

Title	Pupil attainment and achievement										Risk ID	94						
Description	If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and to contribute effectively to the economic prosperity of the city.										Risk Level	Corporate						
Responsible Officer	Helen Morgan-Rees					Councillor	Jennifer Raynor											
Last Update	22/12/2020					Risk Response	Treat											
Last registered RAG status	AMBER					Historical RAG	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
						NONE	NONE	AMBER	NONE	NONE	NONE	RED	NONE	AMBER	AMBER	AMBER	AMBER	
Current Control Measures													Projected Completion	Last update				
Support Pupils To Return Safely To School In Sept 2020 Through The Health, Welfare & Community Education Stream Of The Councils Covid-19 Recovery Plan.													14/09/2020	24/07/2020				
Offer Childcare In Schools During Term-Time To Key Workers And The Most Vulnerable Children During The Covid-19 Pandemic.													14/09/2020	24/07/2020				
Ensure That Pupils Eligible For Free School Meals Benefit From The Offer Of A Fortnightly Bacs Payment Or Weekly Food Parcel During The Covid-19 Pandemic.													14/09/2020	24/07/2020				
Further Enhance The Continuity Of Learning Programme.													29/10/2020	16/07/2020				
Commitment To Invest In Education.													31/12/2024	10/03/2020				
School Improvement Strategy And Partnership.													31/12/2024	21/11/2019				
Attendance Strategy.													31/12/2024	21/11/2019				
Strong Leadership Commitment To Influencing The Erw Agenda.													31/12/2024	21/11/2019				
New Eotas Strategy & Programme.													31/12/2024	21/11/2019				
Commissioning Review On Aln.													31/12/2024	21/11/2019				
Education Skills Co-Ordinator Appointed.													31/12/2024	21/11/2019				
Dedicated Scrutiny Panel To Scrutinise Education Work And Performance.													31/12/2024	21/11/2019				
Strong School Building Programme.													31/12/2024	21/11/2019				
Renewed Focus Through The Child Protection Board On The Educational Achievement Of Lac.													31/12/2024	21/11/2019				
Effective Partnership Working.													31/12/2024	21/11/2019				
Good School-To-School Support.													31/12/2024	21/11/2019				
Corporate Priority.													31/12/2024	21/11/2019				
Positive Engagement And Support From Cabinet And Council.													31/12/2024	21/11/2019				

Closed Control Measures

{Historical Information Migrated} - Positive Engagement And Support From Cabinet And Council. - Commitment To Invest In Education. - Corporate Priority. - Good School-To-School Support. - Effective Partnership Working. - School Improvement Strategy And Partnership. - New Eotas Strategy & Programme. - Attendance Strategy. - Renewed Focus Through The Child Protection Board On The Educational Achievement Of Lac. - Strong School Building Programme. - Strong Leadership Commitment To Influencing The Erw Agenda. - Commissionin Review On Aln. - Dedicated Scrutiny Panel To Scrutinise Education Work And Performance. - Education Skills Co-Ordinator Appointed.

Closure date

22/12/2020

The Current Evidence Suggest That The Continuity Of Learning Plan In Swansea Is Working Well. There Is Evidence That Switching To Remote Learning Or A Blended Learning Offer Has Become Normalised. With Large Number Of Pupils Self-Isolating The Education Offer Has Been Adapted. When Pupils Are In School, Time Is Maximised To Enable Them To Understand How To Switch To A Different Type Of Teaching And Learning.

30/11/2020

Since The Disruption To Education In March 2020, The Plans For A Safe Return To School Have Matured. As A Result, Around 88% Attendance Rate Seen In The First Three Weeks Of September. Although There A Shorter Term Disruptions For Schools, The Successful Return To Education Means That We Have Minimised Risk To Learning And Education. The Continuity Of Learning Plan And Policy Means That All Schools In Swansea Are Developing Remote Learning And Blended Learning Opportunities.

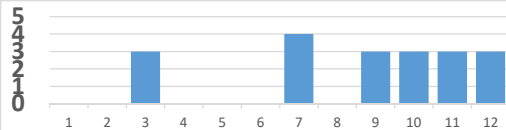
30/09/2020

Offer A Safe Return To School For Learners During The Covid-19 Pandemic Through 'Check In, Catch-Up And Prepare' Sessions.

