

## Appendix C

### Corporate Services Risk Register Report 11/07/19

Risk Id	Risk Title	Owner	Date Last Updated	Overall RAG
CS 83	<b>ICT Disaster Recovery</b>	Sarah Caulkin	25/06/2019	A
CS 91	<b>Corporate Governance</b>	Adam Hill	24/06/2019	A
CS 92	<b>Sustainable Swansea Programme Delivery</b>	sarah caulkin	25/06/2019	R
CS 93	<b>Snap Parliamentary Election/Referendum</b>	Huw Evans	23/06/2019	A

#### CS 83: ICT Disaster Recovery

##### Risk Description:

If full DR arrangements are not in place then the Council will have no access to system in the event of a disaster which will have a significant business impact

##### Controls in Place:

1. There are reliant aspects to a number of the core systems e.g. email.
2. UPS are on all servers to eliminate the risk of power spikes.
3. Backups are taken every day and disks stored off-site.
5. New approach to improve / increase resilience and DR in Digital Strategy approved by Cabinet in January 2016. Implementation underway.
6. New storage arrays installed.
7. New hybrid cloud environment to improve resilience.

##### Actions to be taken:

Latest update June 2019:

- Audit undertaken in August 2018 with limited assurance. All actions from the recommendations now complete, Audit Committee updated.
- Information asset register created, next phase underway with asset owners.
- Plans are being developed to provide a full DR solution covering Schools and corporate services.
- ICT resilience significantly improved with implementation of digital strategy, i.e. Office 365, new infrastructure and network configuration, new storage and back-up storage.
- Project underway moving more services to cloud to improve resilience.
- ICT working with resilience staff to support services with their business continuity arrangements.
- New projects underway in 2018 as part of Digital Strategy review.
- Oil change in transformer successfully completed with no down time in November 2017.

**Owner:** Sarah Caulkin  
**Responsible Officer:** sarah caulkin  
**Current Likelihood:** Low  
**Current Impact:** Very High  
**Overall RAG Status:** Amber  
*Report Date: 11/07/2019 12:35:12*

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## **CS 91: Corporate Governance**

### **Risk Description:**

If there is not robust corporate governance then the Council is at risk of not meeting its statutory obligations

### **Controls in Place:**

- Code of Corporate Governance Framework.
- Annual Governance Statement.
- Council Constitution - procedural rules.
- Corporate Plan.
- Clear roles and decision making structures.
- Risk management.
- Financial reporting.
- Audit Committee.
- Scrutiny Committee.
- Statutory Officers.

### **Actions to be taken:**

- Risk Owner and responsibility passed to Deputy Chief Executive
- Internal audit of governance assurance rating of substantial
- Updating and reviewing the governance / assurance framework
- Updating and reviewing the Constitution (continuous)
- New tracker around finance / MTFP delivery in place and scrutinised at CMT away days
- Contract Procedure Rules (CPR) in the process of being updated
- Reviewing governance around major projects so high risk projects are visible through CMT
- Updating and reviewing Financial Procedure Rules (FPR)

MTFP agreed with finance reports also for HRA account and Capital programme agreed at Council on 28 February 2019

Deputy Chief Executive presented at the Audit committee to show the link between risk and assurance and also at Scrutiny planning meeting to help shape

AH 24/6/2019 CMT and Leadership governance review undertaken and new way of working introduced for management of agendas, schedule of business and core business items

**Owner:** Adam Hill

**Responsible Officer:** adam hill

**Current Likelihood:** Low

**Current Impact:** High

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:35:12*

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## **CS 92: Sustainable Swansea Programme Delivery**

### **Risk Description:**

If the Sustainable Swansea Programme does not deliver at the pace and scale as planned, then the Council is at risk of not meeting its financial and strategic plans

### **Controls in Place:**

- MTFP.
- Programme plan.
- Robust programme governance and reporting.
- Robust programme management for risks, issues, changes.
- Links with Corporate Governance risk around risk reporting for major projects.
- Annual programme review reflecting lessons learned into revised programme.

### **Actions to be taken:**

Latest update June 2019:

- New programme implementation underway following MTFP approval at March Council.
- New governance Re-shaping Board established, Social Services and Education presented at the second meeting.
- New online trackers developed for revenue (2019-20 budget monitoring) and capital.
- New tracker monitored at CMT away days monthly.
- Pace and scale of savings across the Council continues to be a challenge alongside growing service pressures. CMT taking remedial action to mitigate the risk.
- Programme governance and reporting reviewed.
- Tracker informs Qtrly finance reporting.
- New budget and programme review underway - this year reviewing original strategic principles and framework.
- Commissioning review progress presented to Scrutiny in December - further questions and information will be presented at April Scrutiny Performance Panel.

**Owner:** sarah caulkin

**Responsible Officer:** sarah caulkin

**Current Likelihood:** Medium

**Current Impact:** Very High

**Overall RAG Status:** Red

*Report Date: 11/07/2019 12:35:12*

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## CS 93: Snap Parliamentary Election/Referendum

### **Risk Description:**

If a snap Parliamentary Election / Referendum is called due to Brexit or other reason Then this will have a risk impact on the Team ability to deliver it without additional support. It must be delivered therefore support must be provided.

Given the ongoing situation within Political Parties and the issues surrounding a Brexit deal, there is a likelihood that a snap Parliamentary Election or Referendum could be called at short notice. The minimum time that the Government need give is 25 working days. This could place the Authority in a difficult position when looking to deliver the election due to Officer planned leave, the need to book venues (Rooms within Guildhall, Polling Stations & Count Venue), appoint and train Postal Voting Staff, Polling Station Staff, and Counting Staff etc.

### **Controls in Place:**

- The HoDS and Electoral Services Team Leader manage Officer Leave and they ensure that there is adequate cover in place for the planned period; however this could get difficult if a snap election were called.
- All additions, deletions and amendments to the Register of Electors are carried out as quickly as possible so as to ensure that as many people as possible are able to vote.
- The Electoral Services Team Leader has informed the relevant Room Booking Officers within the Authority of the potential for a snap election and for them to be prepared to cancel bookings in order to accommodate the election.
- The Head of Democratic Services formally requests additional support from the Chief Executive (Returning Officer) during such periods in order to assist with making contact with all 145 Polling Station venues in order to ensure that they are booked for the day.
- Electoral Services Team Leader / HoDS attends Association of Electoral Administrator Meetings & works closely with the Electoral Commission.
- Continue with the online training of staff system currently in place. Whilst there is a cost to this, it frees up the Electoral Services Team with the aid of the DS Team to get on with the detailed work linked to an election.

### **Actions to be taken:**

- The HoDS to ask relevant Officers to consider cancelling their leave in the event of a snap election. Consideration needs to be given to recompense any critical Officer needed to run such an election.
- In the event of a snap election, the Chief Executive should instruct those responsible for Room Bookings within the Authority, that Elections take precedence and that all bookings will be cancelled. This becomes difficult when Weddings and

other major events are being held in the Brangwyn Hall and surrounding rooms. Consideration in that event would be to utilise the LC or other Leisure Centres in Swansea.

Reviewed - The ongoing effect of Brexit and the Deal / No Deal debate continues to keep this as a very real risk. No update required on 26 November 2018

Reviewed 11/12/2018.

RR 07/01/19 - Legal & Demo Service Risk LD33 escalated to Corporate Services Directorate Risk Register as per email dated 18/12/18 from Huw Evans Head of Democratic Services.

Reviewed: 18/02/2019 - The risk remains real. We will continue to liaise with Electoral Commission etc and are ready to react. Staffing risk due to leave remains a concern.

Reviewed: 18/03/2019 - The potential of a Snap Parliamentary Election and / or a Referendum remain as real risks. There is now an additional risk, with the UK potentially having to participate in the European Parliamentary Elections on 23-26 May 2019. A European Parliamentary Election is one of the most straight forward elections to deliver as Swansea will not be the Returning Officer, therefore we will not have any links with Candidates, Ballot Paper Design or Proofing. All key venues are provisionally booked and key staff are ready to work to deliver it. Easter leave will mean some staffing difficulties but this has been factored in.

Reviewed: 16/05/2019 - No change.

Reviewed: 23/06/2019. European elections successfully delivered. Imminent Conservative Party Leadership Election. There remains high possibility of snap General Election/further referendum which is being closely monitored.

