

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 contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Inherent Risk : 16

Last Update : 26/10/2023

Historical RAG :

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

Current Control Measures

Attendance: Develop and publish new Attendance Strategy. That will include producing a revised attendance policy and a clear, concise guide to the work of the Education Welfare Service. The recommendations of the 2019/20 consultation are under review to ensure that processes are fit for current purposes, and aligned to national, regional and local strategies, given the Post Covid-19 landscape. Welsh Government Attendance Guidance will be published in autumn 2023/24.

Last Update

26/09/2023

Risk Response

Treat

Projected Completion

31/12/2023

Monitoring and evaluation visits: The School Improvement Team visit schools regularly and report back on their findings to aid with school improvement across all schools. If required, more intensive support can then be provided from LA officers and working with Partneriaeth our regional Professional Learning partners. This work also feeds into the LA's pre-inspection report to Estyn. As it currently stands the Action Short of Strike Action (ASOS) being taken by the NAHT is limiting the monitoring and evaluation visits in the primary sector.

26/09/2023

Treat

31/08/2024

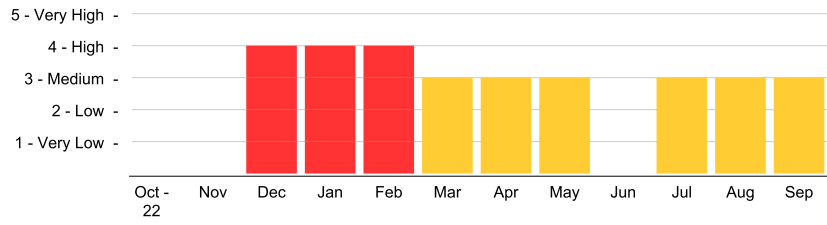
School Profiler and School Risks and Issues: A school profiler is used across the Directorate and by internal partners to record school risks and issues; this feeds into a monthly School Risks and Issues meeting that provides oversight of all schools and allows support to be provided in a timely and coherent way. These meetings continue to be held monthly with clear actions taken to support schools.

26/09/2023

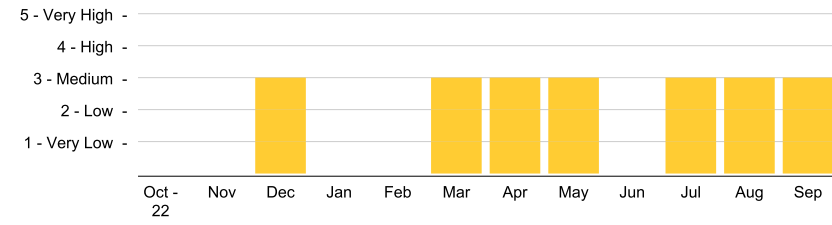
Treat

31/08/2024

Current Impact : 3 - Medium



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 : 06/11/2023

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

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)

Last Update

16/06/2023

Risk Response

Treat

Projected Completion

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)

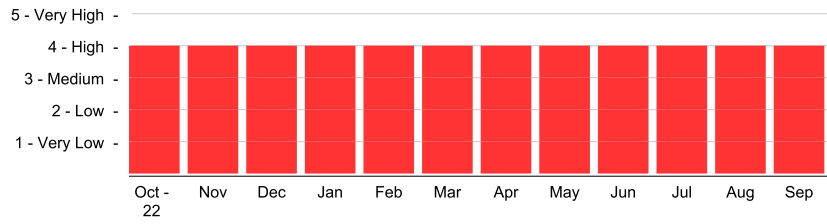
07/03/2023

Treat

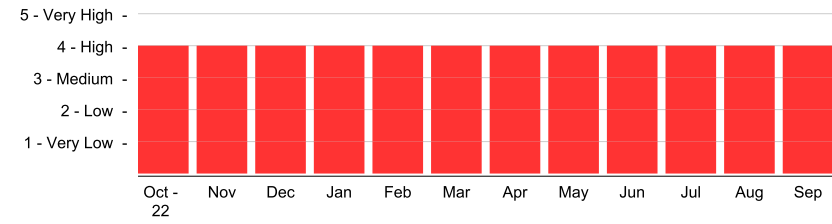
01/03/2024

Current Control Measures	Last Update	Risk Response	Projected 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 : Financial Control - Budgetary Control, Annual Budget and MTFP Delivery

