

# Risk on a Page

Risk Title : Deprivation of Liberty

Risk ID : 132

Description : If the Local Authority fails to meet its statutory responsibilities to meet the legal requirement in relation to Deprivation of Liberty across Child and Family and Adult services, the Local Authority would be at risk of legal challenges and compensation claims.

Risk Level : Directorate

Responsible Officer : Amy.Hawkins

Councillor : Louise Gibbard

Inherent Risk : **16**

Last Update : 04/09/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	16	16	16	16	16	16	16		16	16	12	12

### Current Control Measures

Adult Services & Child and Family Deprivation of Liberty (DoLO). Identifying those who need a DoLO, prioritising DoLO applications targeting the most risky cases, and sourcing support to ensure applications are made in a timely manner, reducing the risk of unauthorised deprivations. Additional grant funding used for additional staffing resource to support with applications, Court of Protection support, Best Interest and Mental Capacity assessments and staff training.

Last Update

31/08/2023

Risk Response

Treat

Projected Completion

31/03/2024

New legislation - Liberty Protection Safeguarding. LPS implementation has been pushed back to 2024. We are currently involved in regional and national forums to fully understand the requirement of the new act

31/08/2023

Terminate / Close

31/03/2024

Identify high risk cases across teams and across Directorate. Regular cross Directorate meetings are undertaken to monitor this and to capture high risk cases.

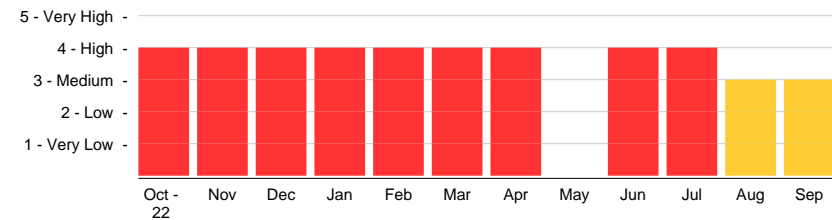
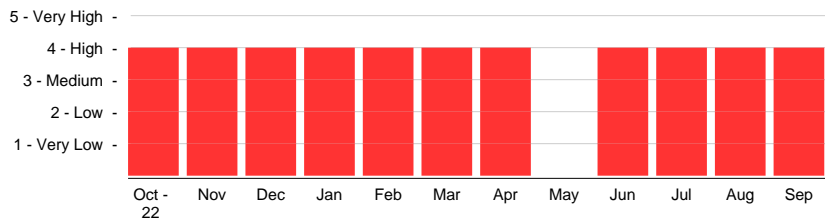
31/08/2023

Treat

31/03/2024

Current Impact : 4 - High

Current Likelihood : 3 - Medium



# Risk on a Page

Risk Title : Safeguarding

Risk ID : 153

Description : If our safeguarding arrangements are not sufficiently robust (particularly with regards being able to fund, recruit and retain sufficient qualified social workers; ensure placement sufficiency for looked after children and be able to provide or commission sufficient social care for adults with assessed care and support needs), 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

Inherent Risk : 25

Last Update : 19/09/2023

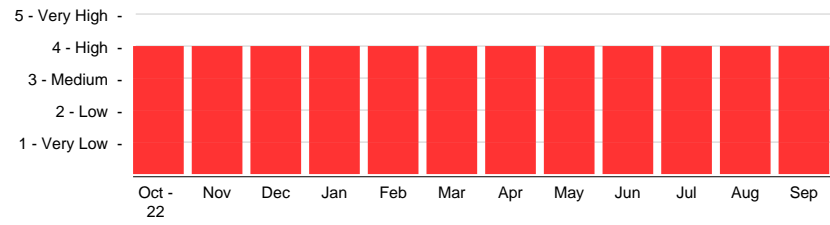
Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	16	16	16	16	16	16	16	16	16	16	16	16

