

Risk on a Page

Risk Title : Pupil attainment and achievement

Risk ID : 94

Description : If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and to contribute effectively to the economic prosperity of the city.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Jennifer Raynor

Last Update : 25/03/2021

Historical RAG :	Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar-21
				RED		AMBER	AMBER	AMBER	AMBER		AMBER	AMBER

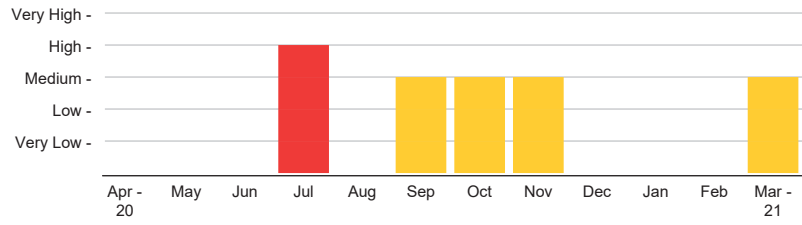
Current Control Measures	Last Update	Risk Response	Projected Completion
Professional Learning Networks Continue To Develop A Blended And Remote Learning Offer. Focus On Recovery Of Operations Is Being Developed Via Multi Agency Meetings And Networks. Loss Of Learning Due To Covid Will Be A Key Focus Of Recovery Plans.	23/02/2021		01/09/2021
Support Pupils To Return Safely To School In Sept 2020 Through The Health, Welfare & Community Education Stream Of The Councils Covid-19 Recovery Plan.	24/07/2020		14/09/2020
Offer Childcare In Schools During Term-Time To Key Workers And The Most Vulnerable Children During The Covid-19 Pandemic.	24/07/2020		14/09/2020
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.	24/07/2020		14/09/2020
Further Enhance The Continuity Of Learning Programme.	16/07/2020		29/10/2020
Commitment To Invest In Education.	10/03/2020		31/12/2024
School Improvement Strategy And Partnership.	21/11/2019		31/12/2024
Attendance Strategy.	21/11/2019		31/12/2024
Strong Leadership Commitment To Influencing The Erw Agenda.	21/11/2019		31/12/2024
New Eotas Strategy & Programme.	21/11/2019		31/12/2024

Current Control Measures	Last Update	Risk Response	Projected Completion
Commissioning Review On Aln.	21/11/2019		31/12/2024
Education Skills Co-Ordinator Appointed.	21/11/2019		31/12/2020
Dedicated Scrutiny Panel To Scrutinise Education Work And Performance.	21/11/2019		31/12/2024
Strong School Building Programme.	21/11/2019		31/12/2024
Renewed Focus Through The Child Protection Board On The Educational Achievement Of Lac.	21/11/2019		31/12/2024
Effective Partnership Working.	21/11/2019		31/12/2024
Good School-To-School Support.	21/11/2019		31/12/2024
Corporate Priority.	21/11/2019		31/12/2024
Positive Engagement And Support From Cabinet And Council.	21/11/2019		31/12/2024

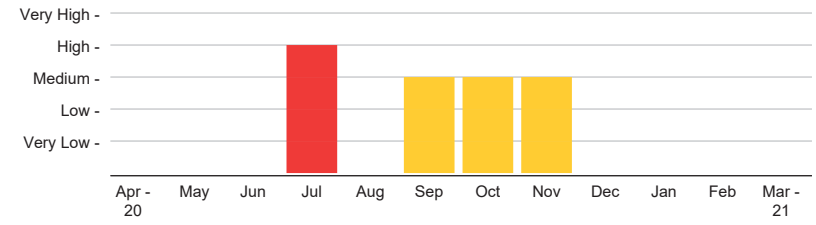
Closed Control Measures

	Closure Date
Phased Returns To Face To Face Learning Have Begun And Planning Work Is Refocussing To Recovery.	30/06/2021
{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. ∩ Commissioning Review On Aln. ∩ Dedicated Scrutiny Panel To Scrutinise Education Work And Performance. ∩ Education Skills Co-Ordinator Appointed.	01/01/2020
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.	17/07/2020

Historical Impact : Medium



Historical Likelihood :



Risk on a Page

Risk 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 added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR45.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Clive Lloyd