Risk ID : 159

Description : If we fail to deliver the Council's MTFP, budget and maintain sufficient in year budgetary 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 pay and price pressures, and changing public expectations in both current and future years.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Inherent Risk : 25

Last Update : 17/10/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	25	25	25	25	25	20	25	25	25	25	25	25

Current Control Measures

As part of the quarterly Revenue and Capital Budget Monitoring Reports to Cabinet, continue to monitor and report on slippage in Capital schemes and the effects on Capital schemes of price inflation affecting supplies and materials, including mitigating actions such as agreeing cost increases through FPR7 procedures.

Last Update

10/07/2023

Risk Response

Tolerate

Projected Completion

31/03/2024

Identify uncontrollable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet.

10/07/2023

Tolerate

31/03/2024

Compliance within Financial Procedure rules so that spend remains within budget, including permitted virements.

10/07/2023

Treat

31/03/2024

Services to ensure that inflation pressures are managed and contained within cash limits agreed at the time the budget and MFTP are set.

10/07/2023

Treat

31/03/2024

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

10/07/2023

Treat

31/03/2024

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

10/07/2023

Treat

31/03/2024

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

10/07/2023

Treat

31/03/2024

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

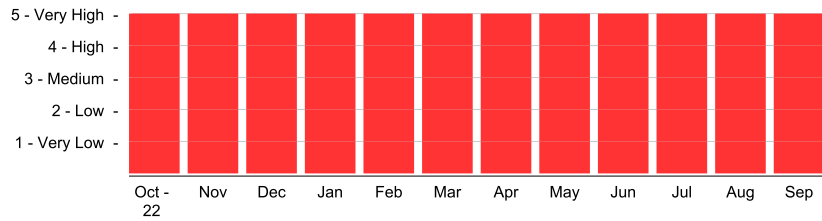
10/07/2023

Treat

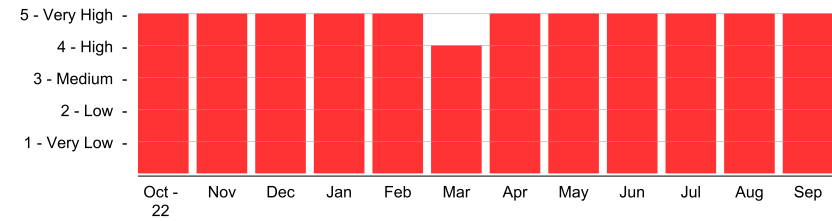
31/03/2024

Current Control Measures	Last Update	Risk Response	Projected Completion
contingency (£3.5m) in year. 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.	10/07/2023	Treat	31/03/2024
Further development work to progress on transformation agenda over medium term through Achieving Better Together reshaping programme.	10/07/2023	Treat	31/03/2024

Current Impact : 5 - Very High



Current Likelihood : 4 - Very High



Risk on a Page

Risk Title : Cyber, data and digital security

Risk ID : 222

Description : If the council does not have robust cyber, data and digital security measures and systems and behaviours in place, embedded and working as best as they can be then it will not be protected from 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

Inherent Risk : 20

Last Update : 09/10/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	15	15	15	15	15	15	15	15	15	15	15	15

Current Control Measures

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

Last Update

13/09/2023

Risk Response

Treat

Projected Completion

30/11/2023

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.

