

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 : 30/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	AMBER			AMBER			AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Since January 2022, school and provider inspections have re-commenced after a two year pause. To date, three pilot inspections have been conducted with one published. The full inspection regime will commence in the summer term 2022 and will provide useful external regulation. Inspection outcomes across five inspection areas are closely assessed. However, the close monitoring, support and intervention of schools provides good internal control. A school profiler is in operation to support early identification of schools requiring more support than others.</p>	30/06/2022	Treat	31/03/2023
<p>External regulation by Estyn remains in place with three remit visits conducted since the start of the pandemic in 2020, two evaluations of schools in follow-up and two pilot inspections planned in February 2022, Schools are aware that inspections are due to commence in the summer term of 2022 and know that their own self-evaluation and setting of priorities are required by Estyn to demonstrate continual improvement in providing good quality learning, broad curriculum opportunities and high standards of teaching. The Estyn framework supports the definition of good quality education in schools and supports the mitigation of a bad education where too many barriers to learning such as low attendance, high exclusion rates, poor behaviour and insufficient support for vulnerable learners, including those needing additional learning provision (ALP) remain in place.</p>	30/06/2022	Treat	31/10/2024
<p>Termly monitoring and evaluation helps to mitigate against a narrow curriculum, poor quality teaching and weak school leadership. Termly reports are quality assured by the lead school improvement officer. School improvement advisers support and challenge schools to ensure learners' potential is maximised. Progress on each school's priorities to improve outcomes for learners is examined thoroughly as well as the school's evaluation of its own performance. Where schools' capacity to self-improve (without intervention) is compromised, more intense support packages are agreed with precise action plans. The statutory function of monitoring and evaluation helps mitigate the risk of poor quality provision for pupils. In addition, a new school profiler is in development and will be utilised fully during academic year 2021-2022 to identify schools that require the most support. Monthly schools issues meeting are held and will be chaired by Head of Achievement and Partnership.</p>	30/06/2022	Treat	31/10/2023

Current Control Measures

Monthly scrutiny of education improvement helps with useful focus on actions to mitigate barriers to learning such as low attendance, increasing exclusions and inadequate provision for vulnerable learners. Scrutiny of performance, planning and provision mitigates against the risk of adequate poor quality education where schools require significant improvement or special measures.

Last Update

Risk Response

31/10/2024

30/06/2022

Tolerate

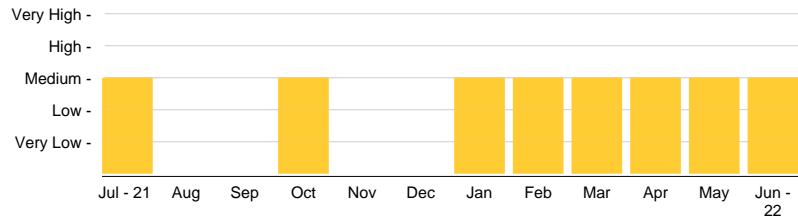
Ongoing mitigations in relation to Covid 19 disruptions are in place. This includes planned responses to any temporary or partial closures to allow for continuity of learning. Support for examination cohorts in June 2022 shared with all schools in January 2022 to mitigate the risk of pupil anxiety in sitting external examinations.

30/06/2022

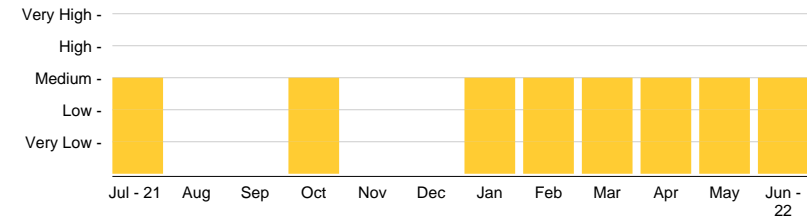
Terminate / Close

31/07/2022

Historical Impact : **Medium**



Historical Likelihood : **Medium**



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 : Louise Gibbard

Last Update : 06/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures

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.

Last Update

03/03/2022

Risk Response

Treat

Projected Completion

31/03/2023

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

03/03/2022

Treat

31/03/2023

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.

03/03/2022

Treat

31/03/2023

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.

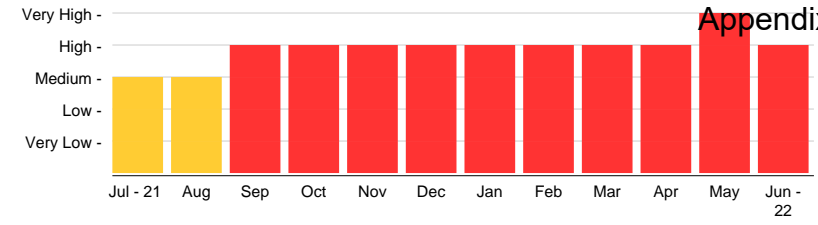
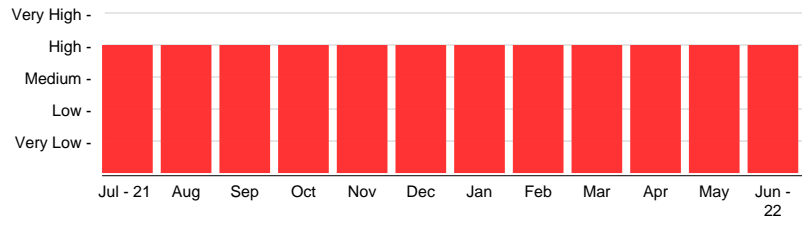
03/03/2022

