

Risk on a Page

Appendix A

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 contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Last Update : 24/08/2022

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

Current Control Measures

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.

	Last Update	Risk Response	Projected Completion
	24/08/2022	Treat	31/10/2024

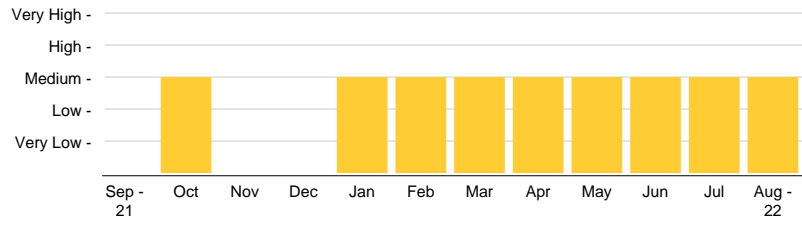
Termly monitoring and evaluation helps to mitigate against a narrow curriculum, poor quality teaching and weak school leadership. Termly reports are quality assured by the lead school improvement officer. School improvement advisers support and challenge schools to ensure learners' potential is maximised. 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.

	24/08/2022	Treat	31/10/2023
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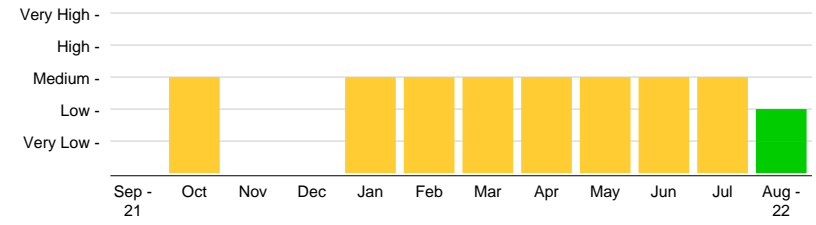
Since January 2022, school and provider inspections have re-commenced after a two year pause. To date, three pilot inspections have been conducted with one published. The full inspection regime will commence in the summer term 2022 and will provide useful external regulation. Inspection outcomes across 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.

	23/08/2022	Treat	31/03/2023
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Historical Impact : **Medium**



Historical Likelihood : **Low**



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

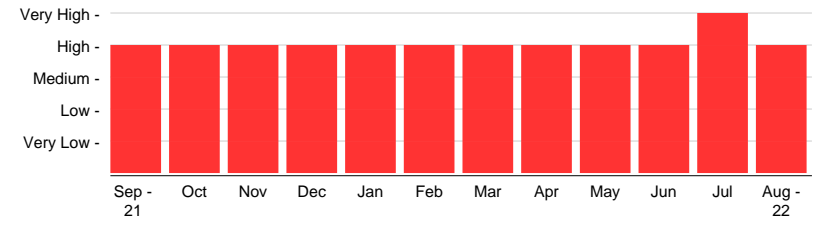
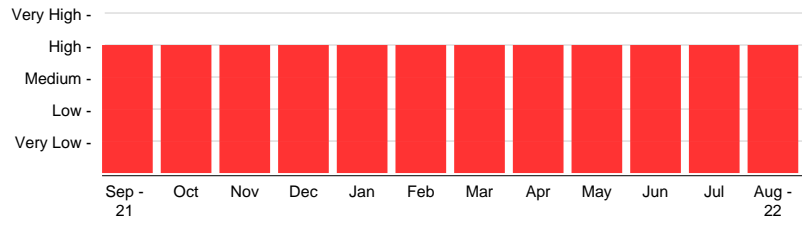
Last Update : 08/09/2022

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

Current Control Measures	Last Update	Risk Response	Projected Completion
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.	03/03/2022	Treat	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