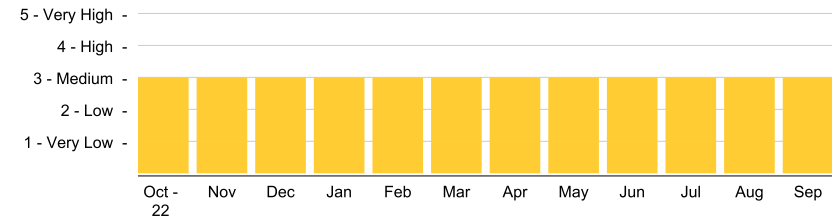
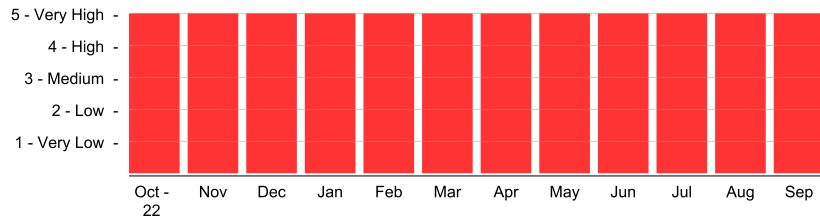
13/09/2023

Treat

31/12/2023

Current Impact : 5 - Very High

Current Likelihood : 3 - 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, which may lead to reputational damage, a loss of political and community confidence, increased potential for loss of life, prolonged recovery following a major/business continuity incident which will deny service to the public and increase operating costs.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk : 16

Last Update : 27/10/2023

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

EMS Delivery plan under development for 23-24 16th Feb 23.

Last Update

13/09/2023

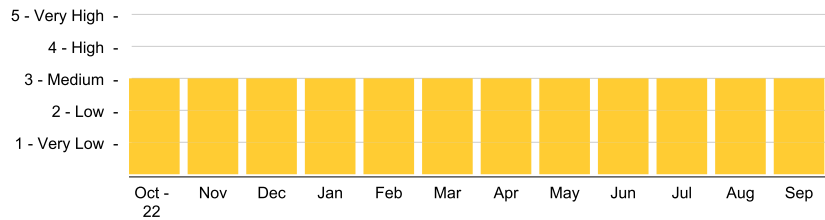
Risk Response

Treat

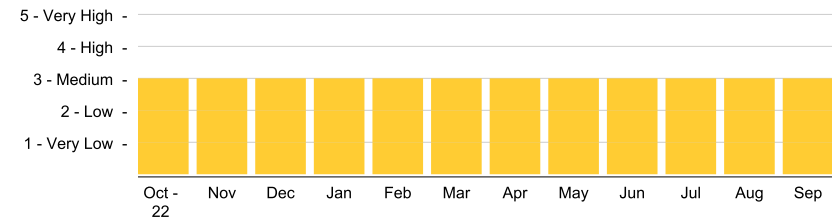
Projected Completion

31/03/2024

Current Impact : 3 - Medium



Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Health & Safety

Risk ID : 236

Description : If the Authority does not have a robust framework of Health & Safety Policies and procedures that are reviewed regularly, or in the event of significant change, it may lead to legal non-compliance, the realisation of adverse events including reputational damage, injury, financial loss and litigation by regulators.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

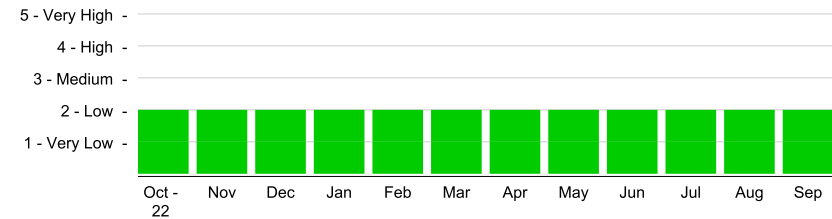
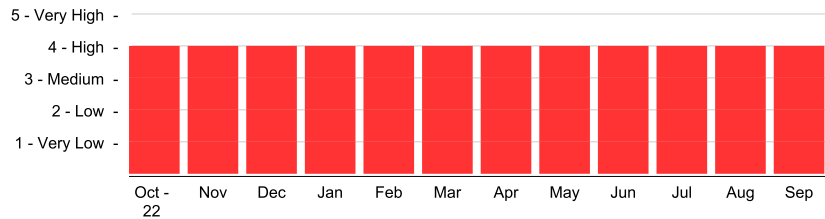
Inherent Risk : 25