Current Control Measures	Last Update	Risk Response	Projected Completion
Work with the Health Board to review the current level of partner financial contributions to the funding of integrated intermediate care services (inc maximising regional and national income opportunities) to ensure an effective service offer that reduces or delays recourse to long term managed care (within the Council's overall available financial resources)	16/06/2023	Treat	31/03/2024
Monitor the effectiveness of safeguarding arrangements bi-monthly at the childrens and adults performance scrutiny panels, the corporate safeguarding board and the regional safeguarding board, quarterly at CMT and monthly at PFM and take appropriate remedial action	07/03/2023	Treat	01/03/2024
Invest in the Council's direct care provision services to maximise capacity and reduce reliance on independently commissioned care services for adults (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024
Provide specific advice to Welsh Government as to how they can safely implement the eliminate profit from children services policy commitment (including supporting the growth of not for profit looked after children care provision) to avoid inadvertently exacerbating the current lack of placement sufficiency for looked after children	07/03/2023	Treat	01/03/2024
Implement new models for the commissioning local independent domiciliary care provision to build capacity inc. by supporting providers to provide a fair and competitive wage to their staff (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024
Invest in increasing the number of Foster Wales Swansea foster carers and the number of in-house residential care beds for children (both locally and regionally) whilst decreasing reliance on independently commissioned foster and residential care placements (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024

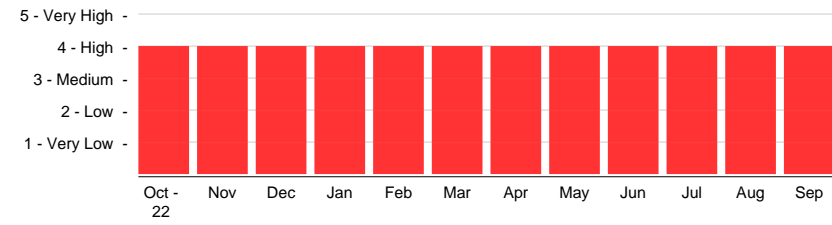
## Current Control Measures

	Last Update	Risk Response	Proposed Completion
Implement effective recruitment processes both within the Directorate and the corporate centre (including maintaining a sufficient workforce infrastructure) to ensure that there are no avoidable delays in recruiting to essential posts determined as necessary to maintain a safe and effective social services function (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024
Implement a weekly Directorate workforce planning meeting to consider and prioritise all new recruitment requests to ensure that new recruitment is focussed on the maintenance of a safe and effective service and complies with current spending restrictions and supports delivery of the Council's MTFP	07/03/2023	Treat	01/03/2024
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.	07/03/2023	Treat	01/03/2024
Remodel the workforce infrastructure for social services including investment in capacity of alternatively qualified staff (both frontline and back-office staff) to take on functions that can be safely delivered by a non-registrant workforce (within the Council's overall financial resources)	07/03/2023	Treat	01/03/2024
Recruit agency social workers to cover critical gaps in social work capacity	07/03/2023	Treat	01/03/2024
Prioritise maintaining investment in and maximising income for the funding of prevention and wellbeing services that reduce or delay recourse to statutory services and managed care and support for children and adults who would otherwise develop care and support needs (within the Council's overall available financial resources)	07/03/2023	Treat	01/03/2024
Implement a 'grow your own' strategy to support an increase in the number of internal staff to pursue the social work qualification	07/03/2023	Treat	01/03/2025
Prioritise a sufficient budget allocation (within the Council's overall available financial resources) to maintain the Council meeting at least the minimum level of statutory service across childrens and adults services	07/03/2023	Treat	01/03/2024
Implement a social work academy in children services to support newly qualified staff to gain the skills and experience to become competent child protection practitioners	07/03/2023	Treat	01/03/2024
Work with NPT Council and the Swansea Bay Health Board to implement a recruitment strategy for overseas staff to fill critical workforce shortages across health and social care	07/03/2023	Treat	01/03/2024

Current Impact : 4 - High



Current Likelihood : 4 - High



# Risk on a Page

Risk Title : Data Breaches of Confidentiality

Risk ID : 218

Description : If a data breach occurs then this will result in a breach of confidentiality for an individual and the ICO will have to be notified potentially incurring significant fine for the Authority.

Risk Level : Directorate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Inherent Risk : 16

Last Update : 14/09/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	16	16	16	9	9	9	9	9	9	9	9	9

### Current Control Measures

If a data breach occurs then it is reported to P&FM which takes place on a monthly basis. Staff who have also completed Data Breach Training is reviewed, captured and reported to P&FM on a monthly basis. Any learning that is received from a breach is shared with the Directorate. These are on going measures.