**Owner:** Huw Evans

**Responsible Officer:** tracey meredith

**Current Likelihood:** High

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:35:12*

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## People Risk Register Report 11/07/19

Risk Id	Risk Title	Owner	Date Last Updated	Overall RAG
PE 61	<b>Withdrawal or changes to grants at short notice</b>	Dave Howes	25/06/2019	A
PE 83	<b>Capacity to transform services and deliverability of budget proposals</b>	Nick Williams	29/05/2019	R
PE 84	<b>Increasing Demand for Specialist Services</b>	Dave Howes	25/06/2019	A
PE 85	<b>Workforce Planning</b>	Dave Howes	25/06/2019	A
PE 87	<b>Band B Programme funding envelope is reduced</b>	Nick Williams	14/06/2019	A
PE 89	<b>Data Breaches of Confidentiality</b>	Dave Howes	25/06/2019	A
PE 90	<b>Financial Stability of Social Care Market</b>	Dave Howes	25/06/2019	A
PE 91	<b>Insufficient Resources to support Business Case Submission and Programme delivery</b>	Nick Williams	24/05/2019	A
PE 92	<b>Specialist Provision and OOC Placements</b>	Mark Sheridan	07/05/2019	R
PE 93	<b>Accessibility Plan in light of WG guidance</b>	Louise Herbert-Evans	22/05/2019	A
PE 94	<b>Implementation of ALNET Act 2018</b>	Mark Sheridan	06/06/2019	R
PE 95	<b>Capacity for effective commissioning arrangements</b>	Jane Whitmore	18/06/2019	A
PE 96	<b>Failure to manage the provision of ALN in line with the ALN act will result in increased expenditure</b>	Mark Sheridan	19/06/2019	R
PE 97	<b>Failure to administer a multiagency approach to vulnerable learners will encounter increased resource costs</b>	Nick Williams	19/06/2019	R

### PE 61: Withdrawal or changes to grants at short notice

#### Risk Description:

If grants are withdrawn or reduced at short notice, then there are additional costs to the Council as well as planning challenges for reduction in service delivery.

#### Controls in Place:

All services areas are profiling for loss of grants and developing a plan of action for this. HR process and consultation period arrangements are being negotiated with unions to enable managers to give contractual notice period only. Regular liaison with Welsh Government is taking place to identify potential loss of grants at an early

stage. Existing overspends plans are in place, and will be reviewed at quarterly reporting stage. Some areas are already making reductions in anticipation of WG grant cut.

Grant applications are considered carefully and rejected if the terms and conditions are too restrictive.

Corporate Finance are advising departments about the need to comply with Council procedures. This has had a particular focus on the requirement for NGAs and ensuring grants with a value of £75k and above are considered by External Funding Panel.

Models of delivery are reviewed where grants are removed e.g. EMAU.

**Actions to be taken:**

Continued monitoring of grants - ongoing

Profiling of potential grant reduction - ongoing for different areas

Managers preparing for a future with no ring fencing of grants, in case these are included in the overall Revenue Support Grant.

Continue monitoring and continued pressures as a result of budget announcement October 2018

Three year budget strategies in place for all services

Commissioning groups have been set up for the new 'Super Grants' within Social Services and Housing.

Delegated powers report setting out new integrated infrastructure for commissioning across 'people' services due in June 2019

Updated 25 June 2019 - David Howes, Director of Social Services

**Owner:** Dave Howes

**Responsible Officer:** david howes

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:38:54*

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**PE 83: Capacity to transform services and deliverability of budget proposals**

**Risk Description:**

IF we do not have sufficient capacity to transform services THEN we will not be able to effectively manage service pressures and so deliver budget targets

**Controls in Place:**

29/05/19:

Regular reporting on budget proposal tracker to PFM

Proposals developed in good time for agreement with Cabinet

Cabinet Members well briefed on the issues and decisions that will need to be taken

Where ever possible capacity for invest to save opportunities built into budget plans

in some areas

Improvement Plans in place for all service areas

Quarterly budget monitoring in line with PFM cycle

National education grants are being rolled into a single Regional Consortium School

Improvement Grant and its value is being reduced. Continuing engagement with

stakeholders about funding prospects continues through Education Strategy Group

and Schools Budget Forum.

Continuing work to, as far as possible, deliver required MTFP savings targets over next three years.

**Actions to be taken:**

29/05/19 - Budget tracker, outturn variances and continuing service pressures reported to PFM on a monthly basis. Whilst specific savings proposals remain deliverable the scale of continuing unfunded pressures on demand led and inherently volatile service budgets presents a considerable challenge and almost certainly a budget overspend.

Budget Tracker in development, should be complete and in PFM reporting by April 2018

recruitment of Invest to Save capacity by June 2018

13/11/18 - Colin Goddard Changed the responsible officer from Chris Sivers to Nick Williams (Director of Education) to fall in line with organisational restructure. Future Updates will be given by Nick Williams.

Service plans completed.

Savings targets still deliverable but external and unforeseen pressures may delay delivery of targets.

External statutory pressures are now creating a risk of overspends in other areas particularly out of county/independent placements and recoupment as well as support for severe and complex needs.

ERW Directors and joint council agreed in principle greater transparency of distribution based on purpose rather than historical precedent.

**Owner:** Nick Williams

**Responsible Officer:** nick williams

**Current Likelihood:** High

**Current Impact:** High

**Overall RAG Status:** Red

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## PE 84: Increasing Demand for Specialist Services

### Risk Description:

IF we cannot predict and reduce demand effectively THEN specialist services will struggle to cope and there will be insufficient resources to meet that demand

### Controls in Place:

Predictive modelling taking place for some services  
Prevention Strategy agreed  
Budget savings tracker in preparation for reporting to PFMs

### Actions to be taken:

Implementation of commissioning strategies to ensure supply matches demand.  
Completion of commissioning reviews for LD, MH and YAPD services to ensure adequate sustainable services (All options appraisals to be finalised by January 2020).

Implementation of commissioning review options for OP res care to develop more specialist internal services for older people.

Updated 25 June 2019 - David Howes, Director of Social Services

**Owner:** Dave Howes

**Responsible Officer:** david howes

**Current Likelihood:** Medium

**Current Impact:** High

**Overall RAG Status:** Amber

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## PE 85: Workforce Planning

### Risk Description:

IF we do not predict the needs of the workforce of the future THEN we will have experience skills and resourcing gaps that will lead to additional demand and overspending on budgets.

### Controls in Place:

- Senior Workforce development group (SWFDG) in partnership HR established to produce clear data sets to understand workforce current future needs
- Improvement plan for Child and family services that link workforce-planning needs throughout to ensure a skilled, qualified and experienced workforce.
- Transformation Plan for Adult services in place, outlining what will be required to achieve change.

- Preparation of workforce in readiness for legislative and regulatory changes. All roles have been mapped and plans in place in readiness for the All Wales induction Framework for our registered services
- Interim Training Needs Analysis and Workforce Plan is in place.
- Improvement program for skilled workforce in place for Child and family Services
- SCWWDP – financial application for 2019/20 has been completed and letter of confirmation received
- Agreed Practice Frameworks for both Child and Family and Adult Services

**Actions to be taken:**

- Identify reporting mechanisms, which must include and incorporate a performance framework this work is ongoing with SWFDG
- Conclude a performance framework and ensure it is embedded within services – Ongoing
- The development of marketing opportunities in social care
- Work force structure and data cleanse linked to the work force development plan.- Ongoing work with SWDG
- Role profile linked to qualification framework and CPD for all social care staff ongoing
- Development of system to ensure verified qualification review
- Production of training hub project plan
- Communication strategy specific to workforce planning to be developed.
- Completion of the SCWWDP Circular application for 2019/20 to be completed mid-February – completed and funding received

Updated 25 June 2019- David Howes, Director of Social Services

**Owner:** Dave Howes

**Responsible Officer:** david howes

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:38:54*

**PE 87: Band B Programme funding envelope is reduced**

**Risk Description:**

IF we are unable to gain approval to detailed business cases and timely access to the full funding envelope approved in principle by WG THEN the investment in schools capital will not address all the identified priority needs.

**Controls in Place:**

- Robust governance arrangements for Band B
- Coherent and consistent County-wide strategy and detailed plans for early investment priority areas
- Continuing constructive engagement with WG officials

- CMT is ensuring oversight of the programme

29/05/19: Control measures reviewed and remain appropriate.

**Actions to be taken:**

29/05/19: Continuing positive progress to develop detailed business cases for WG approval and deliver early priority capital investment areas. Concerns have been consistently raised regarding the capacity of teams across the Council to deliver the scale of capital investment to the required timescales.

- Sufficient capacity and resourcing to inform business cases and then deliver approved schemes
- Detailed business cases submitted and approved by WG in line with indicative delivery timescales
- Contingency 'plan B' in respect of specific investment areas where WG funding support is potentially wavering (e.g. Special Schools)

06-09/18: Risk amended to reflect progress on Band B since the original risk was identified. No changes to RAG status.

**Owner:** Nick Williams

**Responsible Officer:** nick williams

**Current Likelihood:** Low

**Current Impact:** High

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:38:54*

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## **PE 89: Data Breaches of Confidentiality**

**Risk Description:**

Data breaches.

**Controls in Place:**

Adult Services Action Plan and Child and Family Services Action Plan to counteract breaches and to prevent them taking place.