24/07/2020

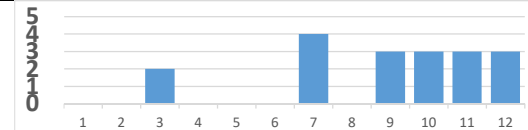
Current IMPACT

MEDIUM



Current LIKELIHOOD

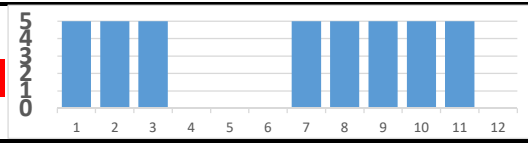
MEDIUM



Title	Safeguarding	Risk ID	153																								
Description	If our safeguarding arrangements are not sufficiently robust, then we will not be doing everything we possibly can to prevent the death, injury or neglect of a child or vulnerable adult and consequential reputational damage.	Risk Level	Corporate																								
Responsible Officer	Dave Howes	Councillor	Clive Lloyd																								
Last Update	07/01/2021	Risk Response	Tolerate																								
Last registered RAG status	RED	Historical RAG	<table border="1"> <thead> <tr> <th>Jan-20</th> <th>Feb</th> <th>Mar</th> <th>Apr</th> <th>May</th> <th>Jun</th> <th>Jul</th> <th>Aug</th> <th>Sep</th> <th>Oct</th> <th>Nov</th> <th>Dec</th> </tr> </thead> <tbody> <tr> <td>RED</td> <td>RED</td> <td>RED</td> <td>NONE</td> <td>NONE</td> <td>NONE</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>NONE</td> </tr> </tbody> </table>	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	RED	RED	RED	NONE	NONE	NONE	RED	RED	RED	RED	RED	NONE
Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec																
RED	RED	RED	NONE	NONE	NONE	RED	RED	RED	RED	RED	NONE																
Current Control Measures		Projected Completion	Last update																								
Action Plan Being Developed In Response To Recent Audit On Dbs Compliance In Schools.		01/09/2020	15/09/2020																								
Subgroup Of The Corp. Safeguarding Board Reviewing Additional Safeguards That Can Be Implemented By The Hr Transactions Team.		01/09/2020	15/09/2020																								
Support And Shield Vulnerable People In The Community During Covid-19		31/03/2021	15/09/2020																								
Provide Emotional And Well-Being Support To Children And Young People During Covid-19		31/03/2021	15/09/2020																								
Provide Support To People Who Are At Greater Risk From Domestic Abuse During Covid-19		31/03/2021	15/09/2020																								
Provide Front-Line Social Care Staff With Ppe During Covid-19.		31/03/2021	15/09/2020																								
Reprioritise Workload To Focus On The Most Vulnerable People And Prioritise Services And Contact With Those Individuals During The Covid-19 Response		31/03/2021	15/09/2020																								
Establish And Maintain A Regional Protocol To Provide Secure Covid-19 Care Home Provision, Including Increased Capacity In The Councils In-House Care Homes.		31/03/2021	15/09/2020																								
Implement The Councils Covid-19 Recovery Plan To Recover Services And Help Deal With Emerging Risks From Covid-19.		31/03/2021	15/09/2020																								
As Part Of A Wider Restructuring Of Adult Services, There Is Still A Plan To Re-Establish A Dedicated Safeguarding Team At The Front Door.		01/12/2020	07/07/2020																								
Closed Control Measures			Closure date																								
Director Of Social Services To Advise Cabinet And Cmt On Options To Bolster Resilience Of The Workforce In Frontline Child Protection Teams			15/09/2020																								
- Sufficient Numbers Of Trained Adult And Children Services Staff. Principal Officers For Safeguarding Within Social Services - Corporate Safeguarding Policy And Group. - Strong Performance Monitoring And Reporting Arrangements. - Positive Engagement And Support From Cabinet And Council. - Mandatory Corporate Safeguarding Training In Place For Staff And Members. - Commitment To Invest In Social Care Is Strong. - Corporate Priority. - Regional And Multi-Agency Safeguarding Partnerships. - Safeguarding Leads Identified Across All Council Services - Separate Safeguarding Arrangements In Place In Schools, With A Central Education Safeguarding Officer Within The Main Local Authority Directorate - Two Dedicated Scrutiny Panels In Place To Scrutinize Social Services Work And Performance. - New And Revised Safeguarding Policy Following A Review Undertaken By The Safeguarding Pddc' Update (16/7/2019) - Children Services Have Completed The Restructure Of The Frontline Supported Care Planning Teams. First Phase Training For Staff In The Adult Services Practice Model Is Almost Complete. Multi Agency Monitoring Of Potential Safeguarding Referrals Is Now In Place At The Front Door Of Adult Services. A Process For The Regular Audit Of Safeguarding Cases Has Now Been Established Within Adult Services To Mirror The Equivalent Arrangements For Children Services. Update 20/9/19 - Some Concern About Diminished Capacity Within Frontline Child Protection Teams Due To High Levels Of Churn Within The Workforce. Update 10/10/19 - Additional Concern Identified Regarding The Operation Of Hr Transactions Processes In Relation To Dbs Checks And Some Other Employment Checks In Regulated Services. Update 19/11/19 - Cmt Have Agreed Action Plan To Stabilise Recruitment And Retention Of Frontline Children Services Staff Update 6/7/20 Safeguarding Arrangements And Resources Have Had To Be Remodelled To Ensure That This Key Priority Function Within Social Services Can Continue To Be Safely Delivered Despite The Restrictions Imposed As A Result Of Covid. The Planned Implementation Of The Multi Agency Safeguarding Hub Has Progressed Despite Covid And The Required Dedicated Safeguarding Team For Adults Has Been Included In The Modified Restructure Of Adult Services Require As A Result Of Covid.			15/09/2020																								

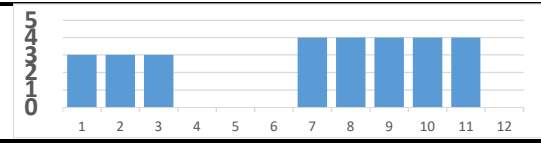
Current IMPACT

Very High



Current LIKELIHOOD

High

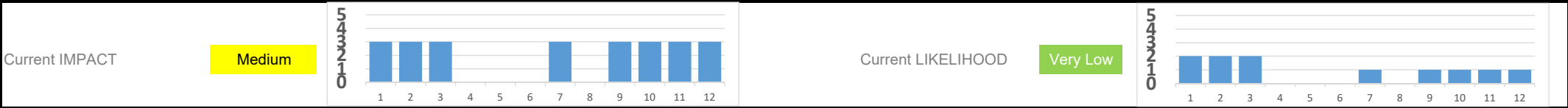


Title	Tax evasion	Risk ID	155
Description	If the Council fails to prevent those who act for or on its behalf from knowingly or unknowingly facilitating (including failing to prevent) tax evasion, then the Council will be criminally liable and will face an investigation by HMRC with potential prosecution and unlimited financial liability.	Risk Level	Corporate

Responsible Officer	Ben Smith	Councillor	Rob Stewart																								
Last Update	13/01/2021	Risk Response	Treat																								
Last registered RAG status	GREEN	Historical RAG	<table border="1"> <tr> <td>Jan-20</td> <td>Feb</td> <td>Mar</td> <td>Apr</td> <td>May</td> <td>Jun</td> <td>Jul</td> <td>Aug</td> <td>Sep</td> <td>Oct</td> <td>Nov</td> <td>Dec</td> </tr> <tr> <td>AMBER</td> <td>AMBER</td> <td>AMBER</td> <td>NONE</td> <td>NONE</td> <td>NONE</td> <td>GREEN</td> <td>NONE</td> <td>GREEN</td> <td>GREEN</td> <td>GREEN</td> <td>GREEN</td> </tr> </table>	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	AMBER	AMBER	AMBER	NONE	NONE	NONE	GREEN	NONE	GREEN	GREEN	GREEN	GREEN
Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec																
AMBER	AMBER	AMBER	NONE	NONE	NONE	GREEN	NONE	GREEN	GREEN	GREEN	GREEN																