Last Update : 16/04/2021

Historical RAG :	Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar-21
				RED	RED	RED	RED	RED		RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Implement The Councils Covid-19 Recovery Plan To Recover Services And Help Deal With Emerging Risks From Covid-19.	16/04/2021	Treat	31/12/2021
Provide Emotional And Well-Being Support To Children And Young People During Covid-19	16/04/2021	Treat	28/05/2021
Provide Support To People Who Are At Greater Risk From Domestic Abuse During Covid-19	16/04/2021	Treat	28/05/2021
Reprioritise Workload To Focus On The Most Vulnerable People And Prioritise Services And Contact With Those Individuals During The Covid-19 Response.	16/04/2021	Treat	28/05/2021
Establish And Maintain A Regional Protocol To Provide Secure Covid-19 Care Home Provision, Including Increased Capacity In The Councils In-House Care Homes.	16/04/2021	Treat	28/05/2021

Closed Control Measures	Closure Date
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.	16/04/2021
Provide Front-Line Social Care Staff With Ppe During Covid-19.	16/04/2021
Support And Shield Vulnerable People In The Community During Covid-19	16/04/2021
Subgroup Of The Corp. Safeguarding Board Reviewing Additional Safeguards That Can Be Implemented By The Hr Transactions Team.	16/04/2021

Closed Control Measures

Closure Date

Action Plan Being Developed In Response To Recent Audit On Dbs Compliance In Schools.

16/04/2021

Children Services Are Planning To Further Enhance The Multi-Agency Front Door Team With A Dedicated Safeguarding Hub.

06/07/2020

Director Of Social Services To Advise Cabinet And Cmt On Options To Bolster Resilience Of The Workforce In Frontline Child Protection Teams

06/07/2020

¿ Sufficient Numbers Of Trained Adult And Children Services Staff. Principal Officers For Safeguarding Within Social Services

07/07/2020

¿ 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.

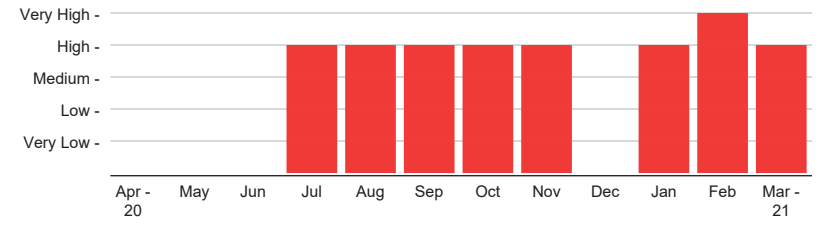
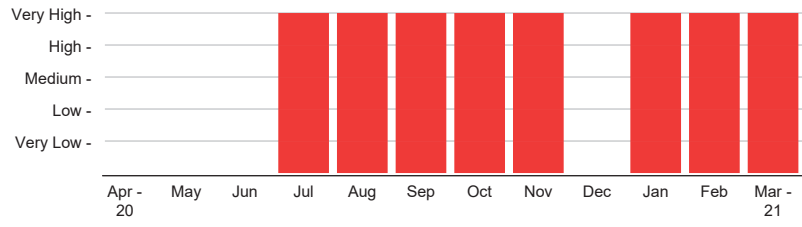
Update 10/10/19 - Additional Concern Identified Regarding The Operation Of Hr Transactions Processes In Relation To Dbs Checks And Some Other Employment Checks In Regulated Services.

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 Required As A Result Of Covid.

Historical Impact : **Very High**

Historical Likelihood : **High**



Risk on a Page

Risk 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 added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 27/04/2021

Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
GREEN GREEN GREEN GREEN GREEN GREEN GREEN GREEN

Current Control Measures	Last Update	Risk Response	Projected Completion
External Vat Advisors Retained By Council For Specialist Vat Advice Under Contract	23/11/2020		31/03/2021
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.)	23/11/2020		31/03/2021

Closed Control Measures

Closure Date

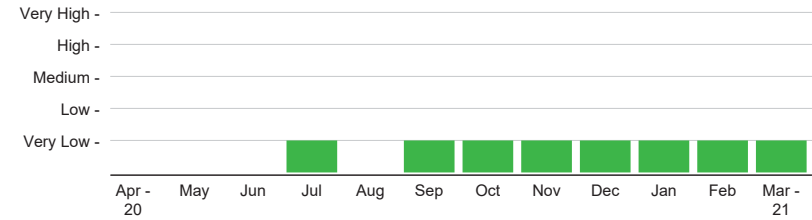
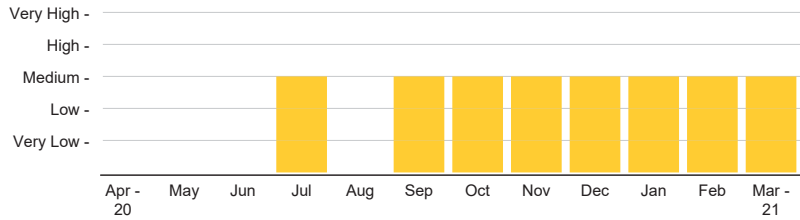
{Transfer Of Historical Information}

31/03/2020

- ¿ 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.