A Data Protection Impact Assessment (DPIA) has been completed

PO for Resources attends all breach panels and communicates lessons learned.

Communication on keeping data safe has been circulated via May's edition of the staff newsletter in both Adult & Children's Services.

**Actions to be taken:**

DPIA has been completed along with a process for sending mail. Next steps are to

roll out communication/training workshops.  
Changes in processes agreed via Panel to be incorporated into guidance for staff with master copy held by PO Resources.  
Practice guidance being developed for Social Work Staff to be discussed at SMT June 2019  
Working Group to be formed to plan formal training.

Exercise being undertaken to ensure all managers have completed the GDPR compliance checklist and that all systems holding personal data are on the Information Asset Register by the end of June 2019

Updated 25 June 2019 - David Howes, Director of Social Services

**Owner:** Dave Howes  
**Responsible Officer:** Sonia Miles  
**Current Likelihood:** Very Low  
**Current Impact:** Very High  
**Overall RAG Status:** Amber  
*Report Date: 11/07/2019 12:38:54*

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## **PE 90: Financial Stability of Social Care Market**

### **Risk Description:**

If there is financial instability within the care home and domiciliary care provider market, then there will be a serious threat to the capacity, choice and quality of services available to citizens and to vulnerable adults to help them to remain at home or in a home of their choice

### **Controls in Place:**

Discussions/meetings held with service providers at risk.

Liaison with Corporate Procurement/Legal/Finance teams.

Packages of care reallocated to alternative service providers, when risks identified relating to the stability of Domiciliary Care providers.

Monitoring visit with all service providers covering regulations/contract specification standards/business plans/financial risk/financial systems.

### **Actions to be taken:**

To develop Swansea's market position through West Glamorgan Health and Social Care programme, and through the work of a Category Hub, as part of Sustainable Swansea - Fit For The Future programme.

Termination of contracts with named providers where quality standards are not consistently met or financial due diligence is not found. In some cases this includes

reallocation of some packages of care, rather than complete termination of the contract to help stabilize the provider.

Under Sustainable Swansea-Commissioning reviews of Domiciliary Care, Residential Care, and Day Services in Swansea. A re-commissioning process is underway. This involves creating zones across the county to encourage a more even distribution of services and an optimal number of supported living and domiciliary care service Providers. This will help to build stability in the sector (contract awards scheduled for first of October 2019)

Undertaking review of fee rates of care homes to ensure that rates paid can sustain services and cover costs.

A standard approach to annual costs review is being developed to ensure services are sustainable across adult services. This involves assessing impacts of NLW and other inflationary pressures to ensure fees paid cover these cost pressures.

Adult Services Improvement Plan - longer term plan to develop around process going forward.

Updated 25 June 2019 - David Howes, Director of Social Services

**Owner:** Dave Howes

**Responsible Officer:** david howes

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:38:54*

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## **PE 91: Insufficient Resources to support Business Case Submission and Programme delivery**

### **Risk Description:**

IF there are insufficient resources within other areas of the council (IT/Legal/Estates /CBPS etc.), THEN there is a risk that processes and/or timelines slip and/or PMs are not provided with sufficient information to support Business case submission and programme/project delivery.

### **Controls in Place:**

Transferred to service risk ED51.

Escalated to Directorate risk register at Education PFM on 20/11/17 due to the resources required from other services/directorates.

08/03/19: Re-instated as Directorate Risk

24/05/19: Following formal escalation of concerns by QED Programme Board and Delivery Group the Department is continuing to seek actions to effectively mitigate the risks and potential implications to programme delivery in discussion with relevant teams across the Council. Actions will be taken to seek to address capacity constraints within the Department through filling of vacant posts and wider departmental reviews.

**Actions to be taken:**

24/05/19: Discussions are continuing with relevant teams across the Council to seek appropriate action to address capacity issues across the Council. Further action will be taken to address capacity constraints within the Department through filling of vacant posts and wider departmental reviews.

**Owner:** Nick Williams

**Responsible Officer:** brian roles

**Current Likelihood:** Medium

**Current Impact:** High

**Overall RAG Status:** Amber

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## **PE 92: Specialist Provision and OOC Placements**

**Risk Description:**

If there continues to be a shortfall in specialist in county placements for pupils with moderate to profound and complex difficulties including ASD then the department will face escalating costs to place out of area or escalating home education placements and provision or overspend of the severe and complex needs budget.

A lack of in-county placements is reducing parents' confidence of in-county provision as well as calls from STFs for extra funding to meet the complexity of needs. There will continue to be significant pressure on the out of county and recoupment budgets which will be difficult to mitigate.

**Controls in Place:**

Escalated from Service Risk ED36 linked to EDR044

The LA is looking to increase recoupment charges in line with updated S.52 statement and including admin charges.

Band B proposals submitted for a new special school submitted although these are now likely to be pushed back to Band C.

3 x new ASD STFs due to open opened in Jan 2018

Further proposals increase further specialist provision capacity being drafted for approval at SLB and Cabinet/Council now subject to consultation.

**Actions to be taken:**

02.05.19

Capacity issues are hampering progress. Paper to restructure ALN services presented to CMT.

06/18:

Alison Lane added as responsible officer following appointment as Head of ALNU. Mark Sheridan remains risk owner as Head of Service.

- Renewed bid to transformation grant to increase/enhance capacity building activity over the next two years.
- In medium term increase STF places by re-designating current STFs, increasing number of STFs for MLD and ASD. In long term build new special school as part of Band B. The development of outreach support will help to mitigate risk. Seek to ensure ABA providers are quality assured.
- ALN Strategy to map need and provision.

12/17: In short term use innovation funding to provide outreach capacity from special schools. Identify good practice in specialist provision and provide funding to release staff from specialist provision to help with the monitoring. Develop a monitoring and evaluation framework which enables the LA to review specialist provision on an annual basis.

In short term more closely manage severe and complex needs budget and increase places in Pen-y-bryn and current STFs. In medium term increase STF places by re-designating current STFs, increasing number of STFs for MLD and ASD. In long term build new special school as part of Band B. The development of outreach support will help to mitigate risk. Seek to ensure ABA providers are quality assured.

11/17: Finalise specialist provision and special school paper. Continue with Band B proposal process. Bring STFs online

**Owner:** Mark Sheridan

**Responsible Officer:** Alison Lane (Edu)

**Current Likelihood:** High

**Current Impact:** High

**Overall RAG Status:** Red

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**PE 93: Accessibility Plan in light of WG guidance**

**Risk Description:**

If the Plan is not updated this year then the LA is liable to Equality Act discrimination appeals or Ombudsman complaints

**Controls in Place:**

22/05/19:

- Review and update Accessibility Strategy
- Carry out condition surveys
- Identify lead officer

**Actions to be taken:**

22/05/19:

New risk

**Owner:** Louise Herbert-Evans

**Responsible Officer:** louise herbert-evans

**Current Likelihood:** High

**Current Impact:** Medium

**Overall RAG Status:** Amber

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**PE 94: Implementation of ALNET Act 2018****Risk Description:**

The new ALNET Act 2018 has significantly widened the potential statutory demands on LAs and increased the likelihood of escalating appeals for assessment and provision from a wider group of stakeholders.

If the confidence of parents and schools is not improved then the LA will face increasing costs awarded against it by Tribunal if the LA is not supported to oppose the appeals legally and otherwise.

The number of statements of special educational needs is proportionately the highest in Wales and is currently increasing. Statutory PIs are, therefore, deteriorating due to capacity within the LA to manage the volume of work. Inclusion of actual levels of statements and statement resource in the formula used to delegate the severe and complex needs budget has introduced a perverse incentive that may encourage schools to maintain statements and seek new statements.

The implementation of the ALNET Act by September 2020 is compromised by the lack of capacity at strategic levels in the ALN Unit due to the high level of operational management required. If these capacity issues are not resolved then there is a risk to the LAs reputation and consequent financially damaging legal actions because of the statutory nature of the reform.

05/06/19: If we do not get sign up from other key stakeholders with regard to their responsibilities to identify need and secure provision it is likely the local authority will not meet its statutory obligations with regards to the ALNET Act and face significant cost implications.



**Controls in Place:**

05/06/19: Review existing ALN Strategy and Implementation Plan.

- Engaging with parents and key stakeholders through the commissioning review.
- Working with schools with regard to the funding formula
- Working group set up to look at the funding formula.
- There are robust decision making and moderation processes in place for starting statutory assessments and stating levels of provision in statements.
- Proposals for addressing the staffing capacity issues are being presented to SLB.
- New models of service delivery being developed to clarify the provision offer and make it more flexible and targeted.
- Training in person centred approaches is being secured

**Actions to be taken:**

06/06/19 - Escalated from service risk register due to Likelihood and Impact being revised to very high.. Previously ED35. Moved by administrator CRG

05/06/19:

- ALNU structure approved in principal.
- Attendance at ALN leads meetings.
- Judicious use of transformation grant funding to support training and engagement events with regard to the Act and Draft Code.