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

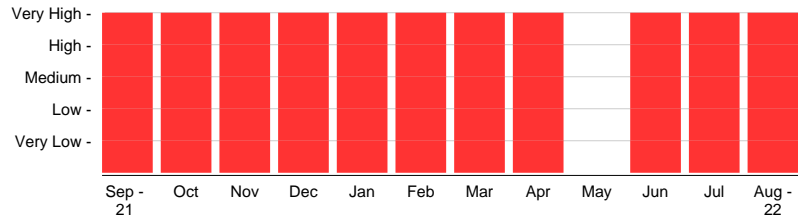
Last Update : 21/09/2022

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

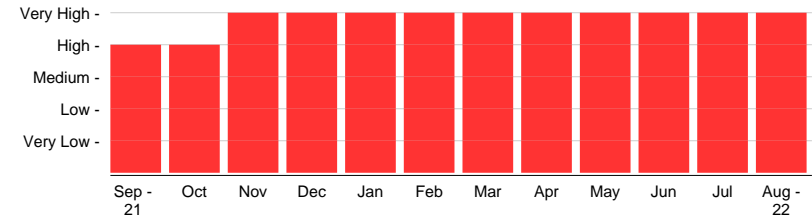
Current Control Measures	Last Update	Risk Response	Projected Completion
Covid disruption	21/09/2022	Tolerate	01/01/2023
COVID-19 Recovery Plan : Future Council - Finance - New MTFP. Linkages with Achieving better Together Can be refreshed after CSR 2021. Do expect multi year settlement from Welsh Government a possibility which will aid medium term certainty.	20/09/2022	Treat	01/01/2023
Identify uncontrollable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet.	20/09/2022	Tolerate	01/04/2023
Compliance within Financial Procedure rules so that spend remains within budget, including permitted virements.	20/09/2022	Treat	01/04/2023
Services to ensure that inflation pressures are managed and contained within cash limits agreed at the time the budget and MFTP are set.	20/09/2022	Treat	01/04/2023
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	20/09/2022	Treat	01/04/2023
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	20/09/2022	Treat	01/04/2023
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	20/09/2022	Treat	01/04/2023

Current Control Measures	Last Update	Risk Response	Projected 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 : 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

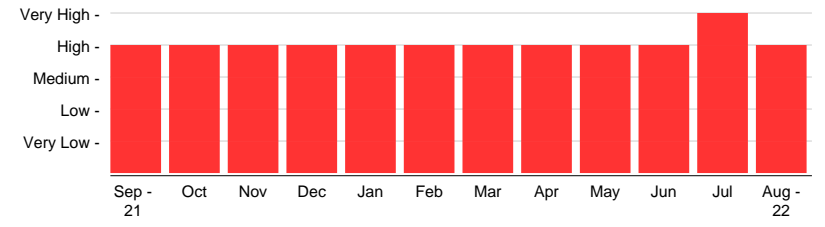
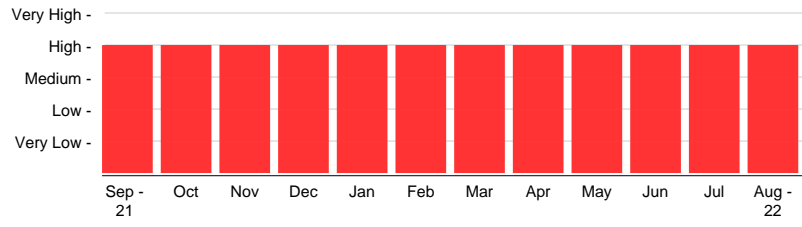
Last Update : 29/09/2022

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

Current Control Measures	Last Update	Risk Response	Projected Completion
Review as part of the budget setting process within social services, 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.	29/09/2022	Treat	30/11/2022
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.	29/09/2022	Treat	30/11/2022
Increase the number of contracted providers when capacity pressures require and review annually the Councils framework for commissioning domiciliary care.	29/09/2022	Treat	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.	29/09/2022	Treat	31/03/2023

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

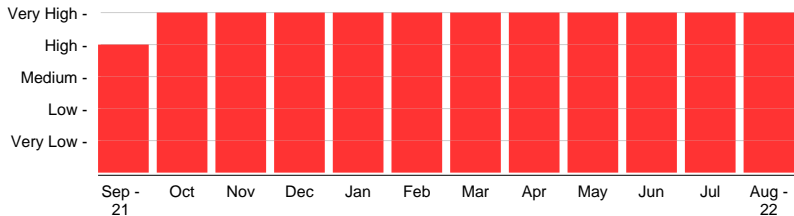
Councillor : Andrea Lewis

Last Update : 15/09/2022

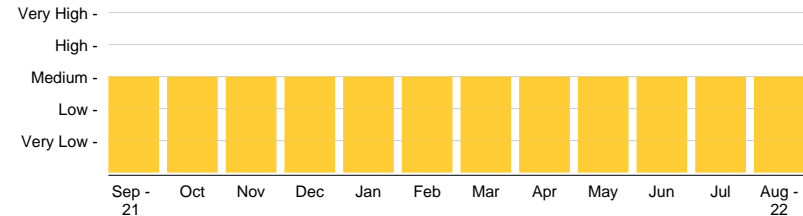
Historical RAG :	Sep-21	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-22
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Communication to users to keep up awareness	15/09/2022	Treat	31/03/2023
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.	15/09/2022	Treat	31/12/2022
New tools from Microsoft being reviewed to provide phishing test as part of continued vigilance and education to users on cyber security	15/09/2022	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	27/07/2022	Treat	31/12/2022