Last Update

15/05/2023

Risk Response

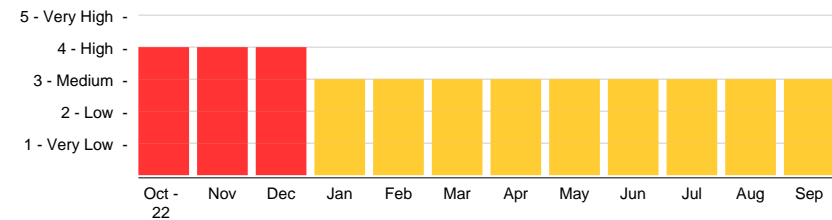
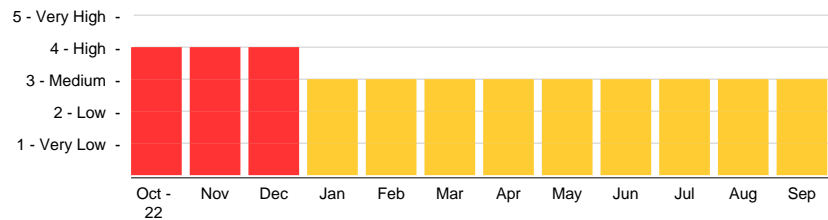
Treat

Projected Completion

30/04/2024

Current Impact : 3 - Medium

Current Likelihood : 3 - Medium



# 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 the pandemic and cost of living pressures. 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

Inherent Risk : 16

Last Update : 01/09/2023

Historical RAG :

Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
9	9	9	9	9	9	9		9	9	6	9

Current Control Measures	Last Update	Risk Response	Projected Completion
Provide targeted advice on financial inclusion to people who are struggling with accessing the support to manage their debts, to address their needs in a timely, effective manner.	31/08/2023	Treat	31/03/2024
Provide weekly access to Welfare Rights Advice helpline for frontline social care staff to improve their knowledge on benefit entitlements and directly apply this to the people they support in order to increase take-up of benefits.	31/08/2023	Treat	31/03/2024
Support people to gain employment through referrals into mentoring and development of employability skills as part of an agreed personal development plan, to improve the number of people increasing their household income through employment.	31/08/2023	Treat	31/03/2024
Directly support people through Local Area Co-ordination to access the support they require in a place and time that meets their needs, to address the impacts of poverty and its effects on their health and well-being.	31/08/2023	Treat	31/03/2024
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. Further funding has been allocated to community and voluntary organisations for addressing food poverty and addressing period poverty, along with new 'holiday food' schemes for Summer 2023.	31/08/2023	Treat	31/03/2024
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.	31/08/2023	Treat	31/03/2024

**Current Control Measures**

Co-ordinate targeted and time-bound grant schemes for helping people with Cost of Living challenges (e.g. fuel poverty) to reduce the impact of poverty on people and businesses.

