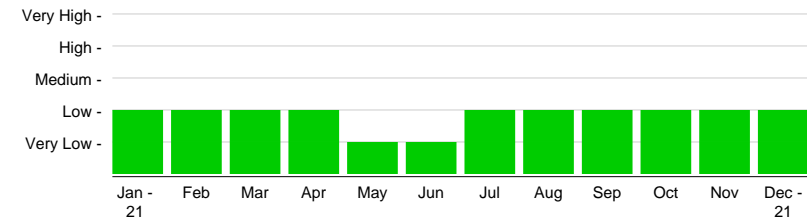
**Closure Date**

Work With Partners To Help Increase Emergency Bed Provision Through The Conversion Of Buildings Into Field Hospitals.	07/05/2020
Provide Food, Pharmacy And Well-Being Support To Shielded Individuals Through Swansea Council Helpline, Local Area Co-Ordinators (Lac), Swansea Council For Voluntary Service (Scvs) And The Food Bank Network.	16/08/2020
Work With Partners To Prioritise Demand For Key Services, Especially Social Care And Homelessness.	16/08/2020
Work With Partners To Support Education Teams & Schools And Provide Education / Childcare For Key Workers & Food For Children Who Get Fsms.	14/09/2020
Work With Partners To Redeploy Staff And Seek Recruits To Critical Areas, Such As Social Care And Food Distribution To Food Banks.	16/08/2020
Work With Partners To Ensure Resilient Supply Chains, Especially Food And Ppe Supply.	16/08/2020
Work With Partners To Provide Social Care And Other Critical Front-Line Staff With Ppe.	16/08/2020

Historical Impact : Very High



Historical Likelihood : Low



## Risk on a Page

Risk Title : Local economy and infrastructure

Risk ID : 269

Description : If the local economy and infrastructure is not transformed and supported to be resilient and to take advantage of national and global trends and events and attract investment, then it will not fulfil its potential as a regional centre to raise aspirations, improve services, lift skills, improve connectivity, create well-paid employment opportunities and improve the well-being of Swansea citizen.

Risk Level : Corporate

Responsible Officer : Martin.Nicholls

Councillor : Robert Stewart

Last Update : 15/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED	RED	RED	RED		RED	RED	RED

### Current Control Measures

Organise And Facilitate Virtual Meet-The-Buyer Events To Help Local Businesses At Key Milestones To Identify Opportunities To Bid For Council Work And Contracts That Will Help Retain Spend Locally, Creating A Multiplier Effect. Frequency And Timing To Be Coordinated With Contractor According To Build Programme.

Last Update

15/12/2021

Risk Response

Treat

Projected Completion

31/12/2021

Work With Partners To Deliver The Swansea Bay City Deal To Attract Investment Across The Region To Deliver Highly Skilled And Well-Paid Jobs, With Outcomes And Programme Achieved In Line With The City Deal Funding Agreement.

15/12/2021

Treat

31/12/2021

### Closed Control Measures

Work With The Welsh Government On A Foundational Economy Approach To Help Establish A Firm Base Of Medium Sized Firms In Swansea, Strengthen Local Supply Chains And Add Social Value In Procurement.

Closure Date

15/12/2021

Collaborate With Welsh Government On Regional Economic Framework To Ensure That Swansea'S Priorities Are Included And That Future Investment Will Follow. This Strategic Document Will Guide Investment Over The Next Ten Years In Order To Maximise Economic Growth In The Region, Creating More Jobs And Increasing Gva.

15/12/2021

Make Representations To Welsh Government Regarding Changes To Tan 15 Flooding Regulations And The Potential Major Impact On Regeneration Projects In Order To Find Appropriate Mitigation.

02/12/2021

Assist Tourism Businesses To Reopen Safely Following Closure As A Result Of Covid-19.

01/11/2021

Provide Business Advice And Support, Including Administering Uk And Welsh Government Business Grants And Funds, To Assist Them During Covid-19. A Range Of Support Provided.