Current Control Measures	Projected Completion	Last update
- Vat Manual, Guidance Notes And Accounting Instructions. - Vat Advice Available Via Principal Finance Partner And External Vat Advisors. - Financial Procedure Rules (Fprs) And Contract Procedure Rules (Cprs). - Ir35 Guidance And Procedure Notes Available. - Procurement Rules And Procedures. - Segregation Of Duties.	31/03/2021	23/11/2020
Vat Manual And Guide Available On Staffnet Permanently - Refreshed Annually As Needs Be	31/03/2021	23/11/2020
Accounting Instruction 15 - Vat - Permanently Available Online	31/03/2021	23/11/2020
Vat Advice Available To Any Staff Via Principal Finance Partner. All Finance Staff Know To Refer Any Reports With Vat Implications Via The Nominated Vat Principal Finance Partner	31/03/2021	23/11/2020
External Vat Advisors Retained By Council For Specialist Vat Advice Under Contract	31/03/2021	23/11/2020
Strong Personal Working Relationship Maintained With Hmrc Compliance Manager By S151 Officer (Corporate), Principal Finance Business Partner (Vat) And Service Centre Manager (Income Tax, Ni, Ir35, Self Employed Contractors Etc.)	31/03/2021	23/11/2020

Closed Control Measures	Closure date
{Transfer Of Historical Information} - Vat Manual, Guidance Notes And Accounting Instructions. - Vat Advice Available Via Principal Finance Partner And External Vat Advisors. - Financial Procedure Rules (Fprs) And Contract Procedure Rules (Cprs). - Ir35 Guidance And Procedure Notes Available. - Procurement Rules And Procedures. - Segregation Of Duties.	24/11/2020



Title	Financial Control - MTFP aspects of Sustainable Swansea	Risk ID	159
Description	If we fail to deliver Sustainable Swansea and maintain sufficient financial control, and in particular do not ensure we contain service overspending, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and changing public expectations	Risk Level	Corporate

Responsible Officer	Ben Smith	Councillor	Rob Stewart																								
Last Update	13/01/2021	Risk Response	Treat																								
Last registered RAG status	RED	Historical RAG	<table border="1"> <thead> <tr> <th>Jan-20</th> <th>Feb</th> <th>Mar</th> <th>Apr</th> <th>May</th> <th>Jun</th> <th>Jul</th> <th>Aug</th> <th>Sep</th> <th>Oct</th> <th>Nov</th> <th>Dec</th> </tr> </thead> <tbody> <tr> <td>RED</td> <td>RED</td> <td>RED</td> <td>NONE</td> <td>NONE</td> <td>NONE</td> <td>RED</td> <td>NONE</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> </tr> </tbody> </table>	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	RED	RED	RED	NONE	NONE	NONE	RED	NONE	RED	RED	RED	RED
Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec																
RED	RED	RED	NONE	NONE	NONE	RED	NONE	RED	RED	RED	RED																

Current Control Measures	Projected Completion	Last update
Covid-19 Recovery Plan : Future Council - Finance - New Mtfp.	31/03/2021	20/07/2020
Agreed And Well Established Quarterly Reporting Plan In Place To Document And Record At Cabinet All Actions Or Non Actions In Services To Contain Spending	31/03/2021	13/07/2020
Pfm (Performance And Financial Management/Monitoring) Process Monthly Is Well Established And Understood By All Officers With Appropriate Escalation Mechanism To S151 Officer Chief Executive And Cabinet If Non Compliance	31/03/2021	13/07/2020
Extant Spending Restrictions Published To All Staff And Reviewed And Many Controls Continue To Be Directly Exercised By Cmt In Relation To Filling Vacant Posts, Restructures Regrades And Committing Contract Sums	31/03/2021	13/07/2020

Closed Control Measures

- An Agreed Plan And A Process For Corporate Level Monitoring In Place. - An Agreed Budget. - Clear Governance And Reporting In Place. - Prevention Strategy. - Regular Monthly Monitoring At P&Fms. - Reporting, Monitoring And Review At Fstg. - Audit Committee Providing Challenge, Oversight And Assurance. - Collaborative Officer And Member Budget Setting Process In Place. - Launch Of Reshaping Board To Further Challenge Delivery/Mirigations For Non Delivery And Accelerate Timescale For Assuring Delivery - Mtfp. - Dedicated Scrutiny Service Improvement And Finance Performance Panel Consider And Scrutinise The Budget On A Quarterly Basis All The Above Refreshed For 2019-20 Budget Round Including Launch Of Zero Based Budget As Next Phase Of Sustainable Swansea

Closure date
13/07/2020

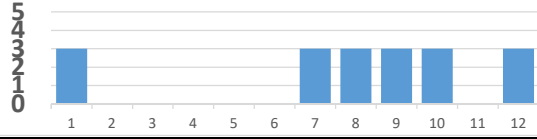


Title	New Legislative and Statutory Changes										Risk ID	180									
Description	IF the council cannot respond adequately to new legislative and regulatory requirements due to reduced resources, then it will be open to external challenge and may suffer reputational damage and fines.										Risk Level	Corporate									
Responsible Officer	Tracey Meredith					Councillor	Rob Stewart														
Last Update	13/12/2020					Risk Response	Treat														
Last registered RAG status	AMBER					Historical RAG	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec			
							AMBER	NONE	NONE	NONE	NONE	NONE	AMBER	NONE	AMBER	AMBER	AMBER	AMBER			
Current Control Measures												Projected Completion	Last update								
Ensure Legal Statutory Developments Are Flagged Up With Cmt/Intranet												30/06/2021	16/09/2020								
Closed Control Measures												Closure date									
Lawyers In Local Government Update On New Legislation, Consultation And Constitutional Matters - Circulated By Chief Legal Officer To Cmt On Regular Basis.												16/09/2020									
Lobby Welsh Government To Streamline Legislative Requirements, Bureaucracy And Decision Making To Allow A Flexible And Rapid Response To And Recovery From Covid-19.												16/09/2020									
Prepare Action Plan For New Local Government And Elections (Wales) Bill.												16/09/2020									
Legislative Requirements - Built Into Plans And Decision Making.												16/09/2020									
Well-Being Of Future Generations Act - Webpage Signposting To Welsh Government And Future Generation Commissioner Resources To Refer To And To Help Inform The Development Of Any Proposals / Reports At The Earliest Stage.												16/09/2020									
Legal Implications - Inserted Into Decision Making Reports With Legal And Access To Services Sign-Off.												27/07/2020									
Monitoring Of New Legislation By Legal Department.												27/07/2020									
Policy Briefing - Widely Circulated.												27/07/2020									
-Corporate Plan: Captures Major Change And Meets Duties Under The Well-Being Of Future Generations Act 2015 To Set Well-Being Objectives And Establish Steps To Meet Them. - Service Planning: Use Of The Swot/Pestle Process To Capture External Legislative Changes And Threats, Etc. And Embed The Well-Being Of Future Generations Act 2015. - Role Of Directors/Heads Of Service: Duty To Horizon Scan And Bring Forward Papers On New Changes And To Resource Accordingly And Act In Accordance With The Sustainable Development Principle Established By The Well-Being Of Future Generations Act 2015. - Regular Policy Briefing Developed And Widely Circulated. - Regular Policy Foresighting Briefing - Policy Perspectives, New Ideas And Emerging Ways Of Working - Developed And Widely Circulated. - Monitoring Of New Legislation By Legal Department And Democratic Services. - Lawyers In Local Government Update On New Legislation, Consultation And Constitutional Matters Circulated By Chief Legal Officer To Cmt On Regular Basis. Legal Implications Inserted Into Decision Making Reports.												17/12/2019									
Current IMPACT	Medium										Current LIKELIHOOD	Low									