Last Update : 27/10/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
	8	8	8	8	8	8	8	8	8	8	8	8

Current Impact : 4 - High

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Delivering the Regeneration Programme

Risk ID : 269

Description : If the local economy and infrastructure is not transformed and supported to be resilient to economic challenges and changes to government policy on climate change, including flood risk and associated regulatory restrictions, and does not take advantage of opportunities to attract new development and 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 citizens.

Risk Level : Corporate

Responsible Officer : Mark.Wade

Councillor : Robert Stewart

Inherent Risk : 25

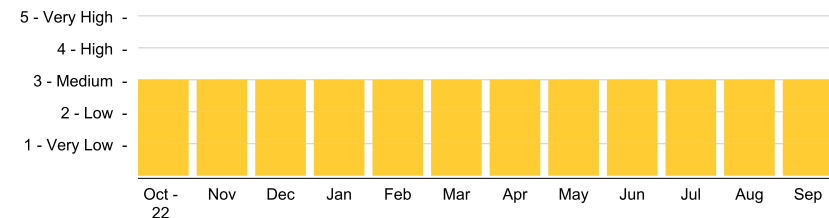
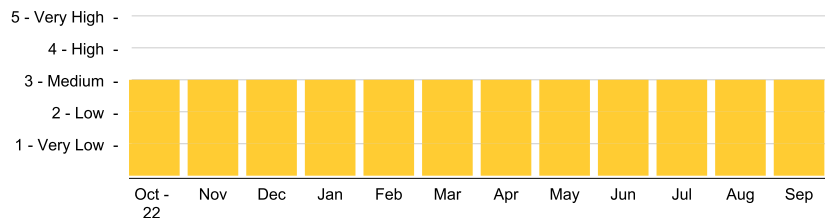
Last Update : 01/11/2023

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	9	9	9

Current Control Measures	Last Update	Risk Response	Projected Completion
Continue dialogue with Welsh Government on viability funding to support Urban Splash investment	25/09/2023	Treat	31/12/2023
Prepare and submit a LUF round 3 bid for City Centre to provide gap funding to support infrastructure and Urban Splash investment.	02/09/2023	Treat	31/12/2023
Urban Splash now appointed as long-term investment partner to deliver future phases of investment and to capitalise on the progress made via city deal projects. Initial design phases underway.	26/04/2023	Treat	31/12/2023

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 : 09/10/2023

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

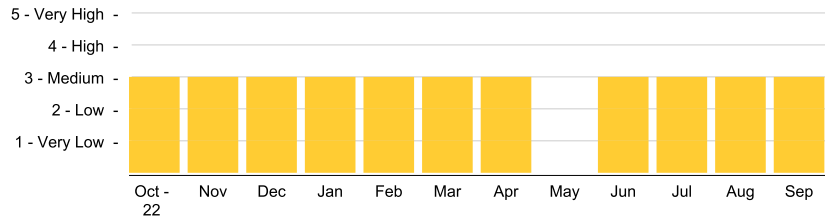
Risk Response

Treat

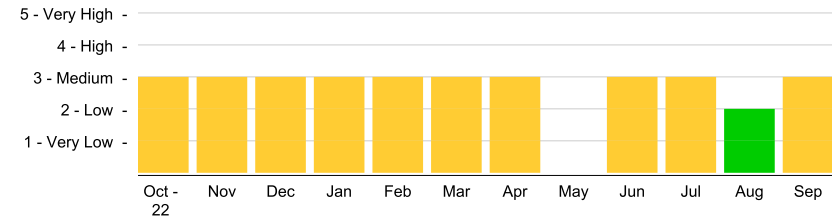
Projected Completion

31/12/2023

Current Impact : 3 - Medium



Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Cost of living crisis

Risk ID : 334

Description : If the cost of living crisis continues or gets worse, then it will lead to greater pressure on housing supply, increased housing costs, higher levels of homelessness and increased demand on housing, tenancy support, homelessness and other Council services.

