# **Strategic Risks**

Neath Port Talbot County Borough Council



Print Date: 23-Aug-2018

	antteg - Significant slip o rea of historic landslips	f the land impacting on the community in ar	h HIGH
Primary Category:	Compliance	Responsible Officer:	Gareth Nutt
Secondary Categor	ies: Financial Reputational Resource	Secondary Responsible Officers:	Dave Griffiths Nicola Pearce
<u>Inherent</u>		Revised	

merene		<u>neviseu</u>	
Impact	High	Impact	Medium / High
Likelihood	Very Likely	Likelihood	Very Likely
Risk Rating	High	Risk Rating	High

### Inherent

1. Enforcement action taken on directly affected properties. 2. Further survey work to establish further risks. 3. Community relations strategy. 4. Dialogue with Welsh Government regarding funding for the associated costs

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul> <li>Hazard &amp; Risk Maps of the area currently being prepared.</li> <li>Public meeting held Jan 18 with further meetings thereafter.</li> <li>Counsel opinion being sought on extent of ongoing liability due to large area of land in private ownership and having regard to the Councils duties as outlined in the legislation relating to housing and drainage.</li> <li>Monitoring &amp; slope analysis ongoing.</li> <li>Multi-agency response plan to incident in place.</li> <li>Sharing of monitoring data with public.</li> </ul>	In Progress	31/03/2019	Dave Griffiths
<ul> <li>Land tribunal hearing held to consider householders concerns on council action</li> </ul>	In Progress	31/03/2019	Dave Griffiths

	Loss of personal/sensit of 4% of annual turnov		
Primary Category	<b>y:</b> Financial	Responsible Officer:	Hywel Jenkins

Secondary Categories: Reputational

Secondary Responsible Officers:

Steve John

# **Inherent**

Inherent		Revised				
Impact	Medium / High	Impact	Medium / High			
Likelihood	Likely	Likelihood	Likely			
Risk Rating	Medium	Risk Rating	Medium			

# **Existing Controls**

### Inherent

1 Targeted training; provision of encryption technology; provision of secure emails. 2. Increased preventative measures in relation to Cyber threats

Mitigation Plan	Action Status	End Date	Responsible Officer
Continued targeted training; provision of encryption technology; access to secure email transmission and receipt. Continual review and testing of Perimeter base and Information security.	Ongoing	31/03/2019	Hywel Jenkins

p	point	cial Resilience - The ( where it is no longer tations of its commu	MEDIUM		
Primary Category:		Financial	Responsible Officer:	ł	Hywel Jenkins
Secondary Catego	ries:	Compliance Reputational Resource	Secondary Responsible Officers:	[	Dave Rees

Inherent		Revised			
Impact	High	Impact	High		
Likelihood	Likely	Likelihood	Unlikely		
Risk Rating	Medium	Risk Rating	Medium		

### **Existing Controls**

### Inherent

1. Well established financial and corporate planning cycle. 2. Experienced Financial Services Team. 3. Accurate forecasting of service pressures. 4. Good relationships with Welsh Government and others to secure good intelligence to inform estimating and forecasting. 5. Open and transparent consultation and engagement with stakeholders on proposals to bridge budget gaps. 6. Links between revenue and capital budget planning. 7. Good track record in securing alternative funding, partnering, introducing new service models, seeking out innovation

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul> <li>Intensify citizen engagement with the budget challenges, securing citizen commitment to behaviours that will reduce or remove demand on Council services</li> <li>Introduce a more robust enforcement policy to sanction behaviours that unreasonably impact on Council resources</li> <li>Review the potential for capacity/release or reduction in cost from internal, shared service or through external collaboration</li> </ul>	In Progress	31/03/2019	Dave Rees
<ul> <li>Introduce corporate approach to increasing income and ensure staff and elected Member are equipped with the skills and knowledge to implement the approach</li> <li>Accelerate the pace of digital innovation across the Council</li> <li>Improve the quality of evidence adduced to exemplify the financial resilience challenges of the Council and ensure this is understood by those involved in the decisions on local government budgets</li> </ul>	In Progress	31/03/2019	Karen Jones
<ul> <li>Significantly increase the amount of income generated by the Council to proportionately reduce the reliance on Government funding for the delivery of statutory services</li> </ul>	In Progress	31/03/2019	Dave Rees