Title	Workforce Strategy										Risk ID	196						
Description	If we do not have a robust workforce strategy in place, then we will not have staff with sufficient capacity and the right knowledge and skills to manage change, deliver transformed services and ensure statutory compliance.										Risk Level	Corporate						
Responsible Officer	Sarah Lackenby					Councillor	David Hopkins											
Last Update	23/12/2020					Risk Response	Treat											
Last registered RAG status	AMBER					Historical RAG	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
							AMBER	NONE	NONE	NONE	NONE	NONE	AMBER	AMBER	AMBER	AMBER	NONE	AMBER
Current Control Measures															Projected Completion	Last update		
Redeploy And Train Staff To Assist With The Covid-19 Response.															31/03/2021	23/12/2020		
Support Staff Health And Well-Being During Covid-19.															31/03/2021	24/07/2020		
Support Staff To Work Remotely At Home During Covid-19.															31/03/2021	24/07/2020		
Workforce Will Be A Key Strand Of The Future Council Workstream In The New Covid-19 Recovery Plan															31/03/2021	24/07/2020		
Reporting Through Leadership Team.															31/03/2021	24/07/2020		
Reporting Through Cmt/Cabinet Governance.															31/03/2021	24/07/2020		
Tracking And Monitoring Of Od Plan And Delivery.															31/03/2021	24/07/2020		
Organisational Development (Od) Strategy And Implementation Plan In Place.															31/03/2021	24/07/2020		
Apprenticeship / Traineeships Strategy.															31/03/2021	24/07/2020		
Gender Pay Gap And Project Plan															31/03/2021	24/07/2020		
Service Planning															31/03/2021	24/07/2020		
Corporate Plan - Transformation & Future Council Objective.															31/03/2022	24/07/2020		
Workforce Planning															31/03/2021	24/07/2020		
Closed Control Measures															Closure date			
Workforce Planning Corporate Plan Sustainable Development Principles Embedded In The Objectives Service Planning Gender Pay Gap And Project Plan Apprenticeship / Traineeships Strategy Organisational Development (Od) Strategy And Implementation Plan In Place Tracking And Monitoring Of Od Plan And Delivery New Reporting Through Revised Cmt/Cabinet Governance New Reporting Through Leadership Team															24/07/2020			

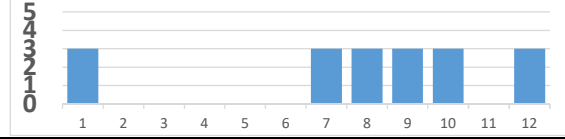
Current IMPACT

Medium



Current LIKELIHOOD

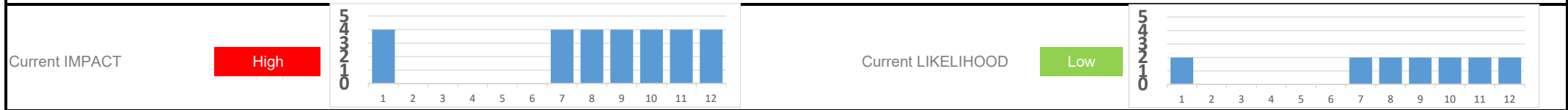
Medium



Title	Digital, data and cyber security											Risk ID	222				
Description	CR86 -If we do not have robust digital, data and cyber security measures and systems and behaviours in place, embedded and working as best as they can be, then we will be vulnerable to cyber threats, disruption to service delivery, possible loss of information including confidential information and associated fines and reputational damage.											Risk Level	Corporate				
Responsible Officer	Sarah Lackenby				Councillor	Andrew Stevens											
Last Update	23/12/2020				Risk Response	Treat											
Last registered RAG status	AMBER				Historical RAG	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
						AMBER	NONE	NONE	NONE	NONE	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER
Current Control Measures													Projected Completion	Last update			
Introduce Simulated Cyber-Attacks On Staff To Measure Their Actions, Identify Weaknesses And Improve Knowledge.													31/03/2021	24/07/2020			
Member Of The Cisp (Cyber Security Information Sharing Partnership) Which Is A Joint Industry And Government Initiative Set Up To Exchange Cyber Threat Information.													31/03/2021	24/07/2020			
Part Of The Wales Warp (Warning Advice And Reporting Point) To Share Cyber Threats And Defences With Other Public Bodies.													31/03/2021	24/07/2020			
Cyber Security Strategy Created And Ready For Engagement With Staff.													31/03/2021	24/07/2020			
Digital Services Working With Internal Audit And Emergency Planning To Further Improve The Ict Disaster Recovery Plan.													31/03/2021	24/07/2020			
Further Mitigation Includes Live Testing Of Dr Plan - Options Being Reviewed Potentially In Line With Wider Corporate Business Continuity Exercise.													31/03/2021	24/07/2020			
Lrf Cyber Exercise Planned And Revised Siro Training.													31/03/2021	24/07/2020			
Communications Issued To All Staff And Members Following Publication Of A Case Study Detailing The Impact Of A Cyber Attack At Another Council.													31/03/2021	24/07/2020			
Closed Control Measures															Closure date		
New Regional Multi-Agency Cyber Cell Meetings Being Attended To Share Intelligence And Actions.															24/11/2020		
Embarking On Cyber Essential And Cyber Essentials Plus Accreditation.															24/11/2020		
Provide Staff With Ict Security And Data Management Updates And Guidance During Covid-19 And Whilst Working From Home, Including Cyber Security Guidance And Covid-19 Cyber Scams Staffnet Page.															24/11/2020		
Ensure The Councils Covid-19 Recovery Plan Accounts For Increased Risks From Cyber Attacks And Data Fraud Arising From New Working Patterns And Reliance In Technology.															24/11/2020		
Cyber Security During Covid Reviewed Alongside Cyber Security Advice From Warp And Psn Compliance, E.G. Use Of Zoom															24/11/2020		
Cyber Essentials Accreditation Achieved.															28/10/2020		
Psn Certification Achieved.															28/10/2020		
Enhanced Security Layer Provided By Microsoft Office 365.															24/07/2020		