Risk Level : Corporate

Responsible Officer : Carol.Morgan

Councillor : Andrea Lewis

Inherent Risk : 25

Last Update : 26/10/2023

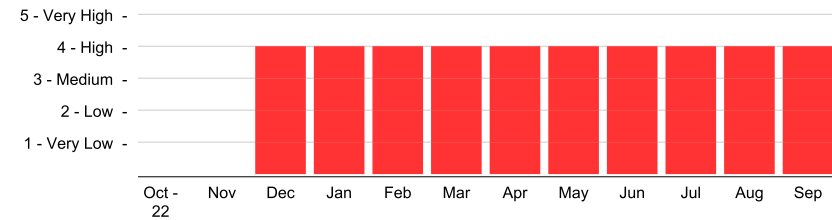
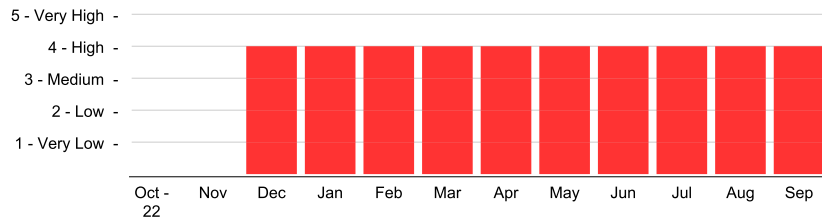
Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
			16	16	16	16	16	16	16	16	16	16

Current Control Measures

Current Control Measures	Last Update	Risk Response	Projected Completion
Lobby Welsh Government to supply more financial resources to Local Authorities to tackle the cost of living crisis.	16/12/2022	Treat	15/12/2023
increase supply of social housing via the More Homes Programme, Planning policy and indirectly through the allocation of social Housing Grant to Registered Social Landlords.	16/12/2022	Treat	15/11/2023

Current Impact : 4 - High

Current Likelihood : 4 - High



Risk on a Page

Risk Title : Workforce recruitment and retention

Risk ID : 335

Description : If the Council is not able to recruit and retain the right staff, then there may be reduced workforce capacity and capability, leading to lower staff morale and productivity, poor work quality, increased staff costs and reduced staff well-being / higher sickness rates.

Risk Level : Corporate

Responsible Officer : Rachael.Davies

Councillor : David Hopkins

Inherent Risk : 12

Last Update : 23/10/2023

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

Current Control Measures

Quarterly reporting provided to Directorates for PFM to highlight areas of concern and consider targeted approaches accordingly.

Last Update

13/07/2023

Risk Response

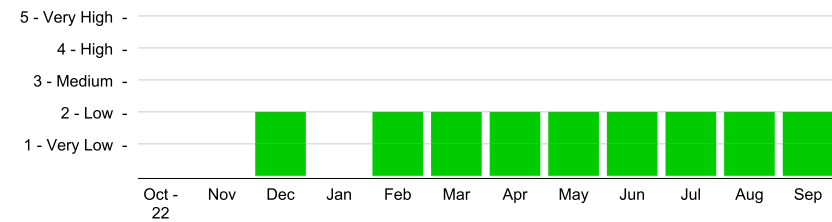
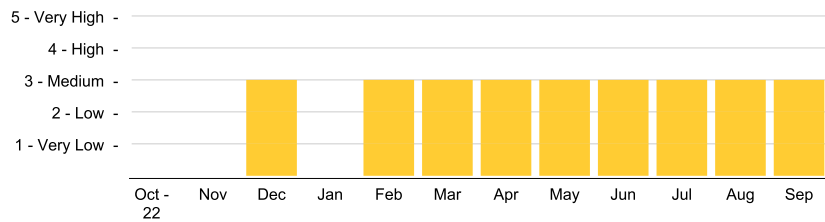
Tolerate

Projected Completion

30/09/2023

Current Impact : 3 - Medium

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Mandatory training

Risk ID : 336

Description : If the Council does not implement, monitor and ensure the completion of mandatory training, then the Council may not fulfil its statutory and regulatory obligations or ensure the safe and effective operation and delivery of services.