Last Update

31/10/2022

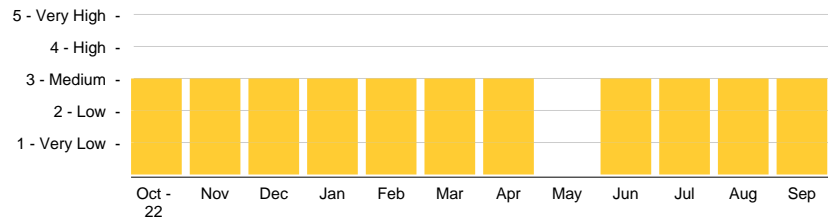
Risk Response

Treat

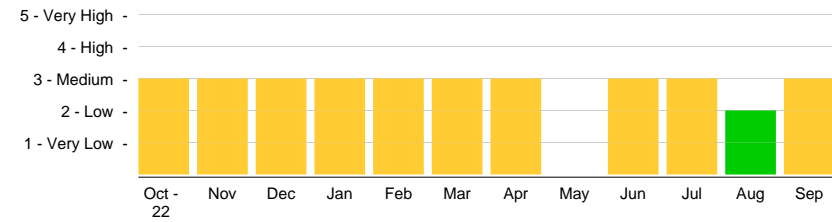
Appendix A  
Projected Completion

31/12/2023

Current Impact : 3 - Medium



Current Likelihood : 3 - Medium



# Risk on a Page

Risk Title : Grant Funding (Revenue Budgets) in Social Services

Risk ID : 298

Description : IF grant funding ceases to flow from Welsh Government, THEN key preventative parts of the Directorate will not be able to deliver the range of services as effectively as it would like to in order to ensure service continuity and to safeguard preventative activities for the economic, social, environmental and cultural well-being of residents of Swansea

Risk Level : Directorate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Inherent Risk : 12

Last Update : 25/09/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	9	9	9	9	9	9	9	9		12	12	12

### Current Control Measures

Close working with teams to understand likelihood of changes in grant allocations and possible remodelling needed to mitigate ; 31.03.24

Last Update

25/09/2023

Risk Response

Treat

Projected Completion

31/03/2024

Monthly discussion at relevant SMT meetings to work through these arrangements and manage risk and over sight at PFM reporting throughout 23/24 31.03.24

25/09/2023

Treat

31/03/2024

Individual Grant Budget envelope planning for 24/25 underway - especially in large grant schemes such as HSG, CCG and RIF. Planning assumption on a flat grant budget envelope with an increase in inflation for a second year running will impact on the delivery of services for people as provision will have to be managed within grant envelop. Risk and impact assessment of this is underway

25/09/2023

Treat

30/11/2023

Analysis and monitoring of the range of different grants we receive and when they are likely to end and an exit route for these funding sources and implications to staffing levels including redundancy costs

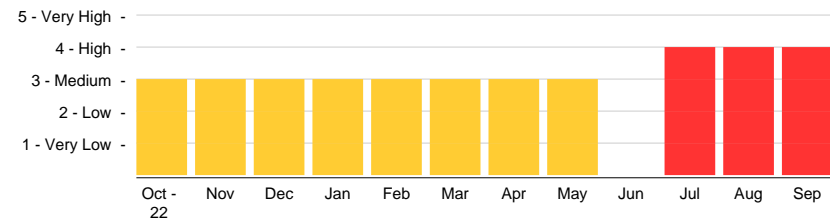
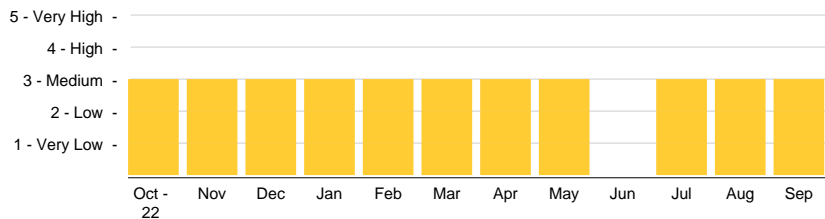
25/04/2023

Treat

31/05/2024

Current Impact : 3 - Medium

Current Likelihood : 4 - High





# Risk on a Page

Risk Title : Real Living Wage in Social Care

Risk ID : 317

Description : Welsh Government require that the RLW (Real Living Wage) be paid to those who work in registered posts within Social Care. IF the annually calculated rate by the Resolution Foundation based on inflation measures that consider the minimum income standard, is higher than budget available to meet these costs THEN significant remodelling of all services is required  
 IF there is not a significant easing of the inflationary pressures, THEN this it is likely that a substantial increase in living wage will be forthcoming and there is no guarantee that Welsh Government will provide adequate funding to meet our responsibilities.

