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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 153 Risk Title	If our safeguarding arrangements are not					>Covid-19 – Safeguarding Arrangements and resources remodelled	>Director of Social Services to advise Cabinet	>Two dedicated Scrutiny Panels in	>Establish and maintain a regional protocol to	> Internal Audit of Safeguar- ding	>Regional and multi- agency safeguar-	> Audit Wales	>Currently included as part of standard	>Safeguar ding cross cutting audit is	
	arrangements				Angela Morgan	Arrangements and resources remodelled to ensure this is a key priority function within social services and services can continue to be safely delivered despite Covid-19 restrictions. >Planned implementation of multi-agency safeguarding hub progressed despite Covid-19 restrictions. The required dedicated Safeguarding Team for Adults included in the modified restructure of Adult Services required as a result of Covid-19 >Support and Shield vulnerable people in the community during Covid-19 >Provide emotional and well-being support to children and young people during Covid-19. >Provide support to people at greater risk from domestic	Services to	Scrutiny	regional protocol to provide secure Covid-19 care home provision including increased capacity in inhouse care homes. >Council Covid-19 Recovery Plan to recover services and deal with emerging risks >Corporate Safeguarding Board >Principal Officers for safeguarding within Social Services. >Corporate Safeguarding Policy and Group >Mandatory Corporate Safeguarding Training in place for Staff	Safeguar-	agency	vvales	as part of	cutting	Cross Cutting – Council Governance and Control – Safeguarding People from Harm
		High	High	Red	David Howes /	violence during Covid- 19. >Provide frontline social care staff with PPE during Covid-19 >Prioritise workload to focus on most			and Members. >Corporate Priority >New Safeguarding Policy following						S

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						vulnerable and prioritise services and contact with those during Covid-19 response.  > Children Services to further enhance the multi-agency Front Door Team with a dedicated safeguarding hub.  > Action plan being developed in response to recent audit on DBS compliance in schools.  > Corporate Safeguarding Board reviewing additional safeguards to be implemented by HR Transactions Team.  > Sufficient numbers of trained Adult and Child Services staff.  > String performance monitoring and reporting arrangements.  > String commitment to invest in Social Care  > Safeguarding Leads identified across all Council services.  > Separate safeguarding arrangements in place in schools and Central Education  Safeguarding Officer in main directorate.  > As part of a wider restructuring of Adult Services there is still a plan to re-establish a			review by PDDC in 2019 >CMT approved action plan to stabilise recruitment and retention of frontline Children Services staff						

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Risk ID	If the council					dedicated Safeguarding Team and the Front Door.	>All reports for	>Scrutiny	>Lawyers in	>Consult			>Audits to	>New	
Risk ID 180  Risk Title New Legislative and Statutory Changes  Risk Level Corporate	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.	Medium	Low	Amber	Tracey Meredith / Debbie Smith	item on agenda for consultations being undertaken by WG/UK Govt which alerts CMT to new legislation/ guidance and ensures visibility and horizon scanning for future legislative changes.  >Legislative requirements built into plans and decision making.  >Policy Briefings and LLG updates are added to CMT agenda on regular basis for wider visibility and discussion.  >Legal implications inserted into decision making reports with Legal and Access to Services sign-off.  >Monitoring of new legislation by Legal department and close liaison with client departments ie introduction of ALN in education.	>All reports for Cabinet/ Council have legal implications paragraph and report authors are supported by legal officers when considering legislative requirements in decision making process.	councillors routinely monitor and challenge services, policies and decision-making across the Council, which will include compliance with relevant legislation, assessment of quality, and highlighting of issues / concerns.	Jeawyers in Local Government updates received by Chief Legal Officer.  > Legislation updates circulated periodically to CMT by Chief Legal Officer.  >Policy Briefing — widely circulated >Appraisals identify legal training/gaps in legal provision.  > The Data Protection Officer provides an annual report on compliance with data protection legislation.	with CMT / HoS each year as part of annual consult'n exercise to inform the Audit Plan and inform forward work plan for the following year. >Audits added to plan as they arise prioritised by risk.			be added to the plan via as per annual consult with HoS/ Directors.	audits to be added as requested by HoS/ Directors as necessary via consultation and in year as needed	Service Specific – Across Corporate Priorities / Monitoring Officer Assurance