06/18

Alison Lane added as responsible officer following appointment as Head of ALNU. Mark Sheridan remains risk owner as Head of Service.

- Commissioning Review completed and changes in staffing structures agreed and in the process of implementation, although there are issues with recruitment to key posts.
- Joint working group to look at formula funding set up but progress is slow
- PCP training will be part of the regional implementation plan
- Outreach services commissioned using innovation funding to build school capacity.
- Panels already provide robust decision making and moderation. However, lack of capacity to oppose appeals to Tribunal and volume of tribunal appeals have mitigated against this action.
- ALN Strategy to be developed.
- Website ad online presence requires improving
- Parent partnership/Early disagreement/dispute resolution processes and services require developing.

12/17:

- Careful management of decision and moderation processes including Panels.
- Meetings arranged with head reps to discuss this issue and review formula prior to ALNET Bill implementation.
- Need to look at wordings on Statements.

11/17:

- Conclude the commissioning review options appraisal
- Implement models of service delivery and commissioning review options
- Conclude negotiations with regard to funding formula
- Continued engagement with parents, carers, children and young people with regard to implementation
- Develop a communication plan and strategy as well as training for ALNET implementation

**Owner:** Mark Sheridan

**Responsible Officer:** Alison Lane (Edu)

**Current Likelihood:** Very High

**Current Impact:** Very High

**Overall RAG Status:** Red

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## PE 95: Capacity for effective commissioning arrangements

### **Risk Description:**

If there is insufficient capacity for decommission and re-commissioning arrangements remain a risk in terms of compliance with CPRs, effective draw down of funding to comply with T&Cs and timing of the commissioning cycle to allow for a co-productive approach

### **Controls in Place:**

A cross directorate review has taken place into commissioning, seeking to establish sufficient capacity to support services in the future.

Areas for development which will add value and make arrangements more robust and fit for the future challenges have been identified

Governance arrangements are confirmed via the People Commissioning Group for oversight and decision making.

### **Actions to be taken:**

An action plan is in place outlining the areas for development and how these will be progressed across the directorate. These include areas such as strategic partnerships, co-production, WG alignment of grant funding, contracts and monitoring, the procurement process and potential budget savings and governance.

Planning for structural changes will take place by June 2019 and then a further review of capacity once all teams have been brought together

Updated 18.06.19 - Moved to a Directorate Risk from Pov 14

**Owner:** Jane Whitmore

**Responsible Officer:** david howes

**Current Likelihood:** Medium

**Current Impact:** High

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:38:54*

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**PE 96: Failure to manage the provision of ALN in line with the ALN act will result in increased expenditure**

**Risk Description:**

The ALN Act extends the local authority's responsibilities for identifying ALN and securing additional learning provision (ALP) to the age range of 0-25. Currently it is not clear if there is sufficient provision across the authority to meet the additional learning needs for learners aged 0-3 and 16-25 with severe and or complex needs. IF there is insufficient provision available to meet identified additional learning needs in these age ranges THEN it is likely the authority will face increased costs due to the use of independent placements and provision which the local authority will be required to secure under the new legislation.

**Controls in Place:**

We need to map additional learning needs for the 0-3 and post 16 age ranges as well as the provision that is available across the Authority offered by Health, Social Services, Education and the third sector as well as non-maintained settings.

To work with local FE colleges to improve the capacity for them to include learners with more severe and complex needs as part of their Post 16 offer. Work with Early Years non-maintained settings as well as central Early Years teams and flying start to enable early identification and increased capacity to meet needs in an integrated way.

Further details are set out in the ALN Strategy and Implementation Plan.

**Actions to be taken:**

19/06/19: New risk escalated from Education PFM 17/06/19.

**Owner:** Mark Sheridan

**Responsible Officer:** Alison Lane (Edu)

**Current Likelihood:** High

**Current Impact:** High

**Overall RAG Status:** Red

*Report Date: 11/07/2019 12:38:54*

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## PE 97: Failure to administer a multiagency approach to vulnerable learners will encounter increased resource costs

### Risk Description:

There are a significant cohort of learners with severe, complex and challenging needs who are proving difficult to place within the County and also out of County or in independent provision. IF the local authority cannot find a multi-agency integrated response to meet the needs of these learners THEN it will face increasing statutory costs, accommodation, and placement out of county which will have an impact on current corporate priorities such as the safe LAC reduction strategy.

### Controls in Place:

Within authority multi-agency task and finish group needs to be formed to generate solutions and implementation plan.

### Actions to be taken:

19/06/19: New risk escalated from Education PFM on 17/06/19.

**Owner:** Nick Williams

**Responsible Officer:** mark sheridan

**Current Likelihood:** High

**Current Impact:** High

**Overall RAG Status:** Red

*Report Date: 11/07/2019 12:38:54*

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## Place (Finance) Risk Register Report 11/07/19

Risk Id	Risk Title	Owner	Date Last Updated	Overall RAG
PL FIN 2	<b>Building Maintenance</b>	Nigel Williams	26/06/2019	A
PL FIN 12	<b>Welfare reform</b>	Jane Harries	07/06/2019	A
PL FIN 16	<b>Disabled Facilities Grant - Performance and Budget Spend</b>	Mark Wade	07/06/2019	A
PL FIN 17	<b>Loss of expertise due to reduction in Capital Funding</b>	Stuart Davies	24/06/2019	A

### PL FIN 2: Building Maintenance

#### Risk Description:

Given the current condition of our building assets and the available revenue maintenance budget, there is significant risk that the demand will outstrip available

budget. As we move forward the ability for us to add to the budget will not exist with other measures to reduce by the required 20%. As part of 'Sustainable Swansea' it is recognised that should the CCoS reduce its asset register, savings could be realised from the revenue maintenance budget. This has been factored within future CB&PS savings.

To ensure we manage within the available budget there needs to be a reduction within the asset portfolio.

### **Controls in Place:**

Maintain prioritisation of annual budget to facilitate statutory compliance programme. Programme identified within service priorities with progress reviewed on a quarterly basis. To ensure that the Authority is fully compliant, as we (CCoS) have a legal obligation under British and European law.

That appropriate measures are adopted to ensure the safety of all staff and visitors within any assets owned by the CCoS. Specific procedures to ensure compliance to include: Electrical testing programme, Asbestos revisit programme, servicing of mechanical and electrical systems, glass filming programme etc.

A statutory compliance Strategy had been developed and implemented to ensure the Authorities position is protected.

Capital maintenance budget identified for priority matters.

Additional one off capital budget made available for school's AMP, which will target areas of high risk. This will support issues of business continuity etc.

Review overall asset base as part of asset management plan.

Maintain existing budget. Work within agreed criteria as agreed by Exec Board.

Close liaison with relevant HoS to maintain communication of potential risk.

Continue with risk based approach with prioritisation of budget i.e. target 'D' rated building elements.

Maintain SLA's in respect to condition data and regime of building inspections.

[Updated Aug 2016]

(No further update 18th October 2016 - RL)

(No further update 14th Nov 2016 - RL)

(No further update 12th December 2016 - RL)

(No further update 23rd Jan 17 - RL)

(No further update 28th Feb- RL)

(No further update April 10th - RL)

(No further update 18th May - RL)

(No further update 19th June - RL)

(No further update 24th July - RL)

(No further update 22nd August - RL)

(No further update 17.9.17 - RL)

(No further update 11.10.17 - AS)

(No further update 17.1.18 - AS)

(No further update 28.2.18 - RL)

(No further update 20.3.18 - RL)

(No further update 23.5.18) RL

(No further update 18.6.18) RL

Removal of Leisure Centres and Plantasia will help but as the budget has already

been taken in previous years there us still a risk. 25.7.18

As above - Transfer of ownership 1.10.18 16.8.18

(No further update 19.9.18) AS

No further update 14.11.18 RL

Plantasia transferred 1st of March, LC's all transferred, still concern in relation to the level of cuts to the budget which is not in line with the number of buildings being closed.

**Actions to be taken:**

Removal of Leisure Centres and Plantasia will help but as the budget has already been taken in previous years there us still a risk. 25.7.18

As above - Transfer of ownership 1.10.18 16.8.18

(No further update 19.9.18) AS

No further update 14.11.18 RL

Plantasia transferred end of April, LC's all transferred, still concern in relation to the level of cuts to the budget which is not in line with the number of buildings being closed.

Further reductions in the budget will have a serious impact on the service we deliver. Year end figures not as bad as expected, many changes have been made and some assets removed allowing for a balanced budget at year end.

Any further reduction in the budget will have serious consequences in relation to the service that we can provide.

**Owner:** Nigel Williams

**Responsible Officer:** nigel williams

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:42:10*

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**PL FIN 12: Welfare reform**

**Risk Description:**

Reduction in the amount of rent being collected as consequence of Welfare Reform changes, impacting on income to the Housing Revenue Account.