SR01 As	set Management - Failu	re of major infrastructure	HIGH
Primary Category: Secondary Categori	Reputational	Responsible Officer: Secondary Responsible Officer	Mike Roberts
<u>Inherent</u>	Resource	<u>Revised</u>	Simon Brennan
Impact Likelihood	Medium / High	Likelihood	Likely
Risk Rating	High	Risk Rating	Medium

### Inherent

 Highways Asset Management Plan. 2. Fleet Asset Management Plan. 3. Property Asset Management Plan. 4. Capital Programme. 5. Capital Programme Monitoring Group. 6. Treasury Management Policy. 7. Revenue budget funding. 8. Large number of smaller asset transfer activity to community groups - bowling greens, sports pitches, community centres etc.
 Tip inspections. 10. Flood and Water Management Plan

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul> <li>Relevant Heads of Service to attend the Capital Programme Steering Group.</li> <li>Business continuity plans.</li> </ul>	In Progress	31/03/2019	Simon Brennan
<ul> <li>Undertake rolling programme of surveys and inspections to understand condition and identify areas that require further investigation.</li> <li>Prioritise programmes of work and, where possible, remove/replace/reconstruct/ refurbish the highest risk assets.</li> <li>Defect inspection regime for Highway pavements.</li> <li>Deal with alternative route for Cymmer Bridge.</li> <li>Improved management of unadopted structures.</li> </ul>	In Progress	31/03/2019	Simon Brennan

SR10 Bu	usiness Continui	ty - Serious disruption to	Council services and fu	unctions MEDIUM
Primary Category:	Resource	Responsi	ble Officer:	Steven Phillips
Secondary Categori	es: Compliance Financial Reputationa		y Responsible Officers	s: Sheenagh Rees
<u>Inherent</u>			<u>Revised</u>	
Impact	Medium / H	ligh	Impact	Medium
Likelihood	Likely		Likelihood	Likely
Risk Rating	Medium		Risk Rating	Medium

### Inherent

1. A dedicated Emergency Planning Team has been established, providing Business Continuity Planning advice and support to service managers. 2. A revised approach to Business Continuity Planning has been developed and rolled out across Council Services

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul> <li>All services across the Council to ensure that they have in place an up to date Business Continuity Plan, which has been communicated to all employees within the service as appropriate, and that the plan is tested and reviewed at regular intervals</li> <li>Test corporate disaster recovery and business continuity plans against service plans and a range of scenarios</li> </ul>	In Progress	31/03/2019	Sheenagh Rees

	elfare Reform - Increase rdship	d numbers of local people experience finan	cial MEDIUM
Primary Category: Secondary Categorie	Compliance es: Financial Reputational Resource	Responsible Officer: Secondary Responsible Officers:	Karen Jones Nita Sparkes

<u>Inherent</u>		Revised				
Impact	Medium	Impact	Medium			
Likelihood	Likely	Likelihood	Likely			
Risk Rating	Medium	Risk Rating	Medium			

# **Existing Controls**

### Inherent

1. Partnership activity established and championed by the Public Services Board/elected Members. 2. Effective partnership relationships enabling people affected by welfare reform change to be identified and subject to targeted, preventative action. 3. Range of support services identified to support those claimants who may be adversely affected by the changes. 4. Training of officers and elected Members to ensure there is an understanding of the impact and implications of change. 5. Good and effective information sharing arrangements in place to support vulnerable people. 6. Core funding provided to key third sector organisation to sustain support services. 7. Council Tax Reduction Scheme supporting financially disadvantaged to help them pay their council tax