Treat

31/03/2023

Historical Impact : High

Historical Likelihood : High



Appendix A

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 : 24/06/2022

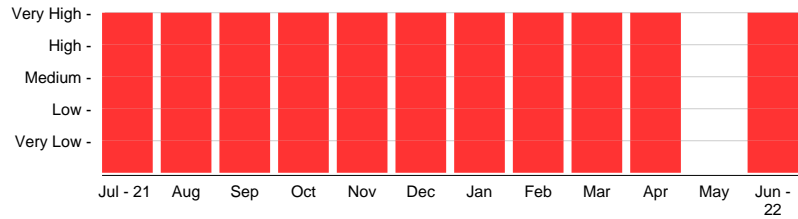
Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
COVID-19 Recovery Plan : Future Council - Finance - New MTFP. 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.	24/06/2022	Treat	30/09/2022
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	25/03/2022	Treat	31/03/2023
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	25/03/2022	Treat	31/03/2023
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	25/03/2022	Treat	31/03/2023
Covid disruption	25/03/2022	Tolerate	30/06/2022
Services to ensure that inflation pressures are managed and contained within cash limits agreed at the time the budget and MFTP are set.	23/03/2022	Treat	31/03/2023
Compliance within Financial Procedure rules so that spend remains within budget, including permitted virements.	23/03/2022	Treat	31/03/2023
Identify uncontrollable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet.	23/03/2022	Tolerate	31/03/2023

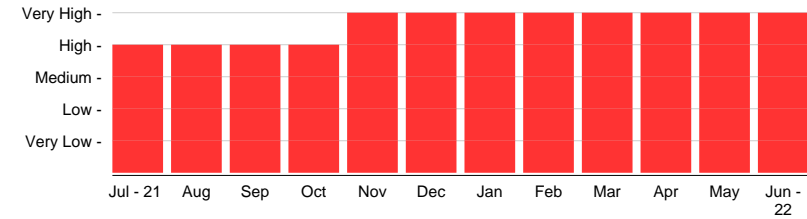
Current Control Measures

	Last Update	Risk Response	Proposed Completion
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.	23/03/2022	Treat	31/03/2023
The S151 Officer to issue forthright 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.	23/03/2022	Treat	31/03/2023
Further development work to progress on transformation agenda over medium term through Achieving Better Together reshaping programme.	23/03/2022	Treat	31/03/2023

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

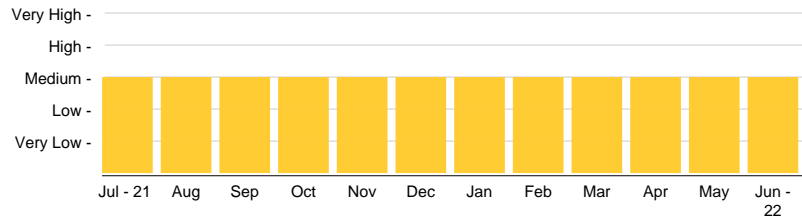
Councillor : Robert Stewart

Last Update : 27/06/2022

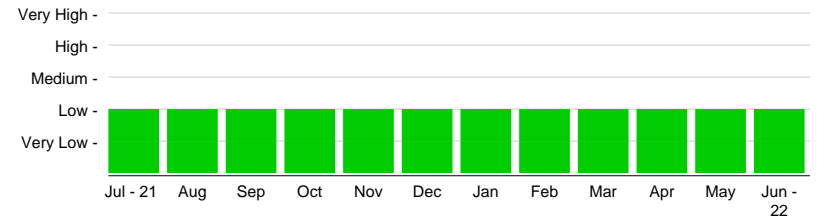
Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
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.	27/06/2022	Treat	30/05/2023
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.	27/06/2022	Treat	31/08/2022
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.	27/06/2022	Treat	30/03/2023
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.	27/06/2022	Treat	26/04/2023

Historical Impact : **Medium**



Historical Likelihood : **Low**



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 : Louise Gibbard

Last Update : 24/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures

Increase the number of contracted providers when capacity pressures require and review annually the Councils framework for commissioning domiciliary care.

Last Update

24/06/2022

Risk Response

Treat

Projected Completion

31/03/2023

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 Transformation Board meeting.

24/06/2022

Treat

31/03/2023

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.

24/06/2022

Treat

30/11/2022

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.