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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Rick ID	If demand for					>10% Unlift Of The	Monitored via	Dedicated			CIW		>Number	>Non-	1
Risk ID 221  Risk Title Availability of Domiciliary Care  Risk Level Corporate	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.	High	High	Red	David Howes / Peter Field	>10% Uplift Of The Fee To All Dom. Care Providers Implemented In Year To Enable External Providers To Pay A Competitive Salary To Staff To Assist With The Recruitment And Retention Of Staff. The Need For A Further Uplift Will Be reviewed By End Of 2022.  >Respite Services Adapted So They Can Flex To Address Long Term Care Needs If Required. Effectiveness Will Be Reviewed At The End Of December 2021 At The Regional Community Silver Emergency Planning Meeting  >A Pilot Of Dom Care Services Being Provided By A Residential Care Provider Has Been Initiated. Success Will Be Reviewed At The End Of December 2021.  > Third Sector Providers Asked To Reprioritise Services To Support Individuals With Alternative To Domiciliary Care To Mitigate The Impact Of	Monitored via ECG on a weekly basis	Dedicated adult services scrutiny panel			cIW inspection of regulated services and the LA statutory functions		>Number of Adult Services audits are on the plan completed on rolling programm e basis includes residential and non-residential care audits.	>Non-residential care audit is included on the audit plan for 2022/23.	Service Specific – Financial Services and Service Centre – Section 151 Assurance / Safeguarding

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					Lack Of Access To Formal Care. >Hospital Discharge Services Repurposed To Maximise Capacity Across All Four Discharge Pathways With Focus On Increasing Access To Short Term Res. Placements As An Alternative To Dom. Care. The Effectiveness Of These Changes Are Monitored Bi Weekly At The Regional Health And Care Transformation Board. These Emergency Arrangements Will Be Reviewed At The End Of February 2022. >Daily Management Of Waiting Lists And Contact With Care Providers To Prioritise Access To Services. The Priority Of Individuals On The Waiting List Is Reviewed Weekly And Monitored At The Regional Emergency Community Silver Planning Meeting. >Increased Number Of Contracted Providers To 22 To Maximise All Local Capacity As Current Data Suggests Increase In Demand Is Resulting In Capacity Pressures.									

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						The Council's Framework For									
						Commissioning Domiciliary Care Is Subject To An Annual Review. Next Review Will Be End Of March 2022									

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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID	If rates of					> Additional Agency	Monitored via	Dedicated	regional	1	CIW		n/a	n/a	
Risk Title Covid-19 Risk  Risk Level Corporate	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	High	High	Red	David Howes / Angela Morgan	> Additional Agency Worker Support Is Being Procured To Address Backlogs In Adult Assessment And Reviews. This Extra Support Will Be In Place Until April 2021 And Then Review. > Emergency Care Home Support Arrangements Have Been Established 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. Use Of These Emergency Support Staff Are Monitored At The Weekly Regional Community Silver Emergency Planning Meeting. These Arrangements Will Remain In Place Until February 2022 And Then Subject To Review > Additional Workforce Support Arrangements Have Been Established Through Utilising Dedicated Corporate Hr And Occupational Health Resource To Help Manage	Monitored via ECG on a weekly basis	Dedicated social services scrutiny performance panels	regional partnership board oversight		cIW inspection of both regulated care services and LA statutory functions		n/a	n/a	n/a

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					Increased Levels Of Sickness Absence, To Provide Additional Welfare Support For Staff And To Enhance Recruitment And Retention Of Staff. The Effectiveness Of These Arrangements Are Monitored On A Monthly Basis At P&Fm > Staff Contracted Hours Have Been 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 > All Cases Open To The Directorate Have Been Rag Rated To Ensure Individuals With The Most Critical Need Are Prioritised For Assessment, Care And Support. For Individuals With Lower Levels Of Need Alternative Arrangements For Support Are Negotiated With Families, Carers Or Other Community Or Third									