Mitigation Plan	Action Status	End Date	Responsible Officer
Establish monthly briefing sessions internally to intensify monitoring of Universal Credit (UC) roll out and any new actions	Completed	31/05/2018	Karen Jones
Establish quarterly round table sessions with senior partners to gauge impact of Universal Credit (UC) and identify risks and required actions			
Undertake research to develop a clear understanding of those people who are facing greatest financial hardship	In Progress	31/12/2018	Karen Jones

SR05 9	Safeg	uarding - Failure to n	MEDIUM			
Primary Category:	:	Compliance	Responsil	ble Officer:		Andrew Jarrett
Secondary Catego	ories:	Financial Reputational Resource	Secondar	y Responsible Office	(	Aled Evans Chris Millis Keri Warren
<u>Inherent</u>				<u>Revised</u>		
Impact		Medium / High		Impact	Medi	um / High
Likelihood		Likely		Likelihood	Unlik	ely
Risk Rating		Medium		Risk Rating	Medi	um

### Inherent

1. Corporate safeguarding group ensures there is clear allocation of roles and responsibilities internally within the Council and to share learning. 2. Experienced Head of Children Services recruited, and Head of Adult Services to follow. 3. Significant corporate support and investment in place to address weaknesses in Children and Young People Services and to sustain/build upon the work which removed the Council from the CSSiW Serious Concerns Protocol. 4. Focused improvement work taking place in adult services as a result of the new framework introduced by the SSWB Act. 5. Regional Safeguarding Boards for Western Bay led by suitably qualified personnel. 6. Ongoing investment in training to continuously improve safeguarding practice. 7. Schools robustly held to account by ELLL for safeguarding practice. 8. Investment in support for high risk victims of domestic abuse via the VAWDASV Leadership Group. 9. Investment in Channel Panel support to discharge safeguarding responsibilities for people vulnerable to being drawn into terrorism/extremism. 10. Seminar convened by Community Safety Partnership to highlight risks related to modern slavery, terrorism/extremism, serious and organised crime and hate crime. 11. Partnership groups established to provide oversight of issues related to the people resettled under the Syrian Vulnerable Persons Scheme

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul> <li>Bring together safeguarding arrangements for adult and children's social services under a single line manager</li> <li>Consider whether there is scope to integrate other safeguarding practices across the Council into a shared corporate service</li> <li>Developing practice to better identify priority risks when supporting vulnerable people.</li> <li>Developing a Social Services Single Point of Contact to promote more robust and consistent decision making at the "front-door".</li> </ul>	In Progress	31/03/2019	Keri Warren
<ul> <li>Develop a 'Progression Team' to support vulnerable young people into adulthood.</li> <li>Fully embed a Social Services 'Quality Assurance Framework', to regularly monitor safeguarding arrangements within the Directorate.</li> <li>To Strengthen and develop accommodation for care leavers.</li> </ul>	In Progress	31/03/2019	Keri Warren

SR13	Risk that regional collabo people and weaken gove	MEDIUM			
Primary Category:	Reputational	Responsible (	Officer:		Steven Phillips
Secondary Catego	ries: Compliance	Secondary Responsible Officers:		Caryn Furlow Nita Sparkes	
<u>Inherent</u>		<u>R</u>	<u>evised</u>		
Impact	Medium / High	Ir	npact	Me	dium / High
Likelihood	Likely	L	Likelihood U		ikely

Medium

### Inherent

**Risk Rating** 

1. Each regional collaborative arrangement is explicitly agreed by elected Members. 2. Scrutiny of each regional collaborative arrangement is vested in the relevant scrutiny committee. 3. The nature and form of each significant collaborative arrangement is included in the Corporate Plan

**Risk Rating** 

Medium

Mitigation Plan	Action Status	End Date	Responsible Officer
Area plan for the western bay collaboration on health and social care to be considered at Council	Completed	31/03/2018	Andrew Jarrett
City Deal - external legal support to ensure completion of Joint Committee Agreement and each council will sign off relevant project business cases that impacts on any financial commitment	In Progress	30/09/2018	Steven Phillips
Legislative proposals for further mandatory regional collaboration to be subject of full assessment and report to Council	Completed	30/09/2018	Steven Phillips
Review Council's ongoing participation in ERW arrangements	Not Started	31/03/2019	Steven Phillips
Review Council's ongoing participation in Western bay arrangements	Not Started	31/03/2019	Steven Phillips