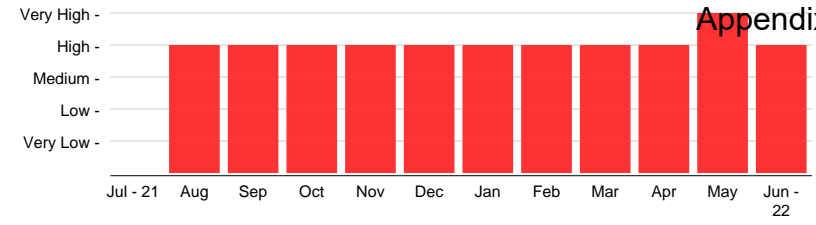
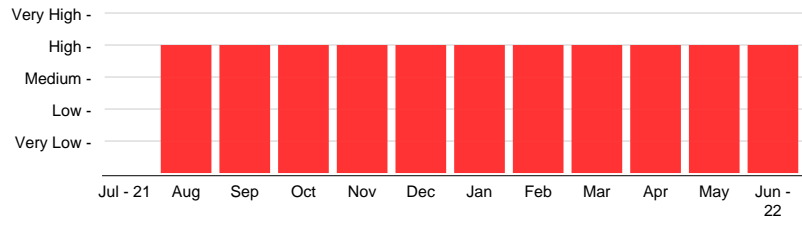
24/06/2022

Treat

30/11/2022

Historical Impact : High

Historical Likelihood : High



Appendix A

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 : Andrea Lewis

Last Update : 27/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures

Introduce simulated cyber-attacks on staff over the 12 months 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.
 Success measured on percentage of users reporting the attack and training completed

Last Update

Risk Response

Projected Completion

27/06/2022

Treat

30/11/2022

Constant monitoring and surveillance of cyber risks by Security Office using system and tools in place.
 Situation reported monthly to Digital Services Board and Information Governance Board chaired by SIRO.

27/06/2022

Treat

31/12/2022

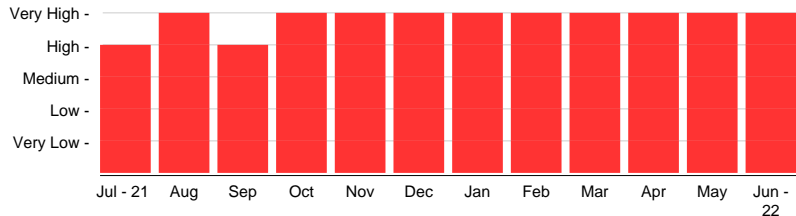
DR test training completed for Digital Services team. Simulated test of a cyber attack. Training to be provided to HoS and CMT

27/06/2022

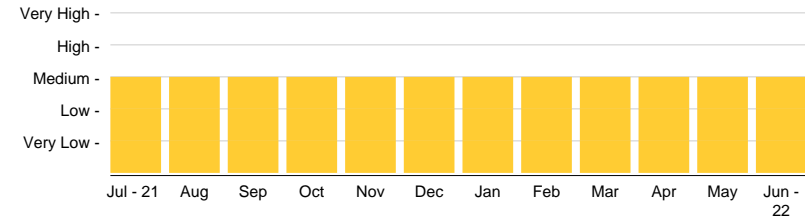
Treat

31/07/2022

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

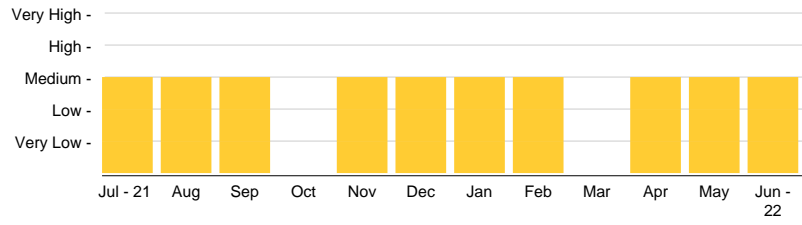
Councillor : Robert Stewart

Last Update : 20/06/2022

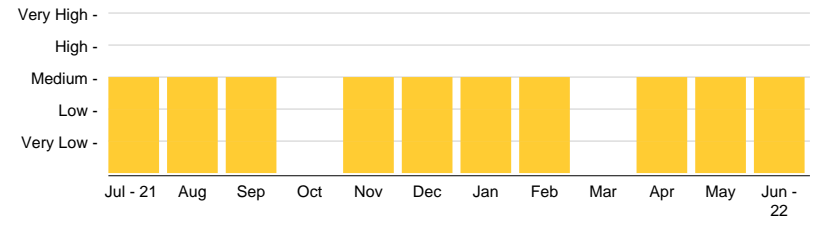
Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	AMBER	AMBER	AMBER		AMBER	AMBER	AMBER	AMBER		AMBER	AMBER	AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
interviews for assistant post unsuccessful, post will be readvertised, EMS Manager added to duty rota in interim to cover leave and work assigned in EMS delivery plan redistributed in interim.	20/06/2022	Treat	30/09/2022
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. Continue to plan for and respond to emergencies as a Category 1 responder under the Civil Contingencies Act, as follows: 1. Train staff at Operational, Tactical and Strategic Level via the South Wales Local Resilience Forum 2. Review each year and exercise every 3 years a Major incident Plan, 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. with exercising as appropriate 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. Redistributed to all Heads of Service and review each year the Council's Corporate Business Continuity policy and guidance to ensure business continuity plans are robust and reviewed annually. 7. Review each year for all significant risks the Emergency Management Service (EMS) guidance, procedures and action cards. 8. The EMS acts as the conduit for security and counter terrorism information from the Welsh Extremism & Counter Terrorism Unit, disseminating information to key internal and external partners as required. 9. EMS maintains a fully stocked Incident Response Vehicle, to protect/support the public during an emergency. 10. Establish a Swansea Risk Group with Partner Agencies	26/05/2022	Treat	31/03/2023