Welfare Reform changes introduced in recent years, including the removal of the single room subsidy (bedroom tax), Universal Credit (UC) and the Benefit Cap are all having an impact on the collection of income resulting in increasing arrears.

In December 2017 the DWP will migrate Swansea to a full digital service area. One of the biggest impacts of this will be an increase in the number of UC claimants, meaning they will receive their housing costs direct once a month and their rent will no longer be paid to the Council weekly through housing benefit. In addition in December 2017 18-21 year olds will no longer be automatically entitled to receive housing costs unless they fall into and are exempted category. Collectively all the

changes highlighted along with the financial pressures generally being experienced by Council tenants will make income collection extremely challenging in the years ahead.

**Controls in Place:**

Welfare Reform changes introduced in recent years, including the removal of the single room subsidy (bedroom tax), Universal Credit (UC) and the Benefit Cap are all having an impact on the collection of income resulting in increasing arrears.

Swansea migrated to a full digital service area in December 2017. The biggest impact of this has and will continue to be the number of UC claimants receiving their housing costs directly on a monthly basis. The changes, along with the financial pressures generally being experienced by Council tenants, will make income collection extremely challenging in the years ahead, subsequently impacting on the business plan.

**Actions to be taken:**

A working group is in place to assess the impact of Welfare Reform and this meets on a quarterly basis. Universal Credit has now been introduced and the rent accounts of those being affected are being closely monitored every week.

In relation to arrears, these are being robustly monitored and appropriate action is being taken.

November Update - No new issues, arrears continue to be monitored. The next Welfare Reform Working Group Meeting is on January 26th.

December Update - no further updates.

January Update - Welfare Reform Working Group meeting is now scheduled for Jan 28th , further information regarding the impact of Welfare Reform will be reported to the group.

December Update - No further updates required

January - meeting of the Welfare Reform Officer impact group planned in February

February Update - Welfare Reform Officer Working Group met and discussed the latest impact statistics for the Authority.

March - No further updates required.

April - No further updates required.

May - no further updates

June/July - Officer working group continues to meet on a regular basis to review the current situation

August - no further updates

September - An officer group has been set up involving senior managers, to look at the options open to address specifically the changes being introduced which will affect the under 35s via the introduction of shared room rates.

October - no new updates available

Nov/Dec - no further updates

January - Corporate research project into the likely affects of Welfare Reform in Swansea to be commissioned.

Feb - no further updates

March - no new updates

April - no new updates

May - no new updates

June - no new updates

July - no new updates

August - no new updates

September - no new updates

October - results from the Universal Credit pilot Authorities in Wales being analysed

November - no new updates

December - Universal Credit introduced in Swansea on December 13th with its impact to be analysed.

January - 121 tenants now affected by Universal Credit, impact to be closely monitored

February - further increase in tenants receiving Universal credit

March - no further updates

April - no further updates

May - the impact of UC is increasing at a significant rate, there are over 1200 tenants now claiming UC credit and this is impacting on rent arrears. Analysis of the impact is on-going.



June - numbers of people on UC steadily increasing

July - Arrears have increased 595K in last 7 months and much of this can be attributed to Universal Credit

August - impact still being monitored

September - report taken to Housing Futures Programme Board outlining possible impact of Universal Credit on the HRA in future.

October -Arrears have increased by 678k in the last 10 months. Current working practices within the Rents Team are in the process of being reviewed in order to ensure that collection and recovery processes are robust and effective.

November - Impact continues to be monitored

December - no new updates

January - no new updates

Feb - no new updates

March - no further updates

April - The impact on Welfare Reform (particularly UC), continues to have a significant impact on rent arrears. Officers continue to support tenants whilst robustly following procedures, and in April the team was reorganised to ensure we continue to meet the challenges of arrears recovery.

May - no new updates

June - no further updates

**Owner:** Jane Harries

**Responsible Officer:** jane harries

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:42:10*

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## **PL FIN 16: Disabled Facilities Grant - Performance and Budget Spend**

### **Risk Description:**

Failure to meet Disabled Facilities Grant (DFG) performance and capital budget spend targets for 2019/20

**Controls in Place:**

Various monitoring systems in place to measure performance and spend within Housing. Regular meetings held at operational level to monitor Occupational Therapy performance within Social Services.

**Actions to be taken:**

A Batch of DFG referrals are to be issued to an OT staffing agency due to resource issues in the OT team. Direct recru of OT staff employed by Housing will follow thereafter in an attempt to maximise long term performance and reduce DFG waiting times for the medium to the long term. Regular updates to P&FM to be given.

November Update - work has now been issued to an O.T agency and 1.5 new OT staff have been recruited by the Council. The agency work will help insure capital DFG spend by the end of the year and the recruitment will help build commitment for 2016/17 spend.

December Update - no new updates required.

January Update - new OTs now in post

February Update - underspend for 2015/16 now projected and P&FM have been informed however the appointments of the new OTs will ensure greater spend in 2016/17.

March - no further issues.

April - no further issues

May - no further issues

June/July - performance improving however further improvements required with regard to the speed of the process. A meeting with Social Services has been arranged to look at the issues.

August - no further updates

September - further changes/plans to increase available OT resources to be taken to CMT in the Autumn.

October - no further updates.

November - changes to procedures being discussed with Social Services

December - further OTs being recruited as part of the on-going structural changes to the OT service.

January - No further update available

Feb - no further updates

March - no new updates

April - no new updates

May - The OT service are exploring procedural changes to the way they operate which could be beneficial to the DFG process.

June - no new updates

July - no new updates

August - no new updates

September - no new updates

October - no new updates

November - New monitoring system in place with social services to ensure numbers of assessments required each month are maintained

December - No further updates

January - no further updates

February - no further updates

March - no further updates

April - no further updates

May - no new updates

June - no further updates

July - no new updates

August - no further updates

September - no further updates

October - no further updates

November - no further updates

December - no new updates

January - no new updates

Feb - no new updates

March - no further updates

April - no new updates

May - no new updates

June - no further updates

**Owner:** Mark Wade

**Responsible Officer:** mark wade

**Current Likelihood:** Low

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:42:10*

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## **PL FIN 17: Loss of expertise due to reduction in Capital Funding**

### **Risk Description:**

All technical staff are fee earning. Therefore, with loss of income there is insufficient funding to pay salaries and staff (knowledge and experience) will be lost. These staff play an integral part in supporting the regeneration of the city centre.

### **Controls in Place:**

Advanced forecasting of future workload, plus diversification of skills to meet peaks in workload. Opportunity to engage with TFW

### **Actions to be taken:**

Actions to be taken: Collaboration with Regeneration to develop successful grant bids to support future workloads. Contingency plan to be put in place to retain key staff members should external grant funding streams cease.

No further update 26/03/18

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

No further update 08/01/19

No further update 14/02/19

No further update 22/03/19

No further update 17/04/19

No further update 16/05/19

No further update 24/06/19

**Owner:** Stuart Davies

Responsible Officer: mark thomas

Current Likelihood: Medium

Current Impact: Medium

Overall RAG Status: Amber

Report Date: 11/07/2019 12:42:10

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## Place (General) Risk Register Report 11/07/19

Risk Id	Risk Title	Owner	Date Last Updated	Overall RAG
PL GEN 5	<b>Housing Risk S: Inadequate supply of housing to meet needs</b>	Mark Wade	07/06/2019	R
PL GEN 6	<b>Housing Risk W: Failure to meet the Welsh Housing Quality Standard</b>	Mark Wade	10/06/2019	A
PL GEN 45	<b>Highways-Failure to adequately maintain structural integrity of Highway Assets</b>	Stuart Davies	24/06/2019	A
PL GEN 81	<b>Failure to deliver the infrastructure to support the City Bay Region's Economic Regeneration Strategy</b>	Stuart Davies	24/06/2019	A
PL GEN 91	<b>Major Transport Provider Ceases Trading</b>	Stuart Davies	24/06/2019	A
PL GEN 95	<b>Service Failure of Vehicle Fleet</b>	Stuart Davies	24/06/2019	A
PL GEN 97	<b>Services in the community</b>	Geoff Bacon	21/05/2019	A
PL GEN 99	<b>Inability to undertake food standards and low level food premises inspections</b>	Lynda Anthony	26/06/2019	A
PL GEN 100	<b>Swansea's natural resources and biodiversity</b>	Paul Meller	22/03/2019	A
PL GEN 101	<b>Backlog in low risk food safety /hygiene inspections</b>	Mark Wade	10/06/2019	A
PL GEN 102	<b>Loss of Trees due to Ash Die Back</b>	Chris Howells	27/06/2019	R

### PL GEN 5: Housing Risk S: Inadequate supply of housing to meet needs

**Risk Description:**

An inadequate supply of housing to meet needs.