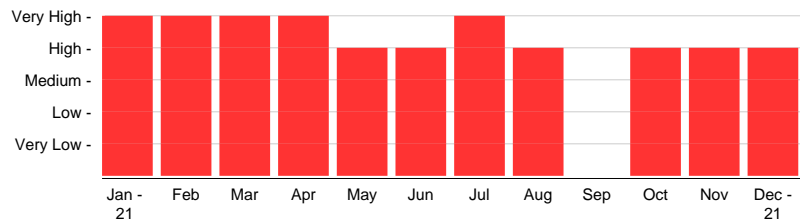
01/11/2021

**Closed Control Measures**

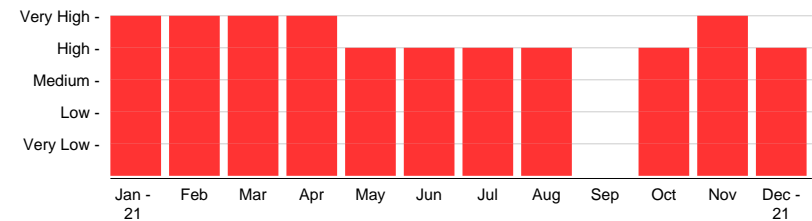
**Closure Date**

Implement The Business And Economic Stream Of The Councils Covid-19 Recovery Plan To Understand And Recover From The Impact Of Covid-19, Build Resilience And Develop Opportunities.	01/11/2021
Attract Sufficient Investment And Development And Regenerate The City Centre.	01/11/2021
Take Appropriate Actions Where The Council Has A Direct Relationship With Businesses Such As Swansea Indoor Market Traders With Rent Relief To Support Businesses During Covid-19. A Range Of Support Provided.	17/08/2021
Refresh Regional Economic Regeneration Strategy Replaced By Regional Economic Framework Counter Measure	17/08/2021
Monitor The Supply And Increasing Cost Of Various Building Materials. Maintain An Open Dialogue With The Construction Industry And Government Departments. Transferred To A Separate Corporate Risk.	17/08/2021
Carry Out A Re-Purposing Feasibility Study To Examine Options To Re-Balance And Revitalise The City Centre Following The Impact Of Covid-19 On Retail, Leisure And Office Uses. Draft Report Prepared.	17/08/2021
Develop A Covid Economic Recovery Plan	31/03/2021

Historical Impact : High



Historical Likelihood : High



# Risk on a Page

Risk Title : Covid-19 Risk

Risk ID : 274

Description : If rates of Covid infection & transmission continue to rise whilst we try to deal with backlogs of planned, previously delayed, health and care and we continue to lose staff from the health and care sector then demand for all forms of personal care is likely to exceed our capacity and resilience to be able to directly provide or commission that care

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Maintain And Monitor On A Weekly Basis, Through The Weekly Community Health And Care Silver Planning Meetings, The Delivery Of And Access To Personal Care Services That Have Been Adapted To Prioritise Individuals With The Highest Level Of Need And Robust Infection Control Measures Implemented To Protect Staff And Service Users. These Arrangements Will Be Reviewed In February 2022.	24/12/2021	Treat	28/02/2022
Maintain And Monitor Each Month And Review In March 2022 The Use Of Additional Surge Beds Opened Within The Councils In House Residential Care Service To Provide Temporary Placements For Individuals Unable To Access Domiciliary Care And Alternative Forms Of Family Support Are Not Available	24/12/2021	Treat	31/03/2022
Review By April 2022 The Effectiveness Of The Restructure Of Adult Services	24/12/2021	Treat	31/03/2022
Utilise Additional Welsh Government Funding To Add Capacity To Critical Workforce Functions Or To Commission Additional Services From The Independent And Third Sector And Monitor Its Effective Use Quarterly Through The Health And Social Care Regional Partnership Board. This Funding Will Cease At The End Of This Financial Year.	24/12/2021	Treat	31/03/2022
Rag Rate And Review Each Month All Cases Open To The Directorate To Ensure Individuals With The Most Critical Need Are Prioritised For Assessment, Care And Support And Negotiate Alternative Arrangements For Support With Families, Carers Or Other Community Or Third Sector Support For Individuals With Lower Levels Of Need. The Use Of The Rag Status Will Be Reviewed In March 2022.	24/12/2021	Treat	31/03/2022
Maintain Staff Contracted Hours Extended On A Voluntary Basis To Add Additional Workforce Capacity In Critical Service Areas Such As In House Domiciliary And Residential Care. These Arrangements Will Be Reviewed At The End Of March 2022.	24/12/2021	Treat	31/03/2022