Risk Level : Directorate

Responsible Officer : Jane.Whitmore

Councillor : Louise Gibbard

Inherent Risk : **9**

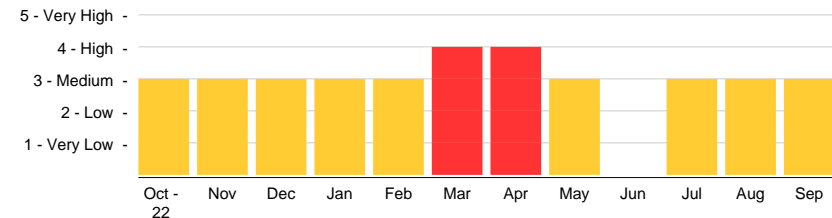
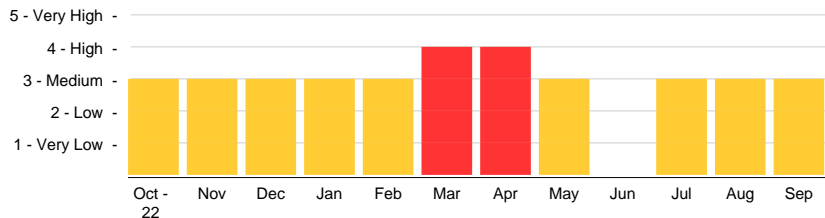
Last Update : 25/09/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	9	9	9	9	9	16	16	9		9	9	9

Current Control Measures	Last Update	Risk Response	Projected Completion
Continue to work with WG to highlight the long term impacts of embedding RLW to influence flow of funding to cover pressures	25/09/2023	Treat	31/10/2023
Monitor the level of inflation to understand the likelihood of this risk being realised in line with monthly published inflation figures.	25/09/2023	Treat	31/10/2023
Track and monitoring the RLW calculations on the following website The Calculation   Living Wage Foundation as they are published annually	25/09/2023	Treat	31/10/2023

Current Impact : 3 - Medium

Current Likelihood : 3 - Medium



# Risk on a Page

Risk Title : Fragility of Commissioned Care Market

Risk ID : 319

Description : Externally commissioned services are fragile. Rising costs are creating operational pressures and sustainability risks. Difficulties recruiting and retaining staff are creating capacity, delivery and quality risks. If these problems persist then there is a risk that either care services will not be sustainable; that people may not receive care; that quality of care may not be satisfactory; that costs to the department will increase.

Risk Level : Directorate

Responsible Officer : David.Howes

Councillor : Louise Gibbard

Inherent Risk : **16**

Last Update : 29/09/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	16	16	16	16	16	12		12		9	9	9

### Current Control Measures

Maintain fuel subsidy for domiciliary care workers and ensure temporary financial support is affordable and aligned with appropriate budgets.

Last Update

29/09/2023

Risk Response

Treat

Projected Completion

31/03/2024

Continue to monitor financial risks to services during 23/24 and where necessary take action to mitigate new or additional sustainability risks.

29/09/2023

Treat

31/03/2024

Implement contract monitoring and contract management arrangements to address any quality or performance concerns and ensure that services delivered are fit for purpose.

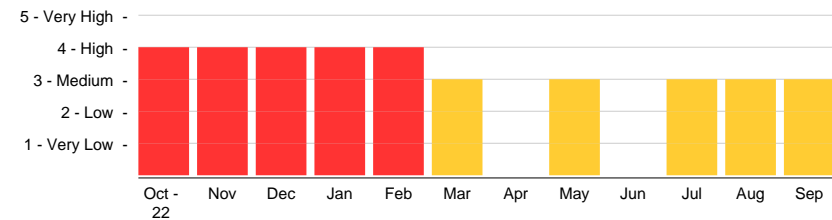
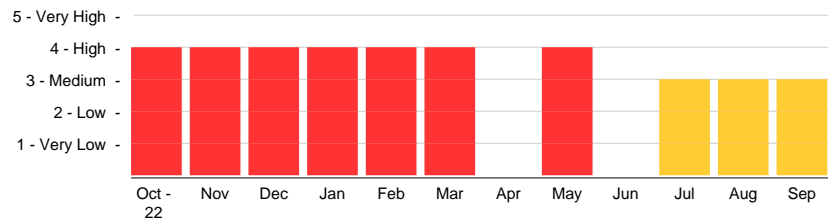
29/09/2023

Treat

31/03/2024

Current Impact : 3 - Medium

Current Likelihood : 3 - Medium



# Risk on a Page

Risk Title : Social Cohesion

Risk ID : 337

Description : If we do not manage to continue to improve community involvement and break down barriers amongst people in terms of economic disparities, encourage tolerance to avoid social discord and strengthen community development throughout all ages, then we could see increasing community tensions, disorder and civic unrest exacerbated by the cost of living crisis and perceived differences and people not feeling heard or listened to.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Alyson Pugh