Historical Impact : Medium

Historical Likelihood : Very Low



Risk on a Page

Risk 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 added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risks CR46 and CR47.
 RR 19/07/19 - Description changed from 'Financial Control (Service Overspending) and Sustainable Swansea' to 'Financial Control - MTFP aspects of Sustainable Swansea' as per CMT 10/07/19

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 27/04/2021

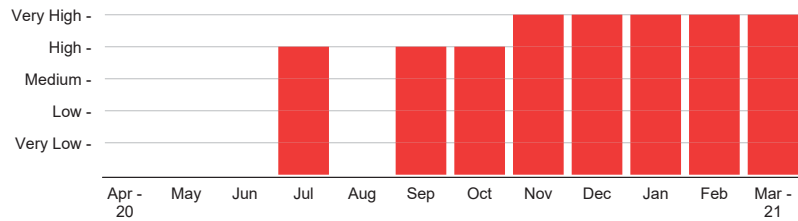
Historical RAG :	Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar-21
				RED		RED	RED	RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
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	27/04/2021	Treat	31/03/2022
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	27/04/2021	Treat	31/03/2022
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	27/04/2021	Treat	31/03/2022
Covid-19 Recovery Plan : Future Council - Finance - New Mtfp.	27/04/2021	Treat	31/03/2022
Covid Disruption	27/04/2021	Tolerate	31/03/2022

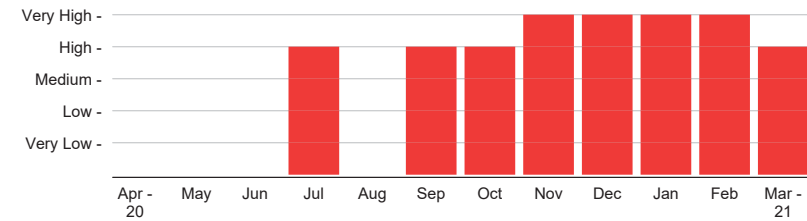
Closed Control Measures	Closure Date
<ul style="list-style-type: none"> ¿ An Agreed Plan And A Process For Corporate Level Monitoring In Place. ¿ An Agreed Budget. ¿ Clear Governance And Reporting In Place. ¿ Prevention Strategy. 	31/03/2020

- ¿ 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

Historical Impact : Very High



Historical Likelihood : High



Risk on a Page

Risk 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 : Robert Stewart

Last Update : 27/04/2021

Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
AMBER AMBER AMBER AMBER AMBER AMBER AMBER

Closed Control Measures

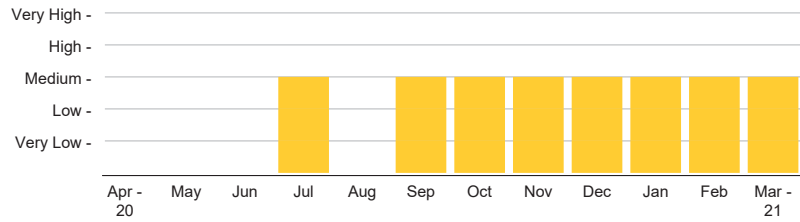
Closure Date

¿ Monitoring Of New Legislation By Legal Department And Democratic Services.

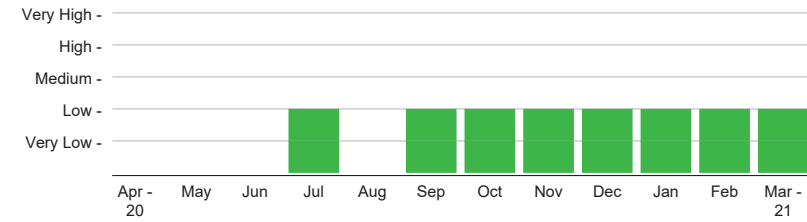
¿ Lawyers In Local Government Update On New Legislation, Consultation And Constitutional Matters Circulated By Chief Legal Officer To Cmt On Regular Basis.