If We Do Not Have Robust Digital, Data And Cyber Security Measures And Systems And Behaviours In Place, Embedded And Working As Best As They Can Be, Then We Will Be Vulnerable To Cyber Threats, Disruption To Service Delivery, Possible Loss Of Information Including Confidential Information And Associated Fines And Reputational Damage. Risk Added 27/03/18 Following Review Of Production Of Corporate Plan 2017/22 And Subsequent Review Of Corporate Risks. Supersedes Risk Cr66. Risk Revised 18/09/18 Following Attendance At A Cyber-Event With The Police And Receiving Information From The Wlga Regarding What Local Authorities Should Be Demonstrating As Basic Measures. Gdpr Project Complete Members Of Digital Services, Communications And Emergency Planning Attended A Cyber-Security Training Event With The Police Which Included Senior Officers From Various Local Authorities Interacting In An Event Of A Real Cyber Incident. Part Of The Wales Warp (Warning Advice And Reporting Point) To Share Cyber Threats And Defences With Other Public Bodies. Member Of The Cisp (Cyber Security Information Sharing Partnership) Which Is A Joint Industry And Government Initiative Set Up To Exchange Cyber Threat Information.

24/07/2020



Title	Sustainable Swansea Transformation Programme Delivery	Risk ID	223
Description	CR103- If the Sustainable Swansea Transformation Programme does not deliver radical cross-cutting change, then the Council and its workforce are at risk of being unsustainable in the longer term	Risk Level	Corporate

Responsible Officer	Adam Hill	Councillor	Andrea Lewis											
Last Update	23/12/2020	Risk Response	Treat											
Last registered RAG status	AMBER	Historical RAG	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
			RED	NONE	NONE	NONE	NONE	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures	Projected Completion	Last update
Robust Programme Governance And Reporting	31/03/2021	24/11/2020
New Transformation Plan In Development By Deputy Chief Executive Linked With Covid Recovery.	31/03/2021	24/11/2020
Annual Programme Review Reflecting Lessons Learned Into Revised Programme	31/03/2021	24/11/2020
Annual Report To Scrutiny	31/03/2021	24/11/2020
Links With Corporate Governance Risk Around Risk Reporting For Major Projects	31/03/2021	24/11/2020
Robust Programme Management For Risks, Issues, Changes	31/03/2021	24/11/2020

Closed Control Measures	Closure date
Sustainable Swansea Programme Plan	24/11/2020
Monitoring And Reporting At Cmt Away Days And Cmt/Cabinet Away Days	24/11/2020



Title	Emergency Planning, Resilience and Business Continuity										Risk ID	235						
Description	If we do not have sufficient emergency planning, resilience and business continuity arrangements in place, then we will not be able to respond effectively in an emergency, provide the necessary civic leadership or continue to run vital services and ensure compliance with the legal requirements of the Civic Contingencies Act 2004 as a Category 1 Responder.										Risk Level	Corporate						
Responsible Officer	Adam Hill					Councillor	Andrew Stevens											
Last Update	31/12/2020					Risk Response	Treat											
Last registered RAG status	RED					Historical RAG	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
							RED	NONE	NONE	NONE	NONE	NONE	RED	RED	RED	RED	RED	RED
Current Control Measures												Projected Completion	Last update					
Dpr To Recruit Two Ems Officers And Extend Principal Emo Agreed 27th November, Internally And Externally Advertised												01/02/2021	31/12/2020					
Prepare For Further Covid-19 Or Other Infectious Disease Outbreaks.												31/03/2021	02/10/2020					
Multi Agency Exercising And Training.												31/03/2020	27/07/2020					
Review And Update Business Continuity Plans.												31/12/2020	27/07/2020					
Closed Control Measures												Closure date						
Temporary Mortuary Arrangements.												31/12/2020						
Additional Strategic Training To Increase Organisational Resistance Agreed For 3rd November Swirf Cancelled Gold, However Gold Lie Being Established And Tactical Training Under Development. Action Complete Director Trained Via Gold Lite Package												30/11/2020						
Restructure Of Ems To Include Additional Ems Officer And Principle For 12 Months Losses To Ems Officers Through Hr Process Further Dpr And Review Required In November												02/11/2020						
Specific Covid Rest Centre Arrangements Developed And Implemented Complete With Evac Ppe And Hygiene Supplies. Ppe Reserve Catalogued And Issued First Response Supplies To Duty Officers												02/11/2020						
Rest Centre Plan & Arrangements. Duty Packs Reviewed And Updated Oct 20												02/11/2020						
Additional Dedicated Ppe Reserve For Responders And Public During Evacuation And Additional Rest Centre Location For Mass Evacuation To Be Established From Bay. Ppe Reserve Now Catalogued With Dedicated Management Spreadsheet												02/11/2020						
Crisis Media Plan.												27/07/2020						
Major Incident Plan.												27/07/2020						
Mass Fatality Plan.												27/07/2020						
Flood Management Plan.												27/07/2020						
Emergency Recovery Plan.												27/07/2020						
Offsite Comah Plan & Exercising.												27/07/2020						