Current Control Measures	Last Update	Risk Response	Projected Completion
Maintain Additional Workforce Support Arrangements Established To Help Manage Increased Levels Of Sickness Absence By Providing Additional Welfare Support For Staff And Enhanced Recruitment And Retention Of Staff And Monitor Effectiveness Each Month At Pfm Meetings.	24/12/2021	Treat	31/03/2022
Maintain The Use Of Emergency Care Home Support Arrangements Through Which Local Authority And Primary And Community Health Staff Provide Direct Support To Care Homes Where Staffing Difficulties In Those Homes Cause A Risk Of Service Failure And Monitor At Weekly Regional Community Silver Emergency Planning Meetings. These Arrangements Will Remain In Place Until February 2022 And Then Subject To Review.	24/12/2021	Treat	28/02/2022
Procure An External Agency To Address Backlogs In Adult Assessment And Reviews Until April 2021 And Then Review.	24/12/2021	Treat	31/03/2022

### Closed Control Measures

Service Adaptation And Recovery Plans In Place Across All Social Services.  
 Multiagency Emergency Planning Infrastructure In Place Via The Regional Health And Social Care Partnership Board Which Undertakes Dynamic Risk Assessment On A Twice-Weekly Basis.  
 Council Has Stepped Back Up Its Internal Emergency Planning Infrastructure  
 Additional Surge Beds Across Health And Care System Are Being Utilised Flexibly To Support Step Down From Hospital Or Step Up From Community  
 Adult Services Has Been Restructured To A Functional Model To Ensure Maximum Resilience For The Most Critical Services.  
 Additional Funding From Wg Is Being Prioritised To Try And Expand Critical Areas Of Workforce Both In Council Services And In Externally Commissioned Services  
 Families, Carers, Communities And The Third Sector Are Being Asked To Help Mitigate The Impact Of A Lack Of Formal Care And Support For Individuals Where Possible  
 A Rag Rating Approach Is Being Utilised To Prioritise Care For Those In Most Critical Need.  
 Staff Contracted Hours Have Been Extended On A Voluntary Basis  
 Additional Workforce Support Arrangements Have Been Established With Dedicated Corporate Resource And Additional Investment In The Service To Cover Sickness Absence Management, Welfare Support And Recruitment And Retention Activity  
 Emergency Care Home Support Arrangements Have Been Reinitiated Across The Region.  
 External Agency Support Is Being Sought For Critical Areas Or To Help Cover Backlogs

### Closure Date

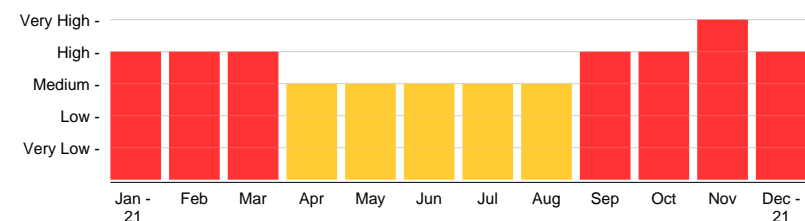
03/12/2021

Historical Impact :

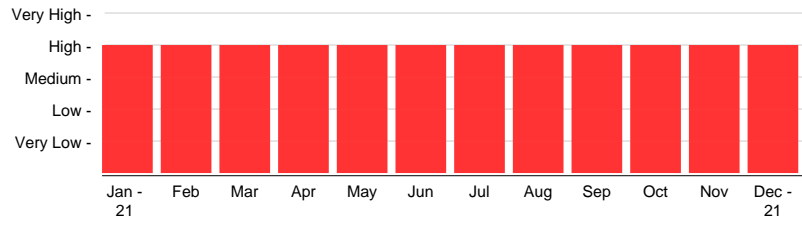
High

Historical Likelihood :