Legal Implications Inserted Into Decision Making Reports.

Historical Impact : **Medium**



Historical Likelihood : **Low**



Risk on a Page

Risk 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 added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR43.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : David Hopkins

Last Update : 30/04/2021

Historical RAG :	Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar-21
				AMBER	AMBER	AMBER	AMBER		AMBER	AMBER	AMBER	AMBER

Current Control Measures

Workforce Strategy For 2021-24 Being Developed To Incorporate Workforce Planning, For Consultation With Cmt And Cabinet In April/ May/ June In 2021.

Last Update

28/04/2021

Risk Response

Tolerate

Projected Completion

30/06/2021

Closed Control Measures

Workforce Planning

Closure Date

31/03/2021

Workforce Planning

31/03/2021

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

Service Planning

31/03/2021

Gender Pay Gap And Project Plan

31/03/2021

Organisational Development (Od) Strategy And Implementation Plan In Place.

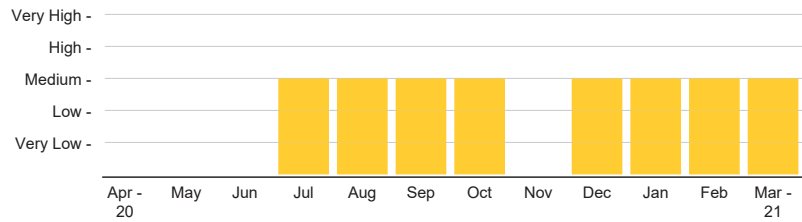
31/03/2021

Closed Control Measures

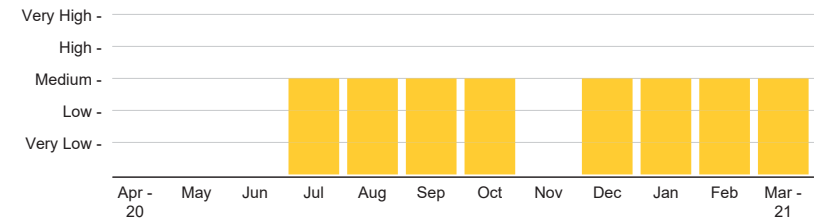
Closure Date

Support Staff To Work Remotely At Home During Covid-19.	31/03/2021
Tracking And Monitoring Of Od Plan And Delivery.	31/03/2021
Workforce Will Be A Key Strand Of The Future Council Workstream In The New Covid-19 Recovery Plan	31/03/2021
Support Staff Health And Well-Being During Covid-19.	31/03/2021
Reporting Through Leadership Team.	31/03/2021
Apprenticeship / Traineeships Strategy.	31/03/2021
Redeploy And Train Staff To Assist With The Covid-19 Response.	31/03/2021
Corporate Plan - Transformation & Future Council Objective.	31/03/2021

Historical Impact : Medium



Historical Likelihood : Medium



Risk on a Page

Risk 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 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.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : Andrew Stevens

Last Update : 30/04/2021

Historical RAG :	Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar-21
				AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Introduce Simulated Cyber-Attacks On Staff To Measure Their Actions, Identify Weaknesses And Improve Knowledge.	30/04/2021	Treat	30/07/2021
Evaluating New Software To Further Support Existing Cyber Security Suite	30/04/2021	Treat	30/07/2021
Further Mitigation Includes Live Testing Of Dr Plan - Options Being Reviewed Potentially In Line With Wider Corporate Business Continuity Exercise.	30/04/2021	Treat	31/03/2022

Closed Control Measures	Closure Date
Digital Services Working With Internal Audit And Emergency Planning To Further Improve The Ict Disaster Recovery Plan.	01/04/2020
Lrf Cyber Exercise Planned And Revised Siro Training.	31/12/2020
Cyber Security Strategy Created And Ready For Engagement With Staff.	01/01/2021
New Regional Multi-Agency Cyber Cell Meetings Being Attended To Share Intelligence And Actions.	01/10/2019
Embarking On Cyber Essential And Cyber Essentials Plus Accreditation.	03/06/2019