Commissioned Emergency Control Centre.	27/07/2020
Greater Responsibility Allocated To Deputy Ceo From 29 October 2018. Responsible Officer Changed From Phil Roberts To Adam Hill As Per Cmt On 13/02/19.	27/07/2020
Project Griffin Training.	27/07/2020
Call Out & Activation Protocols/Action Cards.	27/07/2020
Rag Alert System Across H&S, Emergency Management.	27/07/2020
Service And Corporate Business Impact Assessments And Business Continuity Plans.	27/07/2020
Continual Review Of Plans & Protocols.	27/07/2020
Vehicle Mitigation & Protective Security Advice.	27/07/2020
Risk Profiling.	27/07/2020
Major Incident Plan - Flood Management Plan - Mass Fatality Plan - Temporary Mortuary Arrangements - Crisis Media Plan - Rest Centre Plan & Arrangements - Recovery Plan - Offsite Comah Plan & Exercising - Risk Profiling - Project Griffin Training - Vehicle Mitigation & Protective Security Advice - Multi Agency Exercising & Training - Call Out & Activation Protocols/Action Cards - Continual Review Of Plans & Protocols - Service And Corporate Business Impact Assessments And Business Continuity Plans - Rag Alert System Across H&S, Emergency Management	27/07/2020



Title	Health & Safety										Risk ID	236				
Description	If we fail to have robust Health & Safety policies and arrangements in place, then there could be a health and safety breach identified as a corporate failing with associated legal, financial and reputational consequences										Risk Level	Corporate				
Responsible Officer	Adam Hill			Councillor	David Hopkins											
Last Update	31/12/2020			Risk Response	Treat											
Last registered RAG status	AMBER			Historical RAG	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
					AMBER	NONE	NONE	NONE	NONE	NONE	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER
Current Control Measures												Projected Completion	Last update			
Provide Stress Management And Counselling And Health & Safety Advice And Support To Staff During Covid-19.												31/03/2021	31/12/2020			
Staff Well-Being As Part Of The Future Council Stream Of The Council'S Covid-19 Recovery Plan.												31/03/2021	31/12/2020			
Closed Control Measures															Closure date	
Noise, Dust, Lighting, Humidity & Vibration Sampling.															31/12/2020	
Member Of British Association Of Counsellors And Psychotherapists (Bacp).															31/12/2020	
Directors H&S Committees & Sub Safety Groups.															31/12/2020	
Review Business Continuity Plans To Prepare For Eu Exit.															31/12/2020	
Early Review Of Lone Working, Dse And Mental Health Policies To Include Impacts And Resources Available From Extended Home Working And Social Isolation															31/12/2020	
Additional Guidance On Health Assessments And General Covid Information As Priority Objective															31/12/2020	
Due To Service Losses, Available H&S Officers At A Significantly Reduced Level, Particularly With Demand From Schools And Social Care Sector, Dpr On Service Need And Staffing To Be Submitted To Cmt November Dpr Signed Off 30th November															31/12/2020	
Retrospectively Entered, Covid Assessments, Standard Operating Procedures Created For Schools And Premices, Bame And Health Assessment Processes Created And Various Ppe Guidance.															31/12/2020	
Well-Being Policies. New Mental Health Policy Under Consultation To Include Social Isolation And Impacts From Home Working															27/07/2020	
H&S Toolkits.															27/07/2020	
Riddor Procedures For Reportable Incident To The Hse.															27/07/2020	
H&S Audit Plan.															27/07/2020	
Rag Alert System Across H&S, Emergency Management And Well-Being															27/07/2020	
Health & Safety Policies.															27/07/2020	

Health & Safety Mandatory Training And E-Learning.

27/07/2020

Swansea Council Rag Fire Risk Profiling For All Premises.

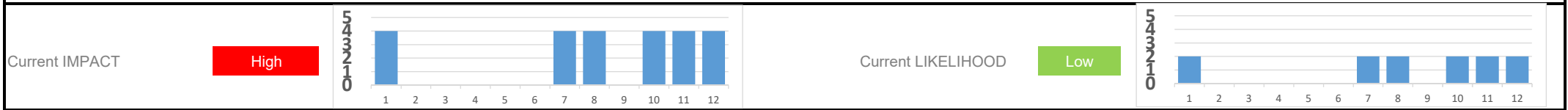
27/07/2020

Greater Responsibility Given To Deputy Ce From 29 October 2018. Responsible Officer Changed From Phil Roberts To Adam Hill As Per Cmt On 13/02/19

27/07/2020

- Health & Safety (H&S) Policies - H&S Toolkits - Riddor Procedures For Reportable Incident To The Hse - H&S Audit Plan - Well-Being Policies - Member Of British Association Of Counsellors And Psychotherapists (Bacp) - Seqosh Accreditation By Faculty Of Occupational Medicine - Noise, Dust, Lighting, Humidity & Vibration Sampling - Directors H&S Committees