High







## Risk on a Page

Risk Title : Achieving Better Together - Recovery

Risk ID : 276

Description : If the Council does not deliver the actions and milestones in the recovery plan, then there is a risk the organisation will not move on effectively from the effects of the pandemic. This is important as it forms the foundations for the next transformation programme

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrea Lewis

Last Update : 04/01/2022

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

### Current Control Measures

Undertake Monthly Meetings Of The Organisation, Cross Cutting & Transformation Steering Group And Ensure That Workstream Leads Report Progress And Risks At This Meeting Highlighting Any High Risks/Issues For Escalation To The Monthly Meetings Of The Recovery, Reshaping & Budget Strategy Board. The Recovery, Reshaping & Budget Strategy Board Will Ensure That Actions And Plans Are Progressing And Challenge And/Or Address Anything Which Is Not Being Achieved Or Is A Risk To The Authority.

Last Update

04/01/2022

Risk Response

Treat

Projected Completion

31/01/2022

### Closed Control Measures

Monitoring Capacity

Closure Date

01/06/2021

Robust Governance And Recovery Plan Monitoring And Reporting

29/06/2021

Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.

29/06/2021

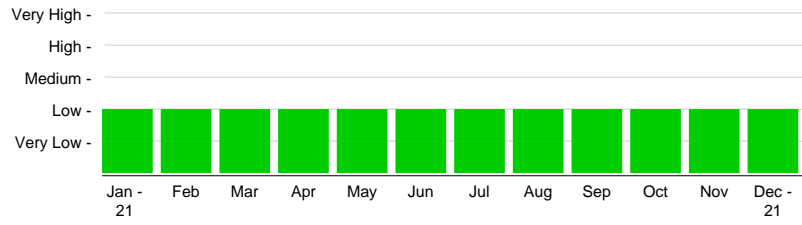
Monthly Review Of Action Plans By Workstream Area, Updates And Risks Also Reviewed At The Steering Group And The Board. Any Risk Identified With An Amber Or Red Rag Rating Will Be Escalated To Board Or If Identified At Board A Plan Of Action Will Be Created With Smart Targets.

26/05/2021

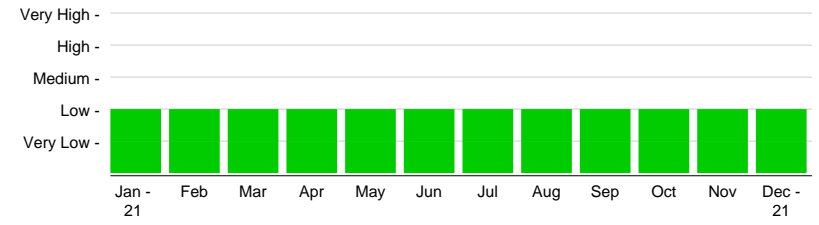
Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.

23/04/2021

Historical Impact : **Low**



Historical Likelihood : **Low**



## Risk on a Page

Risk Title : Achieving Better Together - Transformation

Risk ID : 277

Description : If the Council does not transform effectively it will not be sustainable and financially resilient in the longer term

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrea Lewis

Last Update : 04/01/2022

Historical RAG : 

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

### Current Control Measures

Develop An End Of Programme Report From The Previous Transformation Programme And Use The Lessons Learnt Following A Review At Scrutiny In Jan 22 To Re-Shape The New Swansea - Achieving Better Together From Recovery Programme.  
(Amended From: Learning From The Previous Transformation Programme, Sustainable Swansea Adapted Into The New Programme Following Final Report To Scrutiny In August 2021) June 21

Last Update

04/01/2022

Risk Response

Treat

Projected  
Completion

31/01/2022

Align The Transformation Activities And Projects In The Achieving Better Together Programme Plan With The Medium Term Financial Plan Through The Recovery, Reshaping & Budget Strategy Board To Ensure Future Financial Sustainability.  
(Amended From: Transformation Activities In The Programme Plan Must Align With The Mtfp To Ensure Future Financial Sustainability) June 21

04/01/2022

Treat

31/01/2022

### Closed Control Measures

Programme Documents Need To Be In Place: Programme Plan (Milestones And Deadlines), Governance, Benefits Realisation Plan, Raid Log, Change Plan