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 : 20/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	AMBER	AMBER	AMBER		AMBER	AMBER	AMBER	AMBER		AMBER	AMBER	AMBER

Current Control Measures

1. Maintain the Corporate Health & Safety Policy, which clearly identifies the Health & safety responsibilities of every level of employee, and review (including subordinate policies) every 3 years or if significant change occurs, such as a change in statute, leader or statute changes.
2. Provide the Corporate Health & Safety Policy to all staff during induction and provide mandatory Health & Safety training framework for all employees.
3. Continue Bi-annual Health & Safety Committee meetings chaired by each Director and made up of employee and management representatives and trade unions, supported by competent H&S Officers who provide statistical reports, advice and any updates from the Health & Safety Executive.

Last Update

Risk Response

Projected Completion

Continue to undertake an annual program of Health & Safety and Fire Safety Management audit and inspections across all service areas to maintain and improve arrangements and compliance with policy and ensure that agreed improvement plans are put in-place and monitored by the Principal H&S Officer through monthly 1-2-1's for completion.

20/06/2022

Tolerate

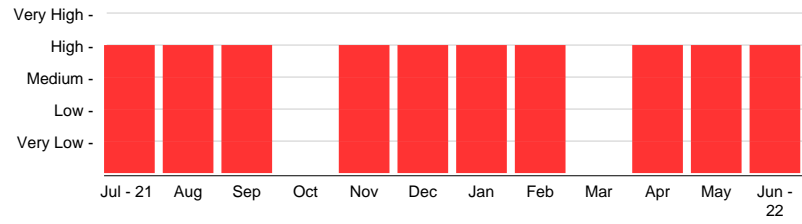
31/03/2023

Continue to ensure that there is appropriate H&S training and administer Corporate H&S training records and qualification refresher recalls and issue compliance reports to services on a bi-annual basis monitored by the Senior H&S Training Officer.

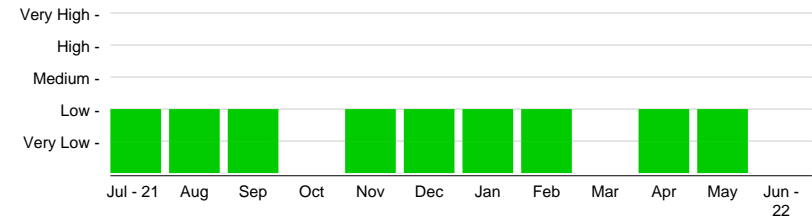
Continue to investigate more significant accidents falling under the remit of the RIDDOR regulations and provide a management report to prevent re-occurrence, ensure legal compliance and an improvement of standards; in addition, provide these reports with statistical information to Directors bi-annually and within an annual corporate accident report and trend analysis.

Manage a preventative RAG rated alert system allowing communication of best practise, legal/policy changes and areas for action across the Authority and document control and store for evidence purposes and liaison with the Health & safety Executive, fire and rescue services and legal representatives.

Historical Impact : **High**



Historical Likelihood :



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 : Martin.Nicholls

Councillor : Robert Stewart

Last Update : 19/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

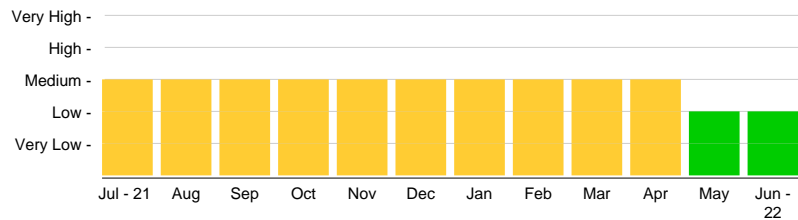
Complete the formal dissolution of ERW regional education partnership by January 2022 and replace with the new partnership Partneriaeth that has agreed terms of reference, governance and Audit and Scrutiny functions and clarity on the roles and responsibilities of the respective Councils (amended 23.02.22). changes now made review 6 monthsh to ensure these have bedded in and review counter measure (19th June update)