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 : Ness.Young

Councillor : Robert Stewart

Last Update : 09/09/2022

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

Current Control Measures

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

Last Update

09/09/2022

Risk Response

Treat

Projected Completion

31/03/2023

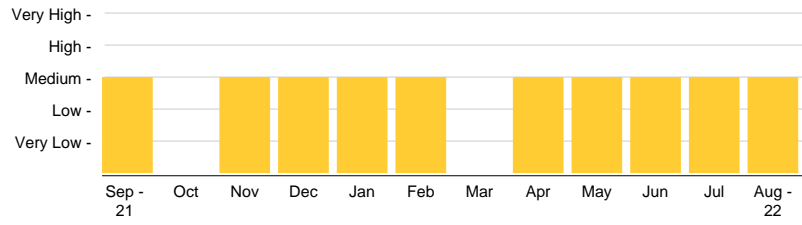
interviews for assistant post unsuccessful, post will be readvertised, EMS Manager added to duty rota in interim to cover leave and work assigned in EMS delivery plan redistributed in interim.

09/09/2022

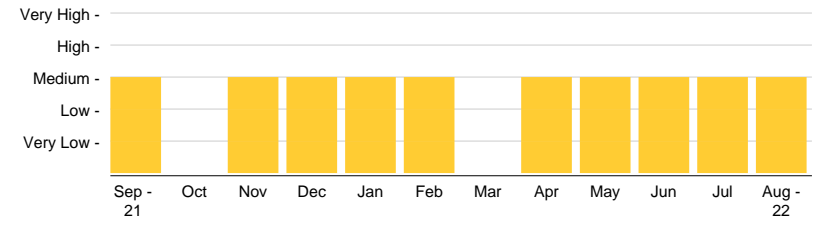
Treat

30/09/2022

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 : Ness.Young

Councillor : David Hopkins

Last Update : 09/09/2022

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

Current Control Measures

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.

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.

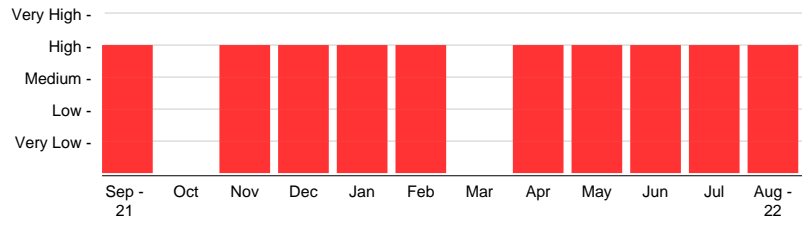
Continue to investigate more significant accidents falling under the remit of the RIDDOR regulations and provide a management report to prevent re-occurrence, ensure legal compliance and an improvement of standards; in addition, provide these reports with statistical information to Directors bi-annually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

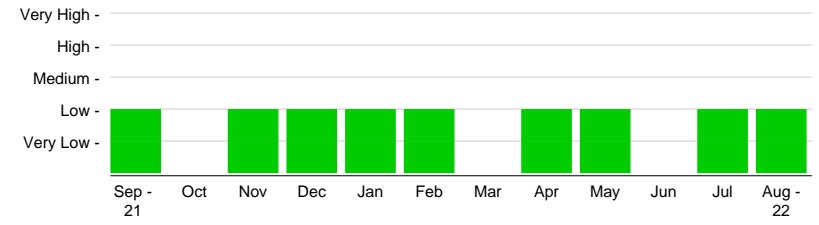
1. Maintain the Corporate Health & Safety Policy, which clearly identifies the Health & safety responsibilities of every level of employee, and review (including subordinate policies) every 3 years or if significant change occurs, such as a change in statute, leader or statute changes.
2. Provide the 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
	09/09/2022	Tolerate	31/03/2023
	09/09/2022	Treat	31/03/2023

Historical Impact : **High**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Local economy and infrastructure

Risk ID : 269

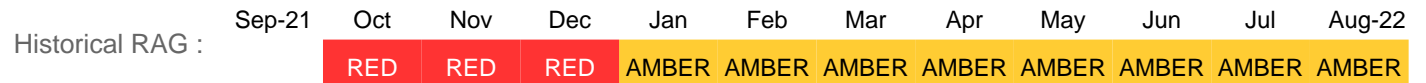
Description : If the local economy and infrastructure is not transformed and supported to be resilient and to take advantage of national and global trends and events and attract investment, then it will not fulfil its potential as a regional centre to raise aspirations, improve services, lift skills, 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 : 05/09/2022