SR03 G a c	MEDIUM		
Primary Category:	Resource	Responsible Officer:	Karen Jones
Secondary Categor	r <b>ies:</b> Compliance Financial Reputational	Secondary Responsible Officers:	Nita Sparkes

# InherentRevisedImpactMedium / HighImpactMedium / HighLikelihoodUnlikelyLikelihoodUnlikelyRisk RatingMediumRisk RatingMedium

### **Existing Controls**

### Inherent

1. Corporate Governance Statement regularly reviewed internally by the Governance Group and annually approved externally by Wales Audit Office. It describes current controls and improvement actions with process of regular review. 2. Corporate Governance Group exercising continuous oversight of governance arrangements, including critical incident review. 3. Open and robust relationship with external auditors and inspectors. 4. Protected investment in Internal Audit Services with risk-based audit programmes. 5. The work of internal and external audit monitored quarterly by Audit Committee. 6. Regular reporting of progress in delivering agreed improvement actions set out in AGS to elected Members including Scrutiny and Audit Committees. 7. Common template for reporting on decision items to Cabinet and Cabinet Boards, to ensure decisions are supported by relevant information. 8. Training for all managers in corporate governance delivered by Monitoring Officer and Head of Corporate Strategy and Democratic Services. 9. Range of governance modules integrated into Member Induction arrangements

Mitigation Plan	Action Status	End Date	Responsible Officer
Operational procedures being established to maintain new risk management arrangements	In Progress	31/08/2018	Karen Jones
Post implementation review of CAMMS ICT system benefits	Not Started	31/12/2018	Dave Rees
Provide additional focused training for the Audit Committee to ensure the Committee can exercise effective oversight of corporate governance arrangements. Following the Audit Committee training, review the Audit Committee Terms of Reference to ensure that they enable adequate monitoring and review of governance of governance arrangements by the Audit Committee	In Progress	31/10/2018	Dave Rees
Revise risk management policy and implement more consistent approach to risk description, scoring and action planning	Completed	31/03/2019	Karen Jones
Use the CAMMS performance management ICT system to increase access to information on corporate governance arrangements and to			

improve reporting for both officers and Members		
Further revision of the corporate reporting template to reflect Well- being of Future Generations (Wales) Act 2015 requirements and feedback from Wales Audit Office with refresher training for manager		

		h and Safety - Failur ommunity	MEDIUM			
Primary Category	:	Resource	Responsib	le Officer:	9	Steven Phillips
Secondary Catego	ories:	Compliance Financial Reputational	Secondary	Responsible Officers	: !	Sheenagh Rees
<u>Inherent</u>				<u>Revised</u>		
Impact		Medium		Impact	Medi	um
Likelihood		Likely		Likelihood	Unlik	ely
Risk Rating		Medium		Risk Rating	Low	

### Inherent

1. Clear health and safety framework. 2. Dedicated Health and Safety Team for the provision of advice and guidance. 3. Access to Health and Safety Training. 4. External quality audit to check compliance. 5. Prioritised action plan, based on corporate assessment of risk, threat and harm. 6. On line reporting system

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul> <li>Actions taken by service managers to engage the workforce in health &amp; safety matters</li> <li>Service managers ensuring that health &amp; safety risk assessments are thorough and up to date</li> <li>Service managers ensuring the provision of appropriate and up to date training</li> <li>Service managers ensuring the provision of appropriate and up to date Personal Protective Equipment (PPE)</li> </ul>	In Progress	31/03/2019	Sheenagh Rees

	nunity Cohesion - Con Iring of community co	nmunity tensions increase and there is a phesion	LOW	
Primary Category Secondary Catego	Reputational Compliance Financial Resource	Responsible Officer: Secondary Responsible Officers:		Karen Jones Nita Sparkes

<u>Inherent</u>		<u>Revised</u>	
Impact	Medium	Impact	Medium
Likelihood	Unlikely	Likelihood	Unlikely
Risk Rating	Low	Risk Rating	Low