**Controls in Place:**

A Housing Market Assessment has identified the gap between the supply and demand for affordable Housing. The Authority has been successful in ensuring full spend of the funding in the Programme Delivery Plan and has been successful in the past at applying for additional funds made available by the Welsh Government, to deliver more Affordable Housing and it will continue to apply for such additional funding as and when it is made available.

The Council's More Homes Strategy sets out the Council's plans to increase the supply of affordable housing in Swansea, including direct build council schemes on HRA land.

The More Homes Team is focussed on maximising delivery, including exploring Innovative and alternative models for delivery.

The Council works closely with WG and local RSLs to ensure there is a co-ordinated and strategic approach.

**Actions to be taken:**

Additional funding has been secured via the two Welsh Government initiatives listed above.

The Cabinet Member for Wellbeing accepted a number of recommendations made by the Affordable Housing Scrutiny Inquiry that would contribute to increasing the supply of affordable housing.

In December 2014 the Panel met again and confirmed that they were happy with progress being made in implementing the recommendations.

The Authority recently successfully bid for funding of £1.76m from the Welsh Government's Smaller Properties Initiative to help RSLs build more smaller affordable units which are now more in demand due to Welfare Reform.

A Strategy for using additional HRA funds to build more Council homes is currently being developed and will be considered by Cabinet early in the New Year.

November Update - A 'More Homes' Development Manager has now been appointed to take forward the Authority's new Council House Building Programme.

December Update - No further update required

January Update - environmental issues have been identified on one of the More Homes pilot sites, another potential pilot site is being identified.

January Update - Social Housing Grant allocated to Swansea is forecast to be fully spent by RSL's this financial year

February Update - Extra £1.4m to be allocated to the Authority by WG to help RSL schemes.

Work to be undertaken to determine which schemes should benefit, this needs to be done by the end of March.

March - all extra resources allocated to RSL schemes.

April - Full Social Housing Grant expenditure programme for 2016/17 developed and approved by the Cabinet Member for Next Generation Services.

May - No further updates

June - no further updates

July - Planning permission being sought for the 2 Council Housing new build schemes.

August - Welsh Government have decided to offer RSLs the opportunity to bid for further Housing Finance Grant to help them build more affordable homes.

September - a new system of financing affordable housing is being introduced by the WG with immediate effect . It blends both Social Housing Grant and Housing Finance Grant and should result in more affordable housing being grant funded over time.

October - A Meeting WG officials was attended by key officers to discuss new grant funding arrangements.

November - 'More Council Homes' - long term strategy is being reported to Council in November

December - no new updates

January - RSLs have been asked to bid for blended SHG/HFG funding for 2017/18

Feb - funding bids received from the RSLs and approved by the Cabinet Member.

march - no new updates

April - no new updates

May - The Authority has received an increased allocation of Social Housing Grant for this financial year.

June - no new updates

July - no new updates

August - the possibility of utilising the WG Innovative Housing Grant is being explored.

September - Innovative Housing Grant has been applied for and first batch of new Council houses have now been completed.

October - no new updates

November - awaiting the result of the Innovative Housing Grant application

December - The quantity of Innovative Housing Grant awarded to the Authority by the WG in relation to the Colliers Way development was less than anticipated.

January - awaiting details from WG regarding the possibility of increased borrowing to be permitted to fund more Council Housing.

February - awaiting WG guidance on changes to borrowing cap

March - information on borrowing cap changes received from the WG

April - The Authority has reported to WG that 132 affordable homes have been delivered by RSLs in 2017/18 by grant subsidised schemes such as SHG.

May - no new updates

June - audit of affordable housing delivery underway

July - Innovative Housing bid submitted to the Welsh Government

August - the Authority is participating in the Welsh Governments review of affordable housing provision

September - Response sent to WG's Affordable Housing Review

October - The Authority has been successful in its bid for IHP2, to enable 2 new council schemes of 34 homes to be built as Swansea Standard plus Homes As Power stations. The Authority is also bidding for additional borrowing to enable the full allocation of AHG, and to fund more developments post 2020.

November - WG have announced plans to lift the HRA borrowing cap for Welsh stock retaining Local Authorities. Legal advice is being sought on the implications of this. Awaiting recommendations from the Affordable Housing Supply Review.

December - no new updates

January - no new updates

Feb - no new updates



March - no further updates

April - no further updates

May - no new updates

June - Recommendations from the Affordable Housing Supply Review have now been published.

**Owner:** Mark Wade

**Responsible Officer:** mark wade

**Current Likelihood:** High

**Current Impact:** High

**Overall RAG Status:** Red

*Report Date: 11/07/2019 12:43:46*

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## **PL GEN 6: Housing Risk W: Failure to meet the Welsh Housing Quality Standard**

### **Risk Description:**

Failure to meet the Welsh Housing Quality Standard.

### **Controls in Place:**

The Welsh Government has accepted the Council's HRA Business Plan for funding the improvements needed to the stock to meet the requirements of the Welsh Housing Quality Standard by 2020. The Business Plan is based on a number of key assumptions, some of which are outside the direct control of the Council such as rent setting policies which are controlled by the Welsh Government. Progress in delivering the capital programme is monitored monthly via the Joint Housing Programmes Forum and the Housing Futures Programme Board to ensure expenditure is maximised and that any slippage is minimised.

### **Actions to be taken:**

The submission of further reports to Programme Board will be made, should any change in terms of the Council's financial position or WG policy occurs.

November Update - A WHQS Compliance Policy has been developed and will be submitted to Council for consideration on February 25th. In addition, WG officials

recently visited the Authority and the issue of risks in relation to the WHQS was discussed.

December Update - No further updates required

January Update - The Welsh Housing Quality Standard is being considered by a Scrutiny Working Group on Feb 3rd.

February Update - A WHQS Compliance Policy has been approved by Council and submitted to the WG. A Scrutiny working group have met to consider progress towards WHQS and have put forward a number of recommendations to be considered. A response will be sent to the chair of the group by the end of March highlighting how these recommendations will be addressed.

March - Response sent to the chair of the WHQS Scrutiny Group

April - All local ward Members informed in writing of WHQS capital works in their area

May - No further updates

June - No further updates

July - Welsh Government Officers visited the Authority to discuss progress with meeting the WHQS. Positive feedback was received and it was indicated that the Authority would continue to receive Major Repairs Allowance funding.

August - Current WHQS compliance statistics sent to the WG to meet their requirements.

September - some potential 'reputational' issues are being experienced with the kitchen and bathroom element of the WHQS. The situation is being closely monitored by both Housing & CBS and remedial action is being taken.

October - no new updates

November/December - adjustments to the HRA Business Plan are being explored which might have an impact on future Capital Programmes.

January - Capital programme for 2017/18 going to Council in Feb

Feb - Capital Programme approved by Council

March - WHQS verification process to commence shortly.

April - no new updates

May - - no new updates

June - no new updates

July - no new updates

August - WHQS compliance return submitted to the Welsh Government.

September - no new updates

October - no new updates

November - overall RAG status reduced to Medium (Amber) after a review of the risk by Housing Futures Programme Board

December - the Welsh Audit Office have arranged to visit the Authority in February to assess progress in relation to achieving the WHQS. An initial planning meeting with the WAO took place in December.

January - no further details regarding WAO audit of WHQS

February - WAO to visit week commencing April 16th, stock condition survey to commence Feb 19th

March - stock condition survey underway

April - WAO currently visiting the Authority to look at WHQS delivery. Stock condition fieldwork now complete

May - provisional results of WAO review now made available to the Authority.

June - The Authority has supplied responses to initial questions raised by the WAO

July - no new updates

August - latest compliance stats being sent to the Welsh Government

September - technical strategy Commissioning Review underway

October - WAO report received. The report was generally positive.

November - Authority's comments regarding the WAO report have been sent back to them.

December - Capital programme for 2019/2020 being developed

January - Capital programme for 2019/20 being developed and will go to Council in February.

Feb - £58.7m WHQS capital programme going to Council in Feb for approval

March - Capital programme for 2019/20 approved.

April - no new updates

May - Revised/Updated WHQS Compliance Policy to go to Council in July

June - Revised/Updated WHQS Compliance Policy now on Forward Look for July Council

**Owner:** Mark Wade

**Responsible Officer:** mark wade

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:43:46*

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## **PL GEN 45: Highways-Failure to adequately maintain structural integrity of Highway Assets**

### **Risk Description:**

That some of the highway infrastructure is in a poor condition due to a lack of investment over many years. Current backlog in carriageways alone is calculated to be £54m.

Current funding levels mean that the number of roads in poor condition will double within 10 years. An increase of traffic, local HGV movements and prevailing weather conditions are also major contributory factors.

An increase in assets due to reassignment between services without budget transfer also puts increasing pressures on what can be achieved.

Risk of further deterioration and highway becoming unfit for purpose.