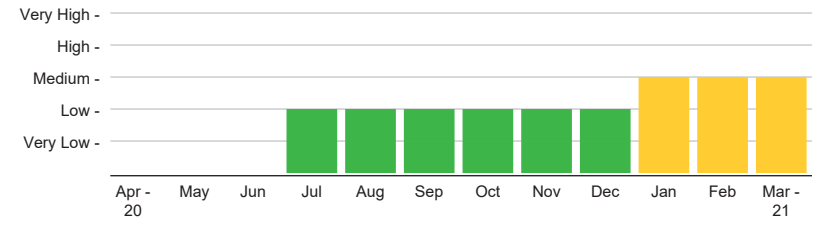
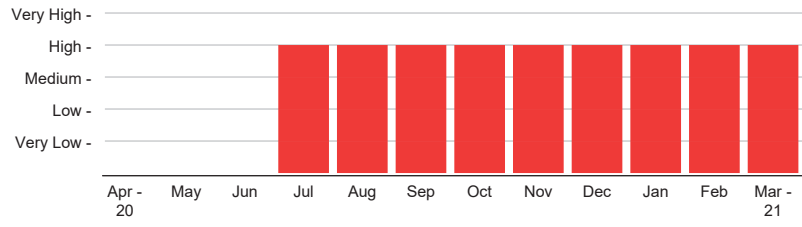
Closed Control Measures

Closure Date

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.	01/06/2020
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.	02/11/2020
Cyber Security During Covid Reviewed Alongside Cyber Security Advice From Warp And Psn Compliance, E.G. Use Of Zoom	30/04/2020
Cyber Essentials Accreditation Achieved.	31/10/2019
Psn Certification Achieved.	31/10/2019
Member Of The Cisp (Cyber Security Information Sharing Partnership) Which Is A Joint Industry And Government Initiative Set Up To Exchange Cyber Threat Information.	31/03/2020
Part Of The Wales Warp (Warning Advice And Reporting Point) To Share Cyber Threats And Defences With Other Public Bodies.	31/03/2020
Enhanced Security Layer Provided By Microsoft Office 365.	31/03/2020
Communications Issued To All Staff And Members Following Publication Of A Case Study Detailing The Impact Of A Cyber Attack At Another Council.	31/10/2019
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.	31/03/2020

Historical Impact : **High**

Historical Likelihood : **Medium**



Risk on a Page

Risk 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
RR 19/07/19 - Corporate Services Risk CS92 Sustainable Swansea Programme Delivery closed and matter escalated to Corporate Risk Register, as per CMT 10/07/19

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrea Lewis

Last Update : 27/04/2021

Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER

Current Control Measures

Annual Report To Scrutiny

Last Update

27/04/2021

Risk Response

Treat

Projected Completion

30/11/2021

Closed Control Measures

Closure Date

Links With Corporate Governance Risk Around Risk Reporting For Major Projects

01/01/2021

Annual Programme Review Reflecting Lessons Learned Into Revised Programme

01/01/2021

New Transformation Plan In Development By Deputy Chief Executive Linked With Covid Recovery.

01/01/2021

Robust Programme Management For Risks, Issues, Changes

01/01/2021

Robust Programme Governance And Reporting

01/01/2021

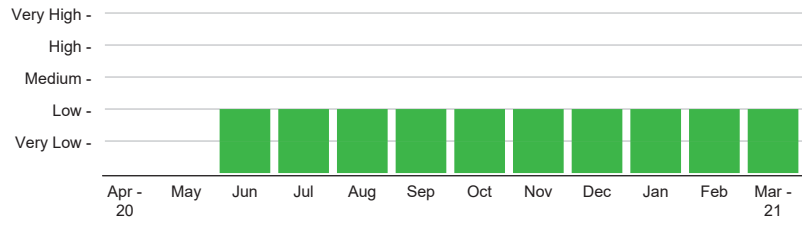
Monitoring And Reporting At Cmt Away Days And Cmt/Cabinet Away Days

31/03/2020

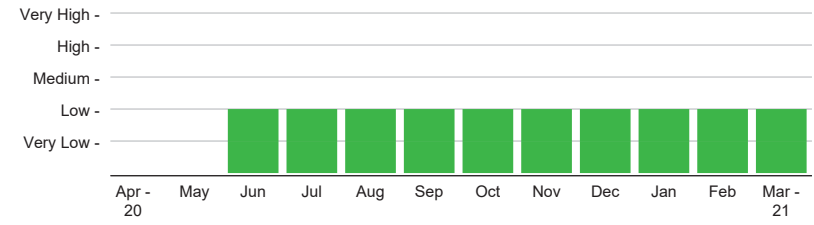
Sustainable Swansea Programme Plan

30/04/2020

Historical Impact : **Low**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Emergency Planning, Resilience and Business Continuity

Risk ID : 235

Description : If we do not have sufficient emergency planning, resilience and business continuity arrangements in place, then we will not be able to respond effectively in an emergency, provide the necessary civic leadership or continue to run vital services and ensure compliance with the legal requirements of the Civic Contingencies Act 2004 as a Category 1 Responder.