Last Update	Risk Response	Projected Completion
19/06/2022	Treat	30/09/2022

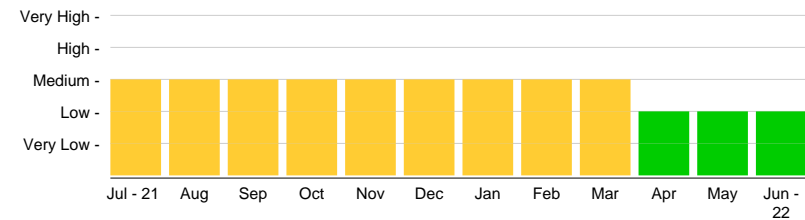
Regional Meetings. Continue to hold regional meetings between officers and Members remotely through Microsoft Teams to ensure that meetings are more frequent and effective and provide confidence that governance remains robust until the CJC arrangements are finalised in March 2022 (updated 08/11/21). CJC now formally constituted so committee structure in place. Next meeting 16th June (updated 30th May)

19/06/2022	Treat	30/09/2022
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Historical Impact : Low



Historical Likelihood : Low



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

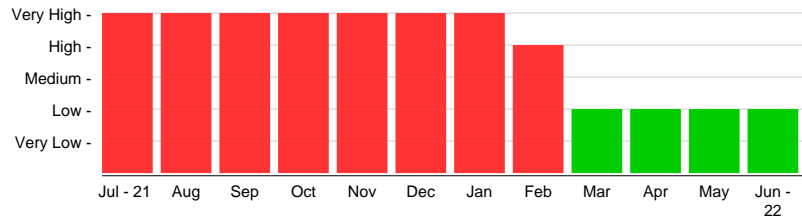
Councillor : Robert Stewart

Last Update : 23/06/2022

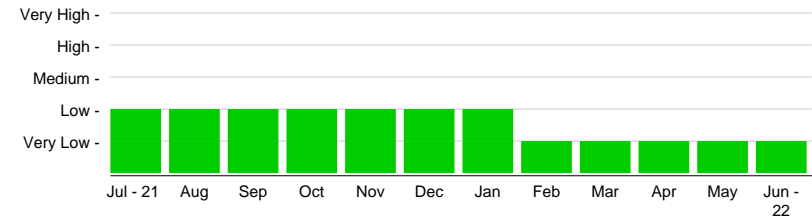
Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	RED	RED	RED	RED	RED	RED	RED	AMBER	GREEN	GREEN	GREEN	GREEN

Current Control Measures	Last Update	Risk Response	Projected Completion
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.	20/05/2022	Treat	30/09/2022
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	11/04/2022	Treat	30/09/2022
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)).	11/04/2022	Treat	30/09/2022
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.	11/04/2022	Treat	30/09/2022
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.	11/04/2022	Treat	30/09/2022
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.	29/03/2022	Treat	30/09/2022

Historical Impact : **Low**



Historical Likelihood : **Very 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 : 02/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	RED	RED		RED	RED	RED	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

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.

Last Update

21/03/2022

Risk Response

Treat

Projected Completion

31/12/2022

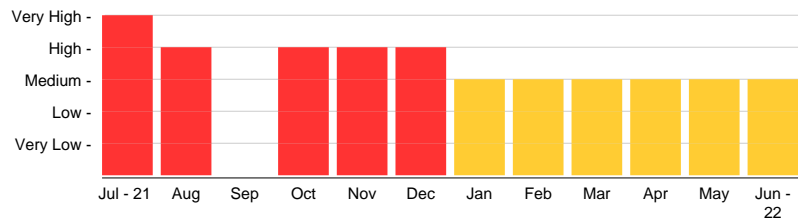
Organise and facilitate virtual Meet-the-Buyer events to help local businesses at key milestones to identify opportunities to bid for Council work and contracts that will help retain spend locally, creating a multiplier effect. Frequency and timing to be coordinated with contractor according to build programme.

22/02/2022

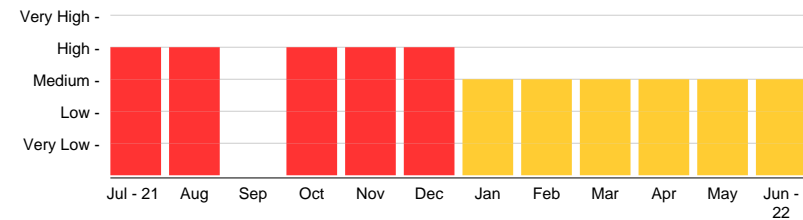
Treat

31/12/2022

Historical Impact : Medium



Historical Likelihood : Medium



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 : 07/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	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

07/06/2022

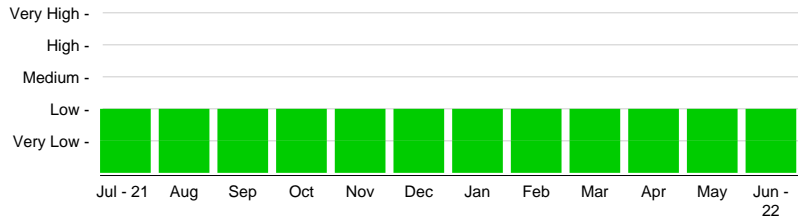
Risk Response

Treat

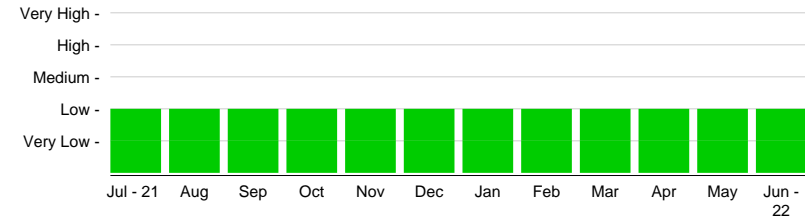
Projected Completion

31/07/2022

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 : 07/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