Risk of increasing claims due to failure to meet statutory duty.

Risk to continued operation of multi storey car parks may have a significant impact on revenue and City Centre economy.

### **Controls in Place:**

Policy framework developed and approved by Council 2009.

2009 Inspection regime meets code of practice for maintenance management.

Asset Management Plan 2010-15 published autumn 2010.

2010-15 - New 5 year programme for maintenance.

2011 Agreement across all Wales on intervention levels.

Local Road Capital Grant from WAG diminishing and stopped 2011/12.

2012-15 LGBI investment from WG. A total of £10.45m for the Authority to invest in its highways asset of which around £1m per years was directed to this asset.

2013 All Wales Asset Mgmt Project links with SCOTTS project for best practice.

2013-16. £1m extra capital funding each year from the Authority's insurance reserve was allocated to reduce the deficit in funding. With this funding the total budget remains at around 55% of that required to maintain a steady state condition of the highway.

2015-20 - New 5 year programme for maintenance for carriageways, footways,

street lighting, structures and drainage published.  
Asset Management Plan 2016-25 under review.  
2016-17 Asset Management Annual Status Options Report(ASOR).  
2017 Review of Safety Inspection Policy in accordance with new draft code of practice.

Significant progress being made through CSS wales and WLGA with additional £1.8m of funding from WG for 18/19 and a commitment to look at future funding levels.

**Actions to be taken:**

Actions to be taken:  
Finalise the 2016-25 Asset Management plan in accordance with latest CCS Wales guidance. Code of Practice Updated 2017.  
Bid on further funding to reach steady state levels.  
CSS Wales working with WLGA to present case for further funding from WG  
Review of non-adopted highway and recently transferred assets to value risk, cost implications and to establish the increase in shortfall in budget due to condition.  
Review of safety inspection to new Code of Practice 2019.

Updated 08/01/19

No further update 19/04/18  
No further update 14/06/18  
No further update 05/07/18  
No further update 01/10/18  
No further update 14/02/19  
No further update 28/03/19  
No further update 17/04/19  
No further update 16/05/19  
No further update 24/06/19

**Owner:** Stuart Davies  
**Responsible Officer:** bob fenwick  
**Current Likelihood:** Medium  
**Current Impact:** High  
**Overall RAG Status:** Amber  
*Report Date: 11/07/2019 12:43:46*

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**PL GEN 81: Failure to deliver the infrastructure to support the City Bay Region's Economic Regeneration Strategy**

**Risk Description:**

To provide Strategic Transport links to main centres of employment. Infrastructure projects are partially reliant on grant funding from Europe or via Welsh Government, the uncertainty of future grant funding streams is a risk to the continued regeneration of the city centre and improving connectivity with other regional centres and key transport corridors / interchanges.

**Controls in Place:**

Annual bid for grant funding takes place and is successful to date. Transport has now been raised as a key element in the City Deal with proposals to develop a Metro solution being supported by WG

The proposal to develop a SW Wales Metro in collaboration with the Regional Authorities will contribute to the aim of improving connectivity.

**Actions to be taken:**

A review of our bid submissions are regularly undertaken and advice sought from Welsh Government on quality of bids. Collaborative working across the authority to maximise benefit from various funding sources.

Awaiting announcement regarding Metro funding for 18/19

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

Updated 08/01/19

No further update 14/02/19

No further update 22/03/19

No further update 17/04/19

No further update 16/05/19

No further update 24/06/19

**Owner:** Stuart Davies

**Responsible Officer:** mark thomas

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:43:46*

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**PL GEN 91: Major Transport Provider Ceases Trading****Risk Description:**

The Council has contracts in place with transport operators to provide subsidised socially necessary local bus services and also statutory home to school transport services.

The majority of local bus services in the Swansea area are operated by First Cymru and over 80% of these are provided commercially.

**Controls in Place:**

Transport Officers carry out pre-qualifying checks on all transport providers as part of the procurement process for transport services.

A Corporate Taxi Framework Agreement is in place so that replacement or new taxi services can be arranged quickly.

Transport officers monitor the licensing and fleet makeup of the main providers in the area so that the appropriate suppliers could be contacted and alternative arrangements made quickly should the need arise.

Swansea Council works closely with other local authorities in S W Wales and shares intelligence on transport providers/ issues with them.

**Actions to be taken:**

Continuing to monitor industry and work with WG.

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

No further update 08/01/19

No further update 14/02/19

No further update 22/03/19

No further update 17/04/19

No further update 16/05/19

No further update 24/06/19

**Owner:** Stuart Davies

**Responsible Officer:** cath swain

**Current Likelihood:** Low

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:43:46*

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**PL GEN 95: Service Failure of Vehicle Fleet**

**Risk Description:**

The delayed vehicle replacement programme has resulted in a vehicle fleet age profile that is older than required. Resultant large increase in vehicle maintenance costs and non-availability as occurring as a result. Approximately 66% of vehicles have passed their planned replacement dates. There may be a subsequent large increase in vehicle (end of contract) costs within year when vehicles are replaced.

Majority of minibuses owned and used by schools do not use the corporate vehicle maintenance facility (CTU) and the extent of compliance with subsequent H&S and legal obligations is unknown. Vehicles are insured by CCoS. Lack of corporate governance in this regard.

June 2017 - Social Services fleet transferred to ITU under Directorate of Place. 65%

existing fleet is overdue for renewal with some vehicles operating beyond their economic life.

**Controls in Place:**

Tenders for medium commercial, light commercial and refuse collection vehicles. Vehicles are being withdrawn from service and replaced with short term hire where repairs are deemed uneconomic to continue use.

Tenders for electric vans, public lighting towers, social services welfare buses and some heavier commercials being prepared.

Some schools use CTU

Fleet Manager presented to primary and secondary business managers on risk (Feb 2015)

Investment in RCV fleet completed. Client Services fleet - 20 vehicles to be procured this year. RCCO approved for £300k 2019/2020 and 2020/21. Robust vehicle replacement programme is being developed and minimum vehicle requirement and specification identified.

Fleet transporting Social Service users - current funding being reviewed.

350 new vehicles procured 2017/18.

New vehicles being procured 2019/20

**Actions to be taken:**

Jan 2017 - 38 medium commercial vehicles ordered, deliveries expected to commence June 2017

Jan 2017 light commercial tender for 300 advertised, closes Feb 2017

Jan 2017 refuse collection tender for 36 advertised, closed Feb 2017

Jan 2017 instruction issued to workshop staff for prior authorising of repairs to older vehicles

Feb 2017 potential for end of contract cost increases discussed with Finance

August 2017 Tenders completed. 85 vehicles ordered with expectation of full delivery by Feb 2018. Light Commercial tender requirements being agreed with users (300 vehicles). Significant levels of demand on CTU workshops due to age, maintenance costs anticipated to exceed budget by @ £300k for 17/18 if current trend continues.

Jan 2017 Fleet Manager to arrange to present to headteachers' forum. Corporate H&S manager to assist.

August 2017 Initial meet with Education. Fleet Manager to provide guide in readiness fro new term

No further update 19/04/18

No further update 14/06/18

No further update 05/07/18

No further update 24/08/18

No further update 01/10/18

Updated 08/01/19

No further update 14/02/19



No further update 22/03/19  
Updated 17/01/19  
No further update 16/05/19  
No further update 24/06/19

**Owner:** Stuart Davies  
**Responsible Officer:** mark barrow  
**Current Likelihood:** Medium  
**Current Impact:** Medium  
**Overall RAG Status:** Amber  
*Report Date: 11/07/2019 12:43:46*

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## PL GEN 97: Services in the community

### **Risk Description:**

If there's insufficient buy in from services, then full operational and financial benefits will not be achieved

### **Controls in Place:**

Significant engagement at team and board level. Pathfinder project in Clydach to test the principles

Pilot due to launch Oct 18 (RL) 25.7.18

On target for launch w/c 15th October, Gorseinon project team held first meeting this month too. (RL 24.9.18)

Launch delayed until 5th Nov due to IT issues and Councillors leave. (22.10.18)

### **Actions to be taken:**

Pilot launch date on track, with next pilot area - Gorseinon - identified

risk of underachievement of savings still likely

Pilot launched on 6th Nov at Clydach Library. Work commencing on Hub strategy across county. RL 14.11.18

Resources due to resignation of PM has highlighted requirements for operational management

Refection paper to be discussed at Leadership June 6th. (RL 21.5.19)

**Owner:** Geoff Bacon  
**Responsible Officer:** geoff bacon  
**Current Likelihood:** High  
**Current Impact:** Medium

**Overall RAG Status:** Amber

Report Date: 11/07/2019 12:43:46

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## **PL GEN 99: Inability to undertake food standards and low level food premises inspections**

### **Risk Description:**

There is currently a backlog of food safety/hygiene inspections of lower risk (category D and E) food premises and food safety/standards inspections of new business premises which are unrated.