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrew Stevens

Last Update : 29/04/2021

Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21

RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	AMBER
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Current Control Measures	Last Update	Risk Response	Projected Completion
Establish Ems Radio System To Deal With Mobile Network Failure During Major Incident	29/04/2021	Treat	30/07/2021
New Service Delivery 21-22, To Develop Emergency Arrangements For Reservoir Inundation/Breach, Coal/Spoil Tip Landslide/Breach, Felindre Site, And Development Of Additional Rest Centres	29/04/2021	Treat	31/03/2022
Assistant Emo Post Job Evaluated Dpr For Cmt Approval 9th April For Sign Off And Recruitment	29/04/2021	Treat	25/06/2021

Closed Control Measures	Closure Date
Ems Staffing And Resilience	26/03/2021
Prepare For Further Covid-19 Or Other Infectious Disease Outbreaks.	26/03/2021
Review And Update Business Continuity Plans.	31/12/2020
Multi Agency Exercising And Training.	31/03/2020
Review Of Mip And Supporting Action Cards Underway	26/03/2021
Offsite Comah Plan & Exercising.	31/03/2020
Emergency Recovery Plan.	31/03/2020

Closed Control Measures	Closure Date
Vehicle Mitigation & Protective Security Advice.	31/03/2020
Commissioned Emergency Control Centre.	31/03/2020
Flood Management Plan.	31/03/2020
Mass Fatality Plan.	31/03/2020
Major Incident Plan.	31/03/2020
Crisis Media Plan.	31/03/2020
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	11/09/2020
Rest Centre Plan & Arrangements. Duty Packs Reviewed And Updated Oct 20	31/03/2020
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	19/06/2020
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	12/07/2020
Additional Strategic Training To Increase Organisational Resistance Agreed For 3rd November Swlrf Cancelled Gold, However Gold Lie Being Established And Tactical Training Under Development. Action Complete Director Trained Via Gold Lite Package	03/11/2020
Dpr To Recruit Two Ems Officers And Extend Principal Emo Agreed 27th November, Internally And Externally Advertised	22/01/2021
Temporary Mortuary Arrangements.	31/03/2020
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.	13/02/2020
Project Griffin Training.	31/03/2020
Call Out & Activation Protocols/Action Cards.	31/03/2020
Rag Alert System Across H&S, Emergency Management.	31/03/2020
Service And Corporate Business Impact Assessments And Business Continuity Plans.	31/03/2020
Continual Review Of Plans & Protocols.	31/03/2020

Closed Control Measures

Closure Date

Risk Profiling.

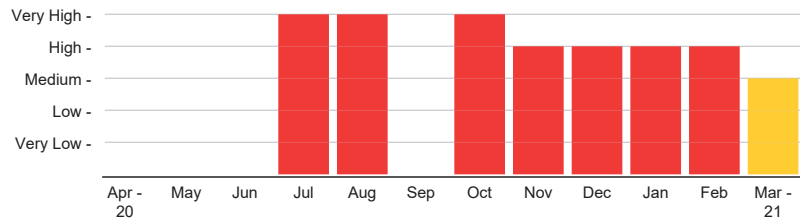
31/03/2020

Major Incident Plan

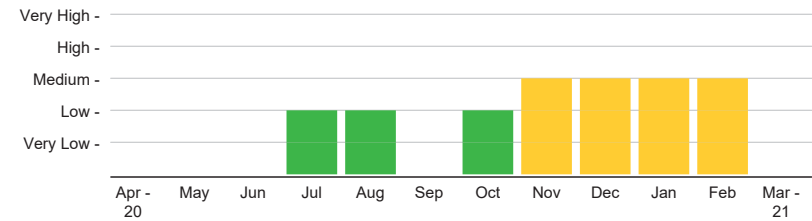
31/03/2020

- ¿ 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

Historical Impact