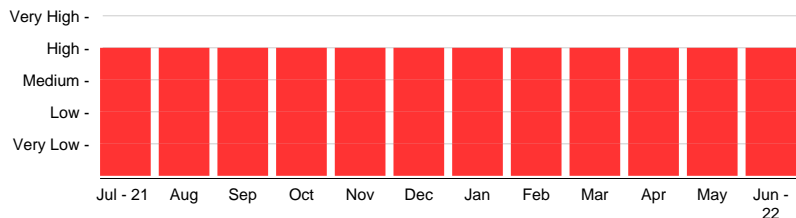
Align the transformation activities and projects in the Achieving Better Together programme plan with the medium term financial plan through the Recovery, Reshaping & Budget Strategy Board by 30/07/22 to provide assurance and evidence that Swansea remains on target and is working towards achieving the MTFP goals, this will ensure there is future financial sustainability for Swansea.
(Amended from: Transformation activities in the programme plan must align with the MTFP to ensure future financial sustainability) June 21

Last Update	Risk Response	Projected Completion
07/06/2022	Treat	31/07/2022

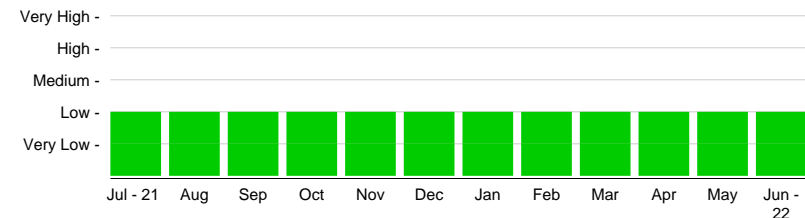
Develop an end of programme report from the previous transformation programme and use the lessons learnt following a review at Scrutiny in March 22 to re-shape the new Swansea - Achieving Better Together from Recovery programme.
(Amended from: Learning from the previous transformation programme, Sustainable Swansea adapted into the new programme following final report to Scrutiny in August 2021) June 21

10/05/2022	Treat	31/10/2022
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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 : 01/06/2022

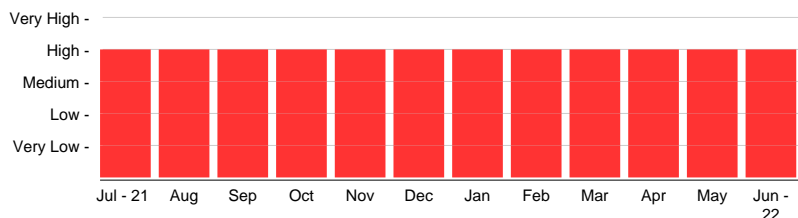
Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
Review annually and remind staff every six months of detailed policies and procedures in place for staff to follow to reduce the likelihood and opportunity of fraudulent activity, including Financial Procedure Rules, Contract Procedure Rules and Procurement Guidelines. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023
Present the Annual Counter Fraud Plan and gain approval each year from CMT and Governance & Audit Committee to help ensure fraud risks are identified and highlighted and resources are targeted to key areas to limit the possible risk of fraud. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023
Report progress annually and mid-year against the work undertaken by the Corporate Fraud Function to CMT and Governance & Audit Committee to assist in increasing fraud awareness across the organisation and highlight key risk areas in order to deter and reduce the risk of further fraudulent activity. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023
The Fraud Team continue to act as the hub for the receipt of intelligence and alerts from the National Anti-Fraud Network and other organisations, including the Councils bankers and the Credit Industry Fraud Avoidance Service, and take action and circulate to raise awareness of current and emerging fraud risks that may be faced by the Council and so reduce the risk of the authority being subject to fraudulent attack. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023
Provide independent assurance each year 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 of the existence of a strong and effective Governance, Risk Management and Internal Control framework that provides assurance that there are suitable controls and procedures in place across the Council to reduce the possibility of fraudulent activity. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023
Governance & Audit Committee continues to review and assess the Risk Management, Internal Control And Corporate Governance Arrangements of the Authority as part of the committees annual work programme, which includes quarterly monitoring reports from the Chief Internal Auditor, the Strategic	09/03/2022	Treat	31/03/2023