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					Sector Support. The									
					Rag Status Of Each Case Is Reviewed By The Responsible Teams On A Minimum Of A Monthly Basis. The Use Of The Rag Status Will Be Reviewed In March 2022 Additional Welsh Government Funding Is Being Utilised To Add Capacity To Critical Workforce Functions Or To Commission Additional Services From The Independent And Third Sector. The Effective Use Of This Funding Is Monitored Quarterly Through The Health And Social Care Regional Partnership Board. This Funding Will Cease At The End Of This Funding Will Cease At The End Of This Financial Year. Adults Services Has Been Restructured To Create Dedicated Teams That Manage Either Referrals, Assessments, Reviews Or Safeguarding In Order To Provide Transparency Of									
					Workload Pressures And To									

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					Enable Staff To Be Flexed To Respond To Excess Demand. The Performance Of The Teams Are Monitored At The Monthly P&Fm. The Restructure Will Be Maintained Until March 2022 And Then Subject To Review > Additional Surge Beds Have Been Opened Within The Council; S 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. The Use Of These Beds Is Monitored On A Monthly Basis At P&Fm. This Additional Capacity Will Be Maintained Until March 2022 And Then Reviewed > The Delivery Of And Access To Personal Care Services Have Been Adapted To Prioritise Individuals With The Highest Level Of Need And Robust Infection Control Measures									

						Level and Source of Assurance  Level 2  Cother <u>Internal</u> Assurance  Other <u>Independent</u> Assurance						Appe	ndix B	
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Business Risk	   ts	pooq	Status	Updat		Oth	er <u>Internal</u> Assura	ince	Other <u>Ir</u>	ndependent A	ssurance		Work	ın Area
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					Implemented To									<u> </u>
					Protect Staff And Service Users. The									
					Effectiveness Of These Adaptations									
					Are Monitored On A									
					Weekly Basis Through The									
					Weekly Community Health And Care									
					Silver Planning									
					Meetings. These Arrangements Will Be									
					Reviewed In									
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			Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk	ID	If the current	I				> Additional Business		> Key	> The National			<u> </u>	>New	>WCCIS	
306 Risk WCC	Title	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.	High	High	Red	David Howes / Angela Morgan	> Additional Business Support Mobilised To Assist Frontline Staff With Catching Up On Backlogs. Backlogs Created By The Lack Of Access To The System Are Monitored On A Twice Weekly Basis At A Wccis Meeting. > Manual Workarounds Have Been Implemented To Manage The Recording Of Assessments, Case Recordings And Plans When All Other Services Have Restricted Access To The System. The Need To Maintain These Manual Systems Is Monitored On A Monthly Basis At P&Fm > Usual Performance Monitoring Arrangements Have Been Suspended And Manual Systems To Monitor A Smaller Number Of Key Performance Measures Put In Place. These Key Performance Measures Continue To Be Monitored On A Monthly Basis In P&Fm And Every 6 Weeks By Scrutiny		Performance Measures Continue To Be Monitored On A Monthly Basis In P&Fm And Every 6 Weeks By Scrutiny Performance Committee.	> The National Team Are Working Closely With The Software Provider And Microsoft To Implement Fixes To Stabilise The System (This Is Outside Of The Control Of The Council). The Council Have Escalated Concerns About The Effectiveness Of The National Team And The Software Provider To Facilitate A Stable National System. The Impact Of Ongoing System Instability Is Monitored At A Twice Weekly Meeting Wccis Meeting And The Council; S Lead Director For Digital Services Attends Weekly				system audit added to the audit plan from 22/23	initial audit review included on the 22/23 audit plan.	Service Specific Audits – Adult Services

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			1			Performance			National				T	T	
						Committee.			Governance						
						> During Periods Of			Meetings.						
						System Instability									
						Where The Number Of									
						Users Needs To Be									
						Reduced, Priority									
						Access									
						Is Maintained For Critical Users And In									
						Particular The Teams									
						That Are Managing									
						New Referrals In									
						Children									
						And Adult Services.									
						The Effectiveness Of									
						These Arrangements Are Monitored On A									
						Twice Weekly Basis At									
						A Wccis Meeting									

Last Updated: 07/02/22