# **Existing Controls**

### Inherent

1. Comprehensive Strategic Equality Plan in place which prioritises action to combat hate crime, domestic abuse and to strengthen engagement with a wide range of different sections of the community. 2. Strong links to many groups who share protected characteristics. 3. Training for officers and elected members in equality duties. 4. Systematic use of equality impact assessments (which includes community cohesion). 5. Clear structure for discharging PREVENT duties with action plan in place, based on peer review and legal duties. 6. Dedicated officers and elected Members who oversee equality and PREVENT duties. 7. Regional Community Cohesion Co-ordinator brings advice on emerging trends that could affect local community relations. 8. Full participation in regional CONTEST Board. 9. Partnership plans mobilised to support job reductions in Tata Steel which included community relations aspects. 10. Effective partnership in place to support people resettled under the Syrian Vulnerable Persons Scheme. 11. BME Development Worker funded to develop stronger links with local BME communities

Mitigation Plan	Action Status	End Date	Responsible Officer
Carry out programme of equality audits to check approaches are embedded across the Council	In Progress	31/03/2019	Karen Jones
Improve tension monitoring and share more widely with relevant groups			
Increase interaction with key community groups, including Faith groups to improve community intelligence			
Conclude community profiling exercise and then reassess equality plans in light of the findings			
Develop strong counter-narrative to challenge extremist views and to mitigate the impact of events outside the county borough			

	udget Control - Failure to vithin budgets	o manage activity, expenditure and income	MEDIUM
Primary Category:	Financial	Responsible Officer:	Hywel Jenkins
Secondary Catego	ries: Compliance Reputational Resource	Secondary Responsible Officers:	Dave Rees Ross Livingstone

Impact	Medium	Impact	Low / Medium
Likelihood	Likely	Likelihood	Unlikely
Risk Rating	Medium	Risk Rating	Low

# **Existing Controls**

# Inherent

1. Experienced financial team with designated financial officers supporting budget holders. 2. Monthly budget reports, with forecasting to year end. 3. High level monitoring of budget variances by Corporate Directors Group and elected Members to identify emerging problems early and to require corrective action. 4. Budget accountability firmly embedded across the Council at all levels. 5. Communications strategy engages staff and trade unions in the consequences of not achieving budget balance with opportunities for staff and trade unions to contribute to the formulation of budgets and savings/income generation proposals

Mitigation Plan	Action Status	End Date	Responsible Officer
• The prospect of an overspend by the Council will be highlighted early in the year through the budget monitoring process. Actions will then be agreed and put in place by senior officers and Members to limit/prevent an overspend by the year end.	In Progress	31/03/2019	Dave Rees

SR04 V le t			
Primary Category:	Resource	Responsible Officer:	Sheenagh Rees
Secondary Catego	r <b>ies:</b> Compliance Financial Reputational	Secondary Responsible Officers:	Charlotte Jane Morgan

Inherent		<u>Revised</u>	
Impact	Medium	Impact	Low / Medium
Likelihood	Unlikely	Likelihood	Unlikely
Risk Rating	Low	Risk Rating	Low

### Inherent

1. Workforce information post established within Human Resources Department. 2. Workforce information improvement work enabled by the development of the employee portal. 3. Sickness Task and Finish Group has developed a detailed insight into the reasons for absence and the profile of the people who are experiencing ill-health. 4. Workforce planning developed within Children and Young People Services. 5. Workforce surveys in place for some service areas – Social Services, Corporate Strategy and Democratic Services. 6. Clear and effective strategy in place to support employees who wish to depart the organisation under ER/VR. 7. Specific reserve established to fund ER/VR programme. 8. Insight into levels of digital literacy in the non-schools workforce conducted and some plans in place to address the findings of the research. 9. The engagement of apprentices