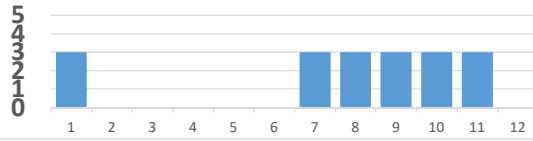
27/07/2020



Title	Regional Working										Risk ID	259				
Description	If the Council, along with its partners and Welsh Government, does not develop and improve regional working, then it will divert the Council and its resources from key priorities and will not benefit Swansea and its residents.										Risk Level	Corporate				
Responsible Officer	Phil Roberts			Councillor	Rob Stewart											
Last Update	15/12/2020			Risk Response	Treat											
Last registered RAG status	AMBER			Historical RAG	Jan-20	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
					AMBER	NONE	NONE	NONE	NONE	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER
Current Control Measures												Projected Completion	Last update			
Consider Through The Erw Joint Committee The Future Collaboration On The Delivery Of School Improvement Services.												31/03/2021	15/12/2020			
Maintain Stronger Partnership Working And Relationships Post-Covid-19 And As Part Of The Councils' Covid-19 Recovery Plan And Continue To Make Use Of Microsoft Teams To Ensure Regional Meetings Are More Frequent And Effective.												31/03/2021	24/07/2020			
Playing A Leading And Proactive Role In Major Regional Collaborations.												31/03/2021	24/07/2020			
Closed Control Measures																Closure date
Representations Have Been Made To Welsh Government On Reforming The Grant Regime.																24/07/2020
Governance Structures Are In Place For All Major Collaborations.																24/07/2020
Partnerships Have Been Mapped.																24/07/2020
Director Leads For Each Partnership.																24/07/2020
Senior Management Restructure Strengthening Capacity For Regional Working.																
<p>- The Senior Management Restructure Approved By Council On 21st June Strengthens The Council - Management Capacity To Ensure That The Regional Collaboration Agenda Can Be Taken Forward Proactively By Swansea Whilst Also Allowing The Council To Manage Its Ambitious Programmes Based Around The Corporate Priorities. - The New Senior Management Structure Agreed At Council On 21st June 2018 Has Director Leads In Place For Each Partnership. - The Council Is Playing A Leading And Proactive Role In Major Regional Collaborations. - A Mapping Exercise Has Been Undertaken That Identified The Key Local, Regional And National Partnerships. - Erw Produces Audited And Published Accounts And Are Inspected By Estyn And Has Produced A Document Called Democratic Accountability And Scrutiny, Which Recognises The Role Of Scrutiny In, Amongst Other Things, Monitoring Performance And Budgets. The City Deal Is In The Development Stages Of Practical Formation And Detailed Agreement; It Is Envisaged That The Governance Structure Will Be Similar To That Of Erw. - The Chief Executive Takes The Lead Role For Erw And Western Bay As Well As Being An Executive Member Of The City Deal Joint Committee. - The Leader Of The Council Is The City Region Joint Committee Chair. - The City Deal Has A Joint Working Agreement In Place, Which Was Approved At Council On 26th July 2018. - A Review Of Progress Has Been Undertaken By Ipc On The Western Bay Health & Social Care Collaboration. - The Council Meets Up Regionally With 5 Other Local Authorities To Discuss Collaboration Projects. - The Council Has A Clear Rationale In Place When Collaborating And It Is Clear On The Anticipated Benefits And Costs. - Erw Has Fully Formed Governance Arrangements, Which Includes A Joint Committee, An Erw Service Committee And A Joint Scrutiny Mechanism. A Joint Committee Agreement And Joint Scrutiny Arrangements Were Agreed For The City Deal At Council On 26th July 2018. Western Bay Has A Joint Committee In Place; There Are Scrutiny Arrangements In Place For All Three Partnerships - The Council Is Playing A Leading And Proactive Role In Major Regional Collaborations. - The Council Has A Clear Rationale In Place When Collaborating And It Is Clear On The Anticipated Benefits And Costs. - The Council Understands What It Currently Contributes Directly To Erw, Western Bay And City Region And How Much It Contributes To All Other Partnerships. - The Council Is Rolling Out And Promoting The Use Of Skype As Part Of The Wider Roll Out Of Office 365 Resulting From The Council - Digital Strategy And Modernisation Agenda. - The City Deal Is Being Delivered With The Involvement Of The Private Sector. The Western Bay Programme Supports Collaborative Working Between Four Statutory Partner Organisations, Together With The Third And Independent Sectors. Erw Has Independent Members Involved In The Executive Board. - Representations Have Been Made To Welsh Government On Reforming The Grant Regime; For Example Through The Council - Response To The Recent Green Paper On Local Government Reorganisation. Covid-19 Has Significantly Impacted On The Potential For Increased Regional Collaboration In Two Ways. Firstly The Move To Remote Meetings Via Ms Teams Has Meant That Meetings Are More Structured, More Frequent And More Effective. The Ability To Hold Formal Meetings Using Ict Has Been Enabled By Wg Regulation And This Should Now Become The Norm. Secondly The Collaboration With Npt And Sbuhb Has Accelerated With The Response To The Pandemic Being A Catalyst For Improved Joint Working Which Must Be Maintained Post-Covid.</p>																08/06/2020

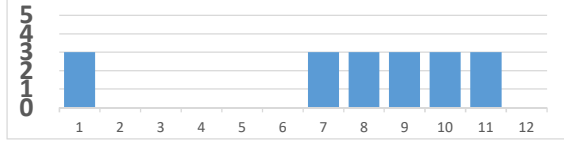
Current IMPACT

Medium



Current LIKELIHOOD

Medium



Title	Post-Brexit Trade Deal with EU	Risk ID	261
Description	If the Council fails to maintain preparations to do what it can to respond to the possibility that the UK will not secure a trade deal with the EU, then there may be economic and other consequences for Swansea.	Risk Level	Corporate

Responsible Officer	Adam Hill	Councillor	Rob Stewart																						
Last Update	31/12/2020	Risk Response	Treat																						
Last registered RAG status	AMBER	Historical RAG	<table border="1"> <thead> <tr> <th>Feb-20</th> <th>Mar</th> <th>Apr</th> <th>May</th> <th>Jun</th> <th>Jul</th> <th>Aug</th> <th>Sep</th> <th>Oct</th> <th>Nov</th> <th>Dec</th> </tr> </thead> <tbody> <tr> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>AMBER</td> </tr> </tbody> </table>	Feb-20	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	AMBER
Feb-20	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec															
RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	AMBER															

Current Control Measures	Projected Completion	Last update
Continue To Respond To Wlga And Welsh And Uk Government Advice And Guidance On Preparations.	31/12/2020	31/12/2020
Compile A List Of Eu Funds, When It Terminates And Any Replacement	24/11/2020	23/11/2020
Understand The Impacts Of Brexit And Covid-19 On The Local Economy And Plan Economic Revival And Renewal Through The Economy & Business Stream Of The Council's Covid-19 Recovery Plan.	31/03/2021	21/10/2020

Closed Control Measures	Closure date
Continue To Maintain No Deal Preparations And Monitor Through Meetings Of The Brexit Steering Group.	31/12/2020

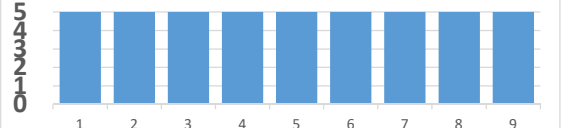
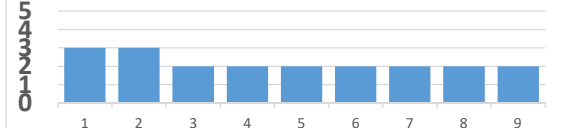