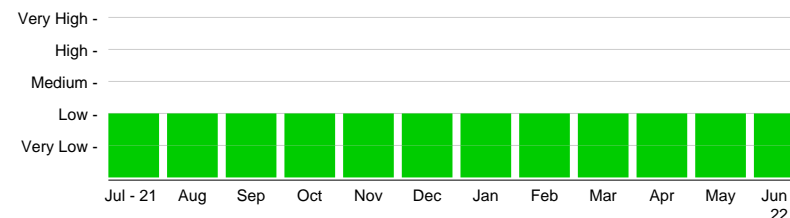
Current Control Measures

Current Control Measures	Last Update	Risk Response	Projected Completion
Delivery and Performance Manager and annual reports from the Corporate Directors, which provides assurance that there are suitable controls and procedures in place across the Council to reduce the possibility of fraudulent activity. (Updated 02/02/22)			
Continue the work and publicise the existence at least twice a year of the Council's 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. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023
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 02/02/22)	09/03/2022	Treat	31/03/2023
Continue to communicate a minimum of twice a year, via internal and external bulletins, a Zero Tolerance approach to fraud, bribery and corruption. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023
Continue to take 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 02/02/22)	09/03/2022	Treat	31/03/2023
Continue to implement an action plan to further strengthen counter-fraud arrangements in response to a review of counter-fraud arrangements in public sector bodies across Wales undertaken by Audit Wales. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023
Continue to assess all reports of fraud received via a dedicated fraud inbox for staff and the general public to report any suspicion of alleged fraudulent activity and evaluate the threats and respond accordingly. (Updated 02/02/22)	09/03/2022	Treat	31/03/2023

Historical Impact : High



Historical Likelihood : Low



Risk on a Page

Risk Title : Impact of Poverty

Risk ID : 290

Description : If there is increased demand on Council services due to an increased number of residents experiencing the impact of poverty due to Covid. Then the impact includes increased debt, reduction in household income and negative impact on health and well-being.

Risk Level : Corporate

Responsible Officer : Amy.Hawkins

Councillor : Alyson Pugh

Last Update : 13/06/2022

Historical RAG :

Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

The provision of Employability support, Debt and Benefit advice and guidance commissioned and in-house, increase take up of benefit entitlements, skills support and administration of Covid Self isolation payments. Work across the Authority through the Poverty Forum and with external partners through the Poverty Partnership Forum to identify risk management strategies to mitigate the impact.

Last Update

05/05/2022

Risk Response

Treat

Projected Completion

31/03/2023

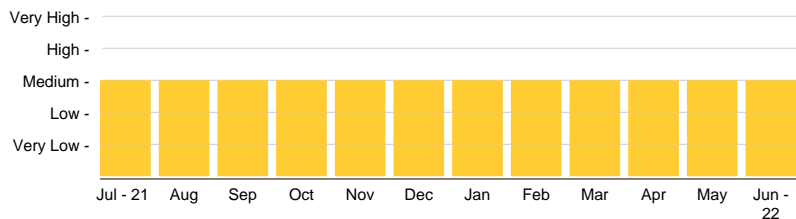
Increased demand on council services due to an increased number of residents experiencing the impact of poverty due to the cost of living crisis and the ongoing impact of the pandemic. The impact includes increased debt, reduction in household income and negative impact on health and well-being. The cost of living payments have been automatically been paid to those who we have details for other's the online application is open. Additional funding has been allocated for energy crisis payments which residents are accessing. Increased funding has been allocated to community and voluntary organisations for addressing food poverty and addressing period poverty.

04/05/2022

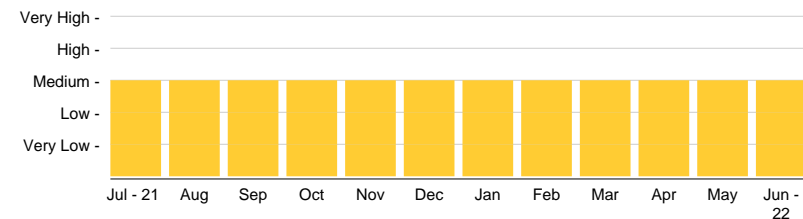
Treat

31/03/2023

Historical Impact : **Medium**



Historical Likelihood : **Medium**



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 Council's 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 : Andrea Lewis

Last Update : 29/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
						RED	RED	RED	RED	RED	RED	RED

Current Control Measures

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.

Last Update

29/06/2022

Risk Response

Tolerate

Projected Completion

31/10/2022

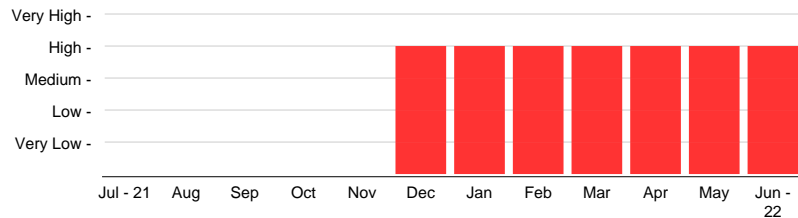
Daily monitoring by the implementation Team and Project lead of the programme risk register with red risks and issues escalated to the Design Authority fortnightly, Executive Steering Board monthly and CMT at the next Wednesday Meeting.