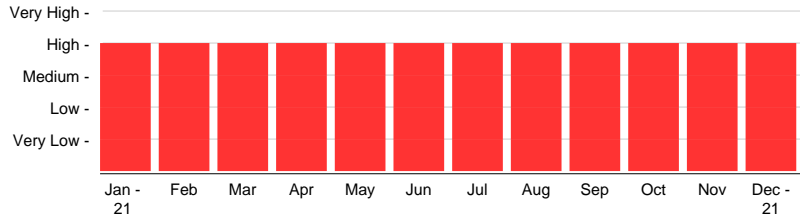
Closure Date

29/06/2021

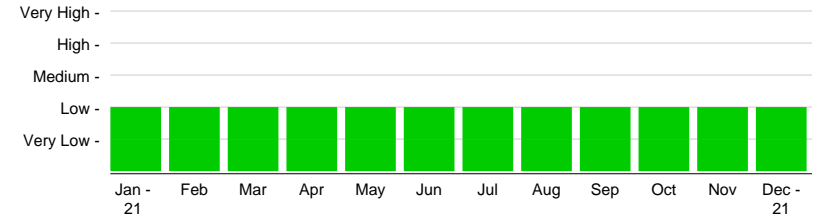
Monthly Meeting Of The Steering Group And Board To Ensure The Actions And Plans Are Progressing And Challenging And Addressing Anything Which Is Not Being Acgieved.

26/05/2021

Historical Impact : **High**



Historical Likelihood : **Low**





## Risk on a Page

Risk Title : Reducing and tackling Fraud

Risk ID : 289

Description : If the council does not put robust arrangements in place to protect its limited resources and assets from fraud and corruption, then it will remove resources from the council so that they are not put to best use to support those with the greatest need and will cause untold social harm to individuals and communities.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 09/12/2021

Historical RAG :

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
		AMBER		AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

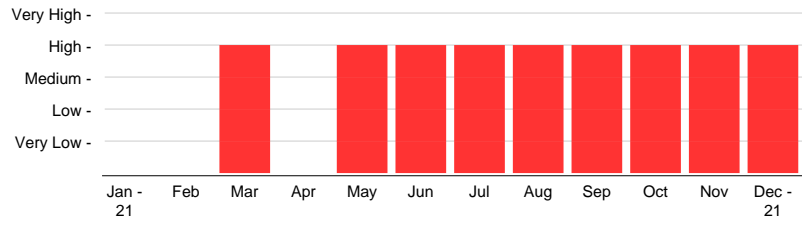
Current Control Measures	Last Update	Risk Response	Projected Completion
The Council Has Detailed Policies And Procedures In Place For Staff To Follow To Reduce The Likelihood And Opportunity Of Fraudulent Activity. These Include Financial Procedure Rules, Contract Procedure Rules And Procurement Guidelines. These Are Reviewed Annually And Staff Are Reminded Of The Existence Of The Policies And Procedures Every Six Months. (Updated 13/10/21)	09/12/2021	Treat	31/03/2022
The Annual Counter Fraud Plan Is Presented And Approved By Cmt And The Audit And Governance Committee On An Annual Basis. This Helps To Ensure Fraud Risks Are Identified And Highlighted And Ensures Resources Are Targeted To Key Areas To Limit The Possible Risk Of Fraud. (Updated 13/10/21)	13/10/2021	Treat	31/03/2022
The Corporate Management Team And The Governance And Audit Committee Receive An Annual Report And A Mid-Year Update Report Outlining The Work Undertaken By The Corporate Fraud Function During The Period To Raise Awareness. To Report Progress Against The Plan And How Many Outcomes Have Been Met/Not Met. This Assists In Increasing Fraud Awareness Across The Organisation And Also Highlights Key Risk Areas In Order To Deter And Reduce The Risk Of Further Fraudulent Activity. (Updated 13/10/21)	13/10/2021	Treat	31/03/2022
The Team Continues To Act As The Hub For The Receipt Of Intelligence And Alerts From The National Anti-Fraud Network And Other Organisations Including The Council's Bankers And The Credit Industry Fraud Avoidance Service. Relative Actions Are Taken And Information Is Circulated To Key Officers And Stakeholders To Raise Awareness Of The Risk Of Potential Fraudulent Activity Against The Council. This Helps To Raise Awareness Of Current And Emerging Fraud Risks That May Be Faced By The Council And So Reduces The Risk Of The Authority Being Subject To Fraudulent Attack. (Updated 13/10/21)	13/10/2021	Treat	31/03/2022
Independent Assurance Is Provided From Internal And External Audit On The Effectiveness Of Governance, Risk Management And Internal Control On An Annual Basis Via The Chief Auditor'S Annual Report And Opinion, The Annual Governance Statement And The Annual Isa 260 Report From The Council'S External Auditors. The Existence Of A Strong And Effective Governance, Risk Management And Internal Control Framework Provides Assurance That There Are Suitable Controls And Procedures In Place	13/10/2021	Treat	31/03/2022

Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Across The Council To Reduce The Possibility Of Fraudulent Activity. (Updated 13/10/21)</p> <p>Governance And Audit Committee Review And Assess The Risk Management, Internal Control And Corporate Governance Arrangements Of The Authority As Part Of The Committee’s Annual Work Programme Which Includes Quarterly Monitoring Reports From The Chief Internal Auditor, The Strategic Delivery And Performance Manager And Annual Reports From The Corporate Directors. The Committee Also Reviews And Assesses These Areas When Reviewing The Annual Governance Statement Each Year. The Existence Of A Strong And Effective Governance, Risk Management And Internal Control Framework Provides Assurance That There Are Suitable Controls And Procedures In Place Across The Council To Reduce The Possibility Of Fraudulent Activity. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>The Council Has A Dedicated Team Of Professionally Trained And Experienced Corporate Fraud Investigators To Prevent, Deter And Detect Fraudulent Activity And To Ensure Any Allegations Of Fraud And Corruption Are Effectively Investigated. The Existence And Work Of The Corporate Fraud Team Is Publicised At Least Twice A Year As A Deterrent To Fraudulent Activity. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>Annual Review Of All Relevant Policies And Procedures To Ensure They Remain Fit For Purpose In Helping To Prevent And Detect Fraud And Corruption E.G. The Anti-Fraud And Corruption Policy, Anti-Money Laundering Policy, Whistleblowing Policy, Disciplinary Policy And The Code Of Conduct. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>The Council Communicates A Zero Tolerance Approach To Fraud, Bribery And Corruption A Minimum Of Twice A Year Via Internal And External Bulletins. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>The Council Takes Part In The National Fraud Initiative Exercise Coordinated By The Cabinet Office On A Two-Yearly Basis Which Involves Data Matching Across A Broad Range Of Council Data In Order To Detect And Prevent Fraudulent Activity. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>The Council Has Contributed To The Review Of Counter-Fraud Arrangements In Public Sector Bodies Across Wales Undertaken By Audit Wales. In Response To This Review The Council Has Compiled An Action Plan To Implement The Improvements Suggested By The Review To Further Strengthen Counter-Fraud Arrangements. The Action Plan Is Currently Being Implemented. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>The Council Has A Dedicated Fraud Inbox For Staff And The General Public To Report Any Suspicion Of Alleged Fraudulent Activity. The Council Assesses All Reports Of Fraud Received And Evaluates The Threat And Responds Accordingly. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022

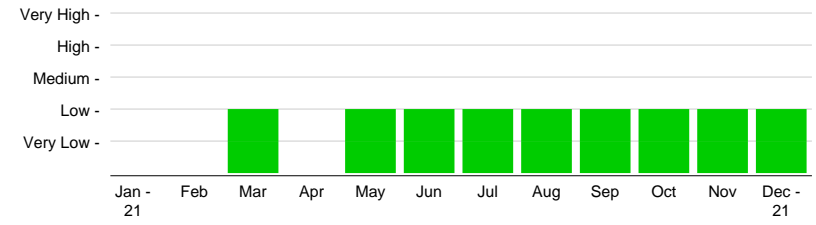
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Historical Impact : **High**