Mitigation Plan	Action Status	End Date	Responsible Officer
• A Strategic Workforce Plan for the Council will be published in April 2018 setting out 5 clear themes for the Council's workforce with agreed actions to support each theme – this will help service management teams focus on key areas of workforce planning such as succession planning, learning, training and development plans, employee engagement etc	In Progress	31/03/2019	Sheenagh Rees
<ul> <li>Further development of the Employee Portal and roll out across the whole workforce will improve both the information the Council has about each employee as well as communication with the workforce</li> <li>Publication of the gender pay gap and action plan as required by legislation will help the Council understand the gender profile and actions necessary to reduce the gender pay gap</li> </ul>	In Progress	31/03/2019	Sheenagh Rees
Strategic workforce plan is to be presented to elected members at committee for approval.	In Progress	27/07/2018	Sheenagh Rees

		ery of Corporate Plan quate capacity	- Failure to deliver the Corporate Plan due to	LOW
Primary Category:		Compliance	Responsible Officer:	Karen Jones
Secondary Catego	ories:	Financial Reputational Resource	Secondary Responsible Officers:	Nita Sparkes

Inherent		Revised			
Impact	Medium	Impact	Medium		
Likelihood	Unlikely	Likelihood	Very unlikely		
Risk Rating	Low	Risk Rating	Low		

# **Existing Controls**

### Inherent

1. Corporate Strategy Team has clear understanding of legal frameworks that need to be adhered to. 2. Experienced cadre of directors and heads of service who have participated in developing the programmes of work identified to deliver the political priorities of the Council. 3. Alignment of the budget and corporate planning process. 4. Range of mechanisms in place to obtain community and partner feedback on priorities and programmes of work. 5. Regular review of Plan progress undertaken by Corporate Directors Group and elected Members. 6. Strategic Schools Improvement Programme (SSIP) is being delivered but has been a significant pressure on the diminishing specialist functions – project management; communications; HR and ICT. 7. Effective relationship management with funders to ensure there is early notice of funding opportunities and consequently early identification of new projects and programmes that can be put forward for funding opportunities or time to wind up programmes

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul> <li>Benchmarking of approaches adopted by other organisations to be undertaken to identify other potential strategies that can assist in delivering the Council's priorities</li> </ul>	In Progress	31/03/2019	Karen Jones
<ul> <li>Fine tuning of actions and performance objectives required to clarify deliverables</li> <li>Additional engagement and communication with management cadre to ensure full corporate ownership of the cross-cutting elements of the Plan, backed up by suitable training and development activities</li> <li>Further testing of objectives required as the budget scenarios for future years becomes firmer with Plan adjustment to be made as affordability issues are identified</li> </ul>	In Progress	31/03/2019	Karen Jones

SR15		Council is unable to comply with the compliance notice for Welsh uage Standards			MEDIUM		
Primary Category:		Compliance	Responsible Officer:		Karen Jones		
Secondary Categ	ories:	Reputational	Secondary Responsible Officers:		Caryn Furlow Nita Sparkes		
<u>Inherent</u>			Revised				
Impact		Medium					

### Inherent

Likelihood

**Risk Rating** 

Very Likely

Medium

1. Comprehensive assessment of ability to comply was undertaken. 2. 55 standards were challenged by the Council and a number of changes were agreed with the Commissioner to resolve concerns. 3. Menter laith engaged to help develop the Welsh language Promotion Strategy. The Strategy is based on existing or new initiatives where resources have been identified. 4. Complaints are being monitored - lessons learned and remedial actions are identified and implemented. Additionally, the Council will seek further modification of the compliance notice if, in the course of implementation further barriers to compliance are identified. 5. Operationally the Welsh Language Officer Group is working to secure implementation of the standards. 6. Additional corporate budget has been allocated7. Scrutiny and monitoring arrangements at Cabinet and non-executive levels is in place

<u>Solutions</u>						
Mitigation Plan		Action Status	End Date	Responsible Officer		
Consulting on Welsh language Promotion Strategy to ensure relevance and deliverability		In Progress	01/07/2018	Karen Jones		
Testing the process for appealing the Commissioner's ruling on an individual complaint (e.g. car parking machines)		In Progress	31/08/2018	Karen Jones		