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

08/07/2022

Risk Response

Treat

Projected Completion

31/12/2022

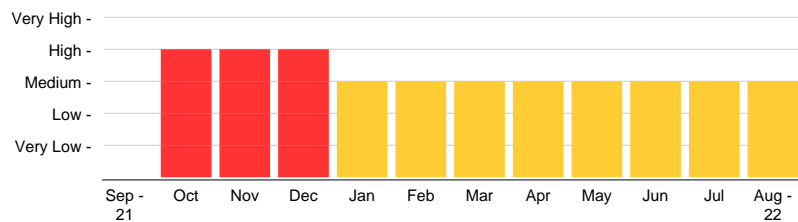
Organise and facilitate virtual Meet-the-Buyer events to help local businesses at key milestones to identify opportunities to bid for Council work and contracts that will help retain spend locally, creating a multiplier effect. Frequency and timing to be coordinated with contractor according to build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

22/02/2022

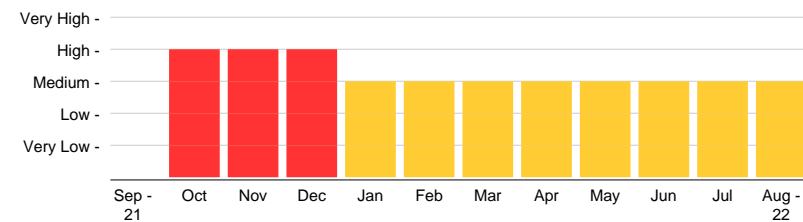
Treat

31/12/2022

Historical Impact : Medium



Historical Likelihood : Medium



Risk on a Page

Risk Title : Achieving Better Together - 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 : Ness.Young

Councillor : Andrea Lewis

Last Update : 05/09/2022

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

Last Update

05/09/2022

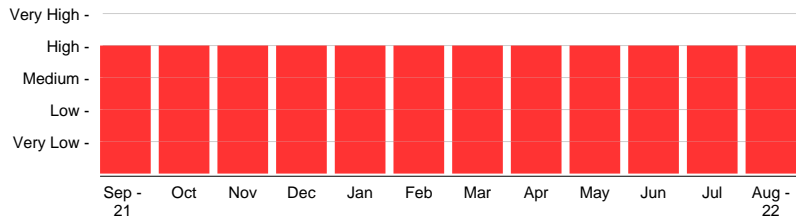
Risk Response

Treat

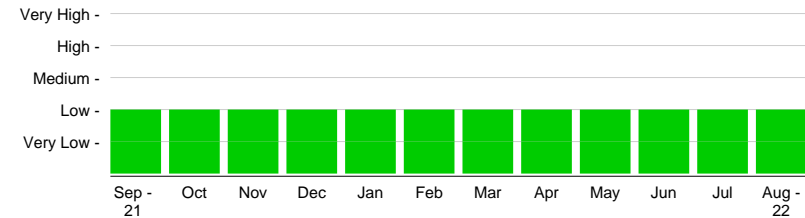
Projected Completion

30/11/2022

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 : 12/09/2022

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

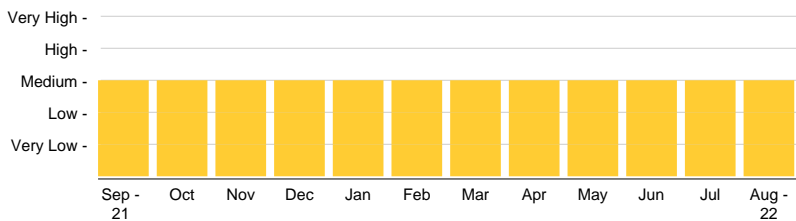
Increased demand on council services due to an increased number of residents experiencing the impact of poverty due to the cost of living crisis and the ongoing impact of the pandemic. The impact includes increased debt, reduction in household income and negative impact on health and well-being. The 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