As the inspection of the high risk premises (categories A, B and C) continues to be the priority and the lower risk premises and new businesses are not inspected in accordance with required frequencies

due to existing resources, the number of outstanding inspections of these premises continues to grow.

This has been identified as an issue that needs to be addressed by the Food Standards Agency (FSA)

during their audit of the food service in November 2014 and again in their follow up audit in

December 2018. This presents a risk to public safety in respect of potential for food poisoning

cases/outbreaks and incorrectly described food, particularly the incorrect description of allergens.

### **Controls in Place:**

Inspection of the high risk premises remains a priority but where capacity is identified through close

monitoring of inspection targets, resources are allocated to inspection of the lower risk and unrated

premises. The food business registration form has been amended to identify the risk presented by the

new business and this information is used to prioritise inspections. New ways of working are being

explored, in line with the agile working programme to increase capacity/output and a review

of resource requirements is underway.

### **Actions to be taken:**

Feb - no new updates

March - no further updates

April - no further updates

May - no further updates

June - no further updates

**Owner:** Lynda Anthony

**Responsible Officer:** mark wade

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:43:46*

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## PL GEN 100: Swansea's natural resources and biodiversity

### **Risk Description:**

If we do not maintain and enhance Swansea's natural resources and biodiversity, including reversing tree loss, then there will be wider and detrimental impacts on environmental, social, cultural and economic well-being.

Issue: The number of trees and area of tree cover within the County of Swansea is declining.

Factors causing loss of trees (including hedgerows and woodlands) include:

- Tree diseases and pathogens.
- Removal of trees for safety reasons.
- Trees lost through development.
- Lack of robust tree protection measures.
- Lack of a strategy for replacing lost trees.
- Natural loss through age.

Risks arising as a result of tree loss include

- Air and water quality will deteriorate, affecting people's health.
- Mental health and well-being will decline.
- The risk of flooding and landslip will increase in some areas.
- Atmospheric carbon levels will increase.
- Loss of biodiversity and ecological resilience.
- Localised temperature controls and other environmental shelter will be lost.
- Birds and other wildlife will lose habitats and food sources.
- The loss of ecosystem services will impact on public service budgets.
- The loss of aesthetic and character will lead to falling property values, affecting the local and regional economy.
- Noise levels will increase.
- We will not comply with legislative requirements, e.g. Environment (Wales) Act 2016.
- Reputational damage.
- Precedent set for 'other' developers.

- Loss of local distinctiveness and sense of place.
- Sale of council owned land – should be assessed for consideration under the duty imposed by the Environment (Wales) Act 2016 for Tree retention and protection by TPO; could result in both the legal cost and reputational risk of non-compliance.

### **Controls in Place:**

- Planning Policy Wales.
- LDP.
- Felling licence requirements for cutting down large amounts of wood.
- Tree Preservation Orders and Conservation area status.
- Legislation: Biodiversity controls to protect trees with particular features from felling.
- I-tree software to support calculation of ecosystem services in order to assess comparative economic risks of tree loss or other intervention.
- Wildlife legislation and protected sites.
- Internal management and controls and part of formal and informal process
- Addition of additional corporate priority around biodiversity
- Commissioning of Nowcaster system to monitor air quality

### **Actions to be taken:**

- Mapping of suitable areas for tree planting & setting of targets for planting. The council is setting up a 3 year programme to map Green Infrastructure (GI) assets and ecosystems services for every ward – corporate biodiversity objective for Nature Conservation Team.
- Recording numbers of trees lost, trees maintained and trees planted to measure increase of tree cover on council owned land- current Nature Conservation Team action.
- Raising awareness of rights & responsibilities of the public, encouraging “ownership” of the planting and management of trees. Nature Conservation Team.
- Adopting and implementing a Greening Initiative / Link wildlife corridors / create attractive and used public open spaces. By the planting of trees in the creation of linkages between existing habitats and in the creation of ‘Place’. This is Incorporated within LDP policy, and is a corporate biodiversity objective for the Nature Conservation Team to action.
- Adopt LDP Policy including maintaining and enhancing biodiversity and encouraging the planting of trees. LDP Policy due to be adopted in Feb 2019 – for Development Management and Strategic Planning to apply in decision making.
- Develop, adopt and implement a Green Infrastructure Strategy. GI Strategy to be prepared within the next 2-3 yrs. Corporate biodiversity objective and action for the Nature Conservation Team working with partners.
- Develop, adopt and implement appropriate tree policy to govern the removal and replacement of trees on council land. Tree Policy currently being drafted to provide guidance for trees on Council owned land. Adoption of Council Tree Policy is a Corporate Biodiversity objective for the Landscape Team.
- Actions included in the well-being plan for green infrastructure Already highlighted and picked up in corporate biodiversity objective actions for the Nature Conservation team to deliver.
- Identify resources for ongoing maintenance of newly planted trees/hedgerows etc. where appropriate 106 agreements and commuted sums are in
- Produce guidance note for new tree planting with recommended choice of species. Suitable species will vary from site to site depending upon location, orientation,

ground conditions, minimising ongoing conflicts and maintenance issues and whilst native species are encouraged many are unsuitable or urban and residential locations and some can trigger health issues such as hay fever from pollen. With so many options it would be preferable to produce a guidance note on what/how not to plant. Long term action for Landscape Team.

**Owner:** Paul Meller

**Responsible Officer:** phillip holmes

**Current Likelihood:** Medium

**Current Impact:** Medium

**Overall RAG Status:** Amber

*Report Date: 11/07/2019 12:43:46*

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## **PL GEN 101: Backlog in low risk food safety /hygiene inspections**

### **Risk Description:**

There is currently a backlog of food safety/hygiene inspections of lower risk (category D and E) food premises and food safety/standards inspections of new business premises which are unrated. As the inspection of the high risk premises (categories A, B and C) continues to be the priority and the lower risk premises and new businesses are not inspected in accordance with required frequencies due to existing resources, the number of outstanding inspections of these premises continues to grow. This has been identified as an issue that needs to be addressed by the Food Standards Agency (FSA) during their audit of the food service in November 2014 and again in their follow up audit in December 2018. This presents a risk to public safety in respect of potential for food poisoning cases/outbreaks and incorrectly described food, particularly the incorrect description of allergens.

### **Controls in Place:**

Inspection of the high risk premises remains a priority but where capacity is identified through close monitoring of inspection targets, resources are allocated to inspection of the lower risk and unrated premises. The food business registration form has been amended to identify the risk presented by the new business and this information is used to prioritise inspections. New ways of working are being explored, in line with the agile working programme to increase capacity/output and a review of resource requirements is underway.

### **Actions to be taken:**

March - no new updates

April - no new updates

May - no new updates

June - no new updates

**Owner:** Mark Wade  
**Responsible Officer:** lynda anthony  
**Current Likelihood:** Medium  
**Current Impact:** Medium  
**Overall RAG Status:** Amber  
*Report Date: 11/07/2019 12:43:46*

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## **PL GEN 102: Loss of Trees due to Ash Die Back**

### **Risk Description:**

Ash Die Back is a disease which is likely to affect all Ash trees across the country. Any Ash trees which become infected need to be felled for safety. The risks include safety risk due to the shedding of dead limbs, environmental due to the loss of trees, and reputational if the reasons for the widespread felling of trees is not effectively communicated.

### **Controls in Place:**

Database of trees across most of Council owned land.  
Increased frequency of inspections for Ash trees.  
The felling of a number of Ash trees significantly affected has been programmed.

### **Actions to be taken:**

June 17 - Surveys to record and monitor infect trees on going.  
Approval to recruit additional Arborists approved - required in new year.  
Liaison with Comms Team on going.  
August 17 - No change  
Sept 17 - No change  
Oct 17 - No change  
Nov 17 - No change  
Dec 17 - Works on a needs basis ongoing  
Jan 18 - Works on a needs basis on going  
Feb 18 - No change  
Mar 18 - Further discussions regarding tree replacement due to be held with Cabinet Members for Future Generations  
Apr 18 - No change, awaiting for trees to come into leaf to assess spread of disease  
May 18 - No change, awaiting for trees to come into leaf to assess spread of disease  
July 18 - No change  
Sept 18 - No change  
Oct 18 - No change  
Dec 18 - No change  
Jan 19 - No change  
Mar 19 - No change  
Apr 19 - Presentation prepared for Cabinet Member  
June 19 - Presentation given to Cabinet and Member Forum, cross authority Working Group being set up, private sector options to supplement in-house Arborists being explored  
27/6/19 - Escalated from service risk WP6 after discussion at PFM 26.6.19

**Owner:** Chris Howells  
**Responsible Officer:** chris howell  
**Current Likelihood:** Very High  
**Current Impact:** Very High  
**Overall RAG Status:** Red  
*Report Date: 11/07/2019 12:43:46*

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