Risk Level : Corporate

Responsible Officer : UI

Councillor : David Hopkins

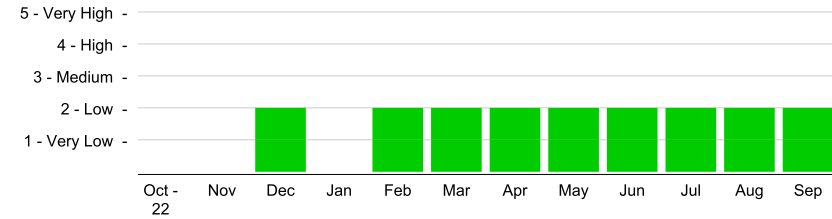
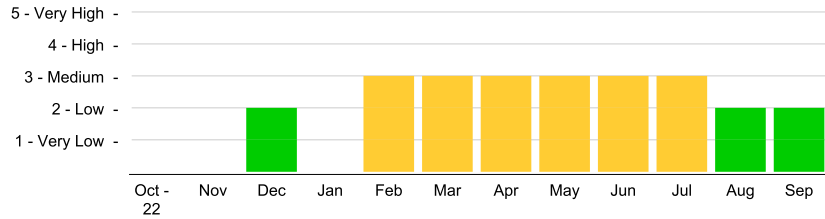
Inherent Risk : 12

Last Update : 23/10/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
			4		6	6	6	6	6	6	4	4

Current Impact : 2 - Low

Current Likelihood : 2 - Low



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

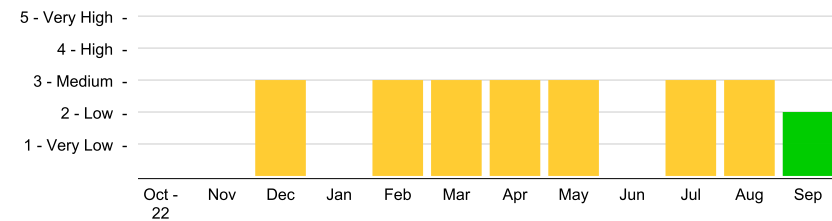
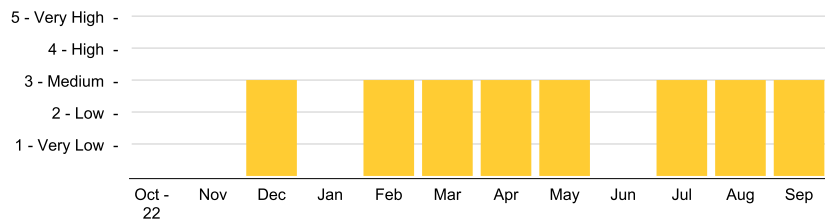
Inherent Risk : 16

Last Update : 06/11/2023

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

Current Impact : 3 - Medium

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Net Zero 2030 target

Risk ID : 338

Description : If we do not transform the Council to meet the collective net zero commitments asked of public bodies by Welsh Government at sufficient pace and scale, then there is a possibility that the net zero target will not be met by 2030.