29/06/2022

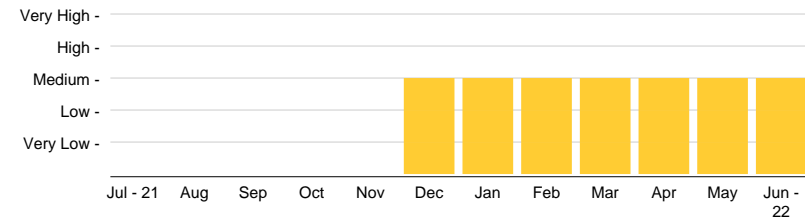
Tolerate

31/10/2022

Historical Impact : High



Historical Likelihood : Medium



Risk on a Page

Risk Title : Escalating Provider Costs

Risk ID : 319

Description : If costs continue to rise for externally commissioned care services then there is a risk that either care services will not be sustainable and people may not receive care, or that costs to the department will increase.

Risk Level : Corporate

Responsible Officer : David.Howes

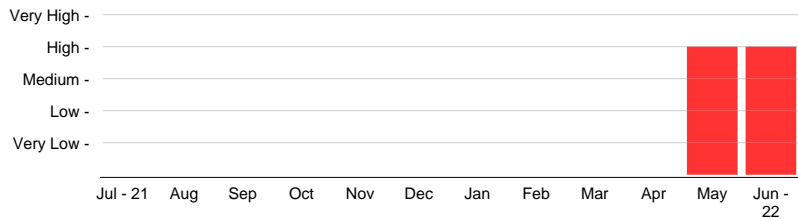
Councillor : Louise Gibbard

Last Update : 24/06/2022

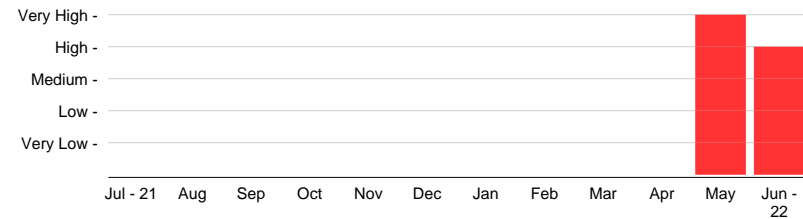
Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
											RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Review other rising costs across care home and domiciliary care services and propose solutions to address unforeseen cost increases (utilities, agency costs, food and insurance etc) - to be reviewed quarterly	24/06/2022	Treat	01/11/2022
Review fuel costs paid to external domiciliary care workforce and provide additional payments to meet rising fuel costs (to be reviewed quarterly).	24/06/2022	Treat	01/11/2022
Ensure temporary financial support is affordable and aligned with appropriate budgets.	24/06/2022	Treat	01/11/2022

Historical Impact : High



Historical Likelihood : High



Risk on a Page

Risk Title : Safeguarding Mandatory Training

Risk ID : 320

Description : If the council does not put robust arrangements in place to undertake and record mandatory training in relation to Safeguarding, then it will not be able to fulfil its duties to keep our citizens safe.

Risk Level : Corporate

Responsible Officer : Rachael.Davies

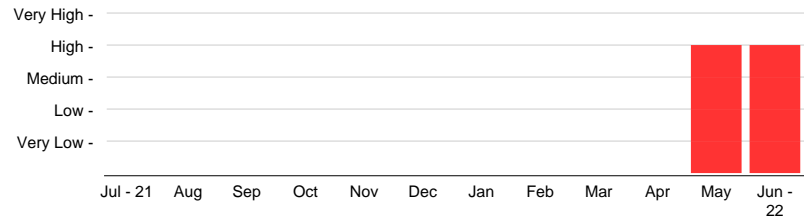
Councillor : David Hopkins

Last Update : 14/06/2022

Historical RAG :	Jul-21	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun-22
											AMBER	AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
The risk will be monitored through CMT as well as part of the risk management at PFM and Governance and Audit Committee.	27/05/2022	Tolerate	31/03/2023
Regular Quarterly and annual reports to CMT.	27/05/2022	Treat	31/03/2023
Identified statutory officers identified and suitably qualified to ensure safeguarding arrangements are in place and policies and procedures are implemented.	27/05/2022	Treat	31/03/2023
Corporate Safeguarding policy already in place for all staff and councillors to follow.	27/05/2022	Treat	31/03/2023
Managers to record and report when training is undertaken to the HR and Service centre and ensure any refresher training is undertaken.	27/05/2022	Treat	31/03/2023
Manager must ensure that this training forms part of the induction process for new staff and also reviewed as part of the annual appraisal on when a refresher is due.	27/05/2022	Treat	31/03/2023
Ensure mandatory training on Safeguarding as well as Level 1 Violence against women, domestic abuse and sexual violence is undertaken by all employees and councillors.	27/05/2022	Treat	31/03/2023
Regular (at least Annual) review of relevant policies and procedures.	27/05/2022	Treat	31/03/2023

Historical Impact : **High**



Historical Likelihood : **Low**