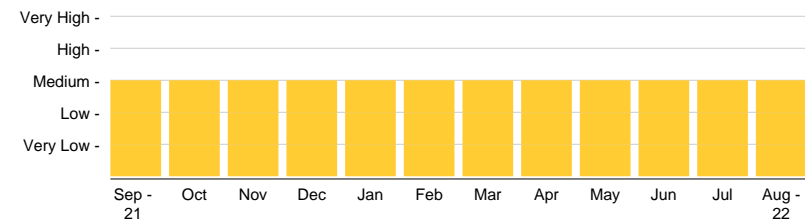
Treat

31/03/2023

Historical Impact : Medium



Historical Likelihood : Medium



Risk on a Page

Risk Title : Oracle Fusion

Risk ID : 309

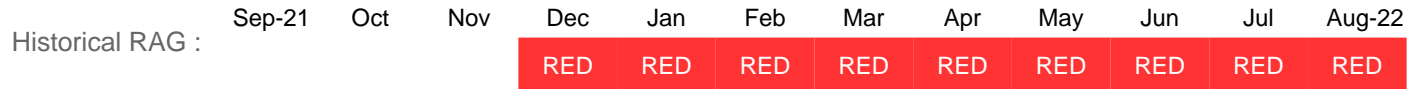
Description : If the impact of the ongoing COVID response and subsequent volume of COVID recovery activities continue to pressure business as usual work across both services and the Council's external suppliers, then there is a risk the Oracle Fusion project will continue to experience delays that could 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 : 22/09/2022



Current Control Measures

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 fortnightly and CMT.

Last Update

22/09/2022

Risk Response

Tolerate

Projected Completion

28/04/2023

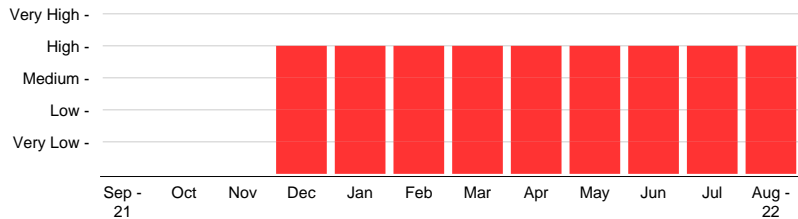
Weekly monitoring by the Project lead of capacity and remedial actions plans put in place, agreed at Executive Steering Board fortnightly and escalated to CMT/Cabinet where appropriate.

22/09/2022

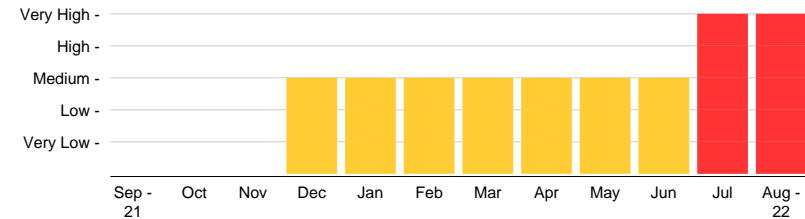
Tolerate

28/04/2023

Historical Impact : High



Historical Likelihood : Very High



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

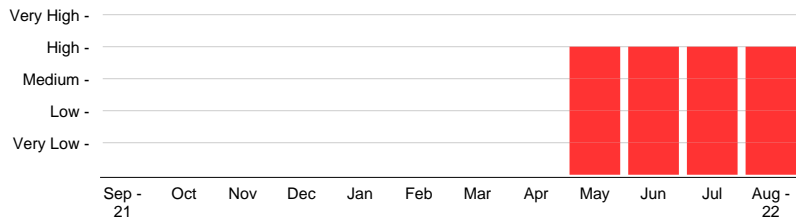
Councillor : Louise Gibbard

Last Update : 29/09/2022

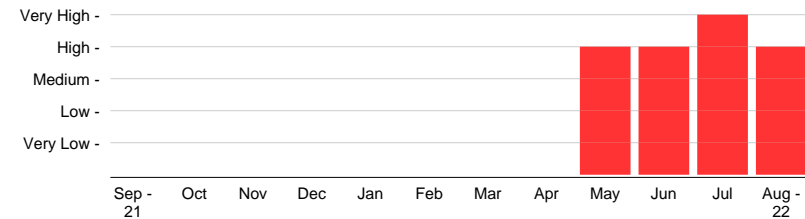
Historical RAG :	Sep-21	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug-22
									RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Ensure temporary financial support is affordable and aligned with appropriate budgets.	29/09/2022	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).	29/09/2022	Treat	01/11/2022
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	29/09/2022	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

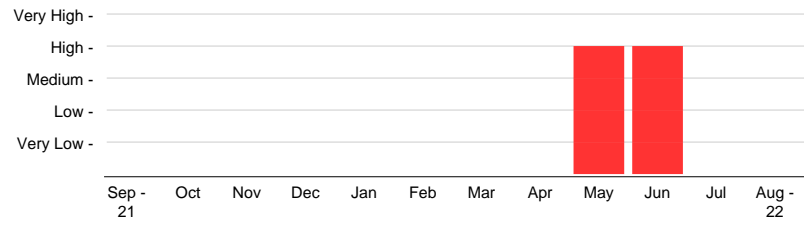
Responsible Officer : Rachael.Davies

Councillor : David Hopkins

Last Update : 30/09/2022

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

Historical Impact :



Historical Likelihood :