Inherent Risk : 16

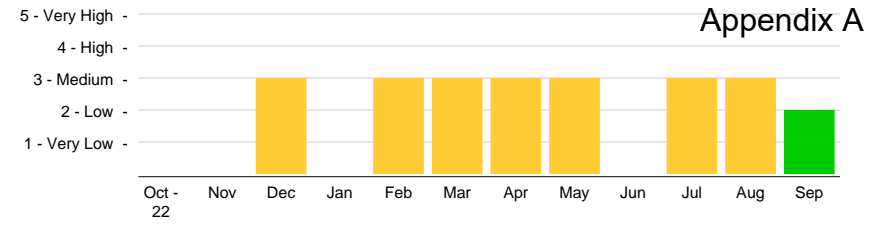
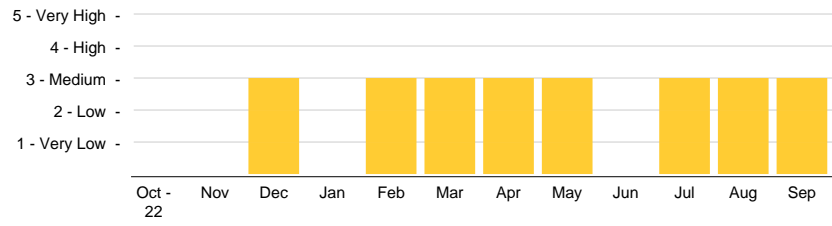
Last Update : 25/09/2023

	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
Historical RAG :			9		9	9	9	9		9	9	6

Current Control Measures	Last Update	Risk Response	Projected Completion
Engagement and involvement with minority communities to understand what matters and promote community cohesion and mitigate tensions, through the Partnership & Involvement Team. Project initiated and ongoing	25/09/2023	Treat	31/01/2024
Commission a research project to ensure complimentary and inclusive policy and decision-making to ensure social cohesion issues are considered in the development of plans and strategies across the council	25/09/2023	Treat	31/03/2024
Utilise opportunities through the Shared Prosperity fund to join up and embed community engagement and involvement with all ages and all communities to develop shared values and empowered communities, Fund now launched and activity underway	25/09/2023	Treat	31/03/2024
Ensure effective partnership working arrangements to develop supportive networks together through PSB and other key partnership arrangements transpiring out of the new newly developed Wellbeing Plan	25/09/2023	Treat	31/12/2023
Whole Council training and capacity building to implement the Public Sector Equality Duty and the Human Rights Approach, through Strategic Equalities and Future Generations Board	25/09/2023	Treat	31/12/2023

Current Impact : 3 - Medium

Current Likelihood : 2 - Low



# Risk on a Page

Risk Title : Subject Access Requests (SARS)

Risk ID : 353

Description : If we have confirmed a requester's identity, then we are then obliged to respond to the request free of charge within one calendar month, with the ability to extend up to two months if the case has a high volume of content. Anyone is entitled to find out what information is held by the Authority, about themselves, under a subject access request (SAR).  
 CMT agreed that this function should return under the management of Social Services, from Legal, in February 2023. The work transferred with a backlog going back to May 2022. There has also been an increase in demand for this service and due to the volume of paperwork that requires printing and redacting, the ability to meet timescales has been severely compromised. This delay has prompted more complaints to the ICO which could result in the service receiving a reprimand or possible fine.

Risk Level : Directorate

Responsible Officer : Deborah.Reed

Councillor : Louise Gibbard

Inherent Risk : 20

Last Update : 14/09/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
									16	16	16	16

### Current Control Measures

Request to increase team to meet the demand and clear backlog

Last Update

29/06/2023

Risk Response

Treat

Projected Completion

31/12/2023

Monitor output and reporting to P & FM on a monthly basis.

29/06/2023

Tolerate

31/12/2023

Weekly meetings to agree priorities.

29/06/2023

Tolerate

31/12/2023

Current Impact : 4 - High

Current Likelihood : 4 - High