Risk Level : Corporate

Responsible Officer : Mark.Wade

Councillor : Andrea Lewis

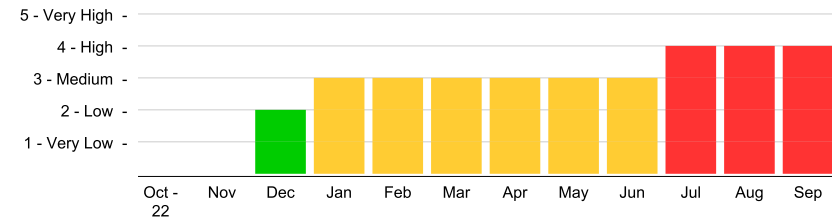
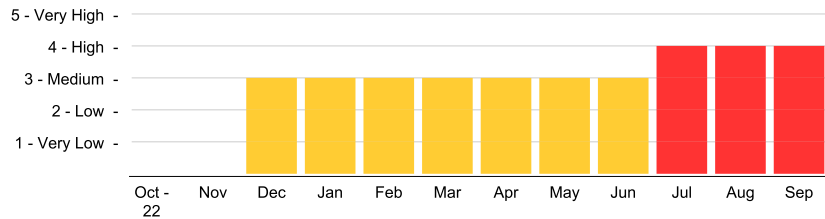
Inherent Risk : 25

Last Update : 23/10/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
			6	9	9	9	9	9	9	16	16	16

Current Impact : 4 - High

Current Likelihood : 4 - High



Risk on a Page

Risk Title : Successful and Sustainable Swansea Corporate Transformation Plan

Risk ID : 350

Description : If the council does not successfully deliver the Successful and Sustainable Swansea Corporate Transformation Plan it will struggle to deliver its wellbeing objectives and to respond effectively to the external challenges it is facing up to 2028.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : Andrea Lewis

Inherent Risk : 12

Last Update : 16/10/2023

Historical RAG :	Oct-22	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-23
								8	8	8	8	8

Current Control Measures

Transformation Delivery Board to receive quarterly progress reports on all programmes within the CTP to monitor progress and address any performance issues should they arise.

Last Update

18/05/2023

Risk Response

Treat

Projected Completion

31/03/2024

Ensure effective governance arrangements are in place and maintained to oversee implementation of the CTP and undertake annual review of arrangements in March each year to ensure ongoing suitability.

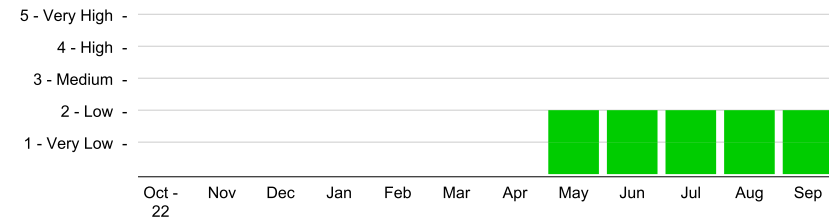
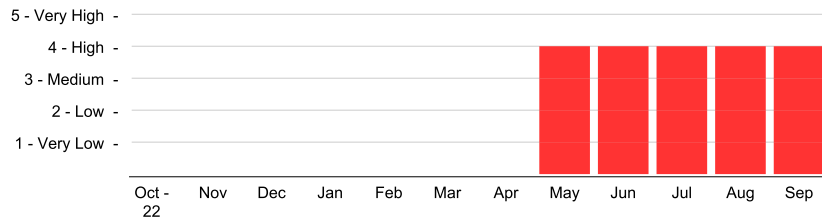
18/05/2023

Treat

31/03/2024

Current Impact : 4 - High

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Development of New Waste Strategy - Transformation Programme

Risk ID : 360

Description : If the development of a new Waste Strategy is not adequately resourced, with timely decision making, then there is a risk of the new strategy being ineffective and its implementation being delayed. This may mean the Council not meeting future increased statutory recycling targets or benefitting from financial and environmental benefits.

Risk Level : Corporate

Responsible Officer : Chris.Howell

Councillor : Andrew Stevens

Inherent Risk : **12**

Last Update : 08/11/2023

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

Current Impact :

Current Likelihood :