Historical Likelihood : **Low**



## Risk on a Page

Risk Title : WCCIS

Risk ID : 306

Description : If the current instability and poor performance of the All Wales Community Care Information System is not rectified then backlogs in the recording of client contacts, assessments, case recording and plans for all individuals receiving intervention from Swansea Social Services will accrue, increasing further current pressures on frontline staff, severely limiting performance management and reporting capability and potentially compromising safe service delivery.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 24/12/2021

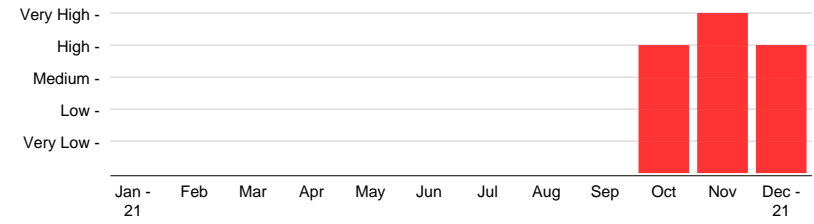
Historical RAG : Jan-21 Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec-21  
RED RED RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Maintain Access To Wccis For Critical Users, In Particular The Teams That Are Managing New Referrals In Children And Adult Services, During Periods Of System Instability Where The Number Of Users Needs To Be Reduced And Monitor Twice Weekly At Wccis Meetings.	24/12/2021	Treat	31/12/2021
Continue With Temporary Manual Systems In Place Of Suspended Performance Management Arrangements To Monitor A Smaller Number Of Key Performance Measures Monthly At Pfm And Every 6 Weeks At Scrutiny; Review At The End Of December 2021.	24/12/2021	Treat	31/12/2021
Work With The National Team Who Are Working Closely With The Software Provider And Microsoft To Implement Fixes To Stabilise The Wccis System, Monitor The Ongoing Impact And Escalate Concerns At The Twice Weekly Wccis Meeting And Weekly National Governance Meetings.	24/12/2021	Treat	31/12/2021
Maintain And Monitor At Pfm Each Month Temporary Manual Systems / Workarounds Implemented To Manage The Recording Of Assessments, Case Recordings And Plans When All Other Services Have Restricted Access To The Wccis System.	24/12/2021	Treat	31/12/2021
Continue To Mobilise Additional Business Support Staff To Assist Frontline Staff With Catching Up On Backlogs That Are Monitored At A Twice Weekly Basis At A Wccis Meeting; Review In December 2021.	24/12/2021	Treat	31/12/2021

Historical Impact : **High**



Historical Likelihood : **High**



# Risk on a Page

Risk Title : Oracle Fusion

Risk ID : 309

Description : If the impact of the ongoing COVID response and subsequent volume of COVID recovery activities continue to pressure business as usual work across both services and the Councils external suppliers, then there is a risk the Oracle Fusion project will continue to experience delays that could impact the go live date of October 2022 and increase cost for the Council.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

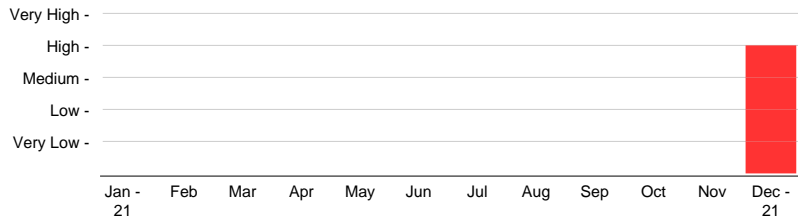
Councillor : Andrew Stevens

Last Update : 22/12/2021

Historical RAG : Jan-21 Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec-21 RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Weekly Monitoring By The Project Lead Of Capacity And Remedial Actions Plans Put In Place, Agreed At Executive Steering Board Monthly And Escalated To Cmt/Cabinet Where Appropriate.	22/12/2021	Tolerate	31/10/2022
Daily Monitoring By The Implementation Team And Project Lead Of The Programme Risk Register With Red Risks And Issues Escalated To The Design Authority Fortnightly, Executive Steering Board Monthly And Cmt At The Next Wednesday Meeting.	22/12/2021	Tolerate	31/10/2022

Historical Impact : High



Historical Likelihood : Medium