Title	COVID-19	Risk ID	264
Description	If we fail to carry on providing a co-ordinated and joined-up response to Covid-19 and make the best use of our workforce and available resources, then : we will be unable to protect vulnerable people and meet demand for key services, such as social care; there will be disruption to services and supplies, including food supplies; we will not be supporting critical services, key workers and local businesses sufficiently to limit the impact of the virus.	Risk Level	Corporate

Responsible Officer	Adam Hill	Councillor	Rob Stewart																		
Last Update	31/12/2020	Risk Response	Treat																		
Last registered RAG status	RED	Historical RAG	<table border="1"> <tr> <td>Apr-20</td> <td>May</td> <td>Jun</td> <td>Jul</td> <td>Aug</td> <td>Sep</td> <td>Oct</td> <td>Nov</td> <td>Dec</td> </tr> <tr> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>RED</td> </tr> </table>	Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	RED	RED	RED	RED	RED	RED	RED	RED	RED
Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec													
RED	RED	RED	RED	RED	RED	RED	RED	RED													

Current Control Measures	Projected Completion	Last update
Work With Partners To Inform And Reassure The Public And Reinforce Health And Social Distancing Messages Through Social And Other Media.	31/03/2021	31/12/2020
Provide Council-Led To Support To Local Businesses, E.G. Advice, Grants And Rate Relief.	31/03/2021	31/12/2020
Provide Help And Support To People And Communities During The Pandemic.	31/03/2021	31/12/2020
Prepare For The Possibility Of Further Covid-19 Outbreaks.	31/03/2021	21/10/2020
Prepare And Implement A Covid-19 Recovery Plan To Restart, Adapt, Recover And Transform Council Services.	31/03/2021	21/10/2020

Closed Control Measures	Closure date
Work With Partners To Provide Social Care And Other Critical Front-Line Staff With Ppe.	21/10/2020
Work With Partners To Ensure Resilient Supply Chains, Especially Food And Ppe Supply.	18/09/2020
Work With Partners To Redeploy Staff And Seek Recruits To Critical Areas, Such As Social Care And Food Distribution To Food Banks.	18/09/2020
Work With Partners To Support Education Teams & Schools And Provide Education / Childcare For Key Workers & Food For Children Who Get Fsms.	18/09/2020
Work With Partners To Prioritise Demand For Key Services, Especially Social Care And Homelessness.	26/08/2020
Provide Food, Pharmacy And Well-Being Support To Shielded Individuals Through Swansea Council Helpline, Local Area Co-ordinators (Lac), Swansea Council For Voluntary Service (Scvs) And The Food Bank Network.	26/08/2020
Work With Partners To Help Increase Emergency Bed Provision Through The Conversion Of Buildings Into Field Hospitals.	26/08/2020
Log And Share Good Practice And Lessons Learnt Responding To The Covid-19 Virus And Share Relevant Data And Statistics On The Impact Of The Virus, Such As Those Provided By Ons	26/08/2020

Current IMPACT Very High 	Current LIKELIHOOD Low 
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Title	Local economy and infrastructure	Risk ID	269
Description	If the local economy and infrastructure is not transformed and supported to be resilient and to take advantage of national and global trends and events and attract investment, then it will not fulfil its potential as a regional centre to raise aspirations, improve services, lift skills, improve connectivity, create well-paid employment opportunities and improve the well-being of Swansea citizen.	Risk Level	Corporate

Responsible Officer	Martin Nicholls	Councillor	Rob Stewart												
Last Update	13/01/2021	Risk Response	Treat												
Last registered RAG status	RED	Historical RAG	<table border="1"> <tr> <td>Jul-20</td> <td>Aug</td> <td>Sep</td> <td>Oct</td> <td>Nov</td> <td>Dec</td> </tr> <tr> <td>RED</td> <td>NONE</td> <td>RED</td> <td>RED</td> <td>RED</td> <td>NONE</td> </tr> </table>	Jul-20	Aug	Sep	Oct	Nov	Dec	RED	NONE	RED	RED	RED	NONE
Jul-20	Aug	Sep	Oct	Nov	Dec										
RED	NONE	RED	RED	RED	NONE										

Current Control Measures	Projected Completion	Last update
Develop A Covid Economic Recovery Plan	31/10/2020	13/01/2021
Collaborate With Welsh Government On Regional Economic Framework	31/03/2021	13/01/2021
Refresh Regional Economic Regeneration Strategy	31/03/2021	22/10/2020
Attract Sufficient Investment And Development And Regenerate The City Centre.	31/03/2021	27/09/2020
Work With Partners To Deliver The Swansea Bay City Deal And Attract Investment Across The Region To Deliver Highly Skilled And Well-Paid Jobs.	31/03/2021	27/09/2020
Organise And Facilitate Virtual Meet-The-Buyer Events To Help Local Businesses To Identify Opportunities To Bid For Council Work And Contracts.	31/03/2021	27/09/2020
Take Appropriate Actions Where The Council Has A Direct Relationship With Businesses Such As Swansea Indoor Market Traders With Rent Relief To Support Businesses During Covid-19.	31/03/2021	27/09/2020
Provide Business Advice And Support, Including Administering UK And Welsh Government Business Grants And Funds, To Assist Them During Covid-19.	31/03/2021	27/09/2020
Assist Tourism Businesses To Reopen Safely Following Closure As A Result Of Covid-19.	31/03/2021	27/09/2020
Work With The Welsh Government On A Foundational Economy Approach To Help Establish A Firm Base Of Medium Sized Firms In Swansea, Strengthen Local Supply Chains And Add Social Value In Procurement.	31/03/2021	27/09/2020
Implement The Business And Economic Stream Of The Councils Covid-19 Recovery Plan To Understand And Recover From The Impact Of Covid-19, Build Resilience And Develop Opportunities.	31/03/2021	27/09/2020

Closed Control Measures	Closure date
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<p>Current IMPACT</p> <p>Very High</p>	<p>Current LIKELIHOOD</p> <p>Very High</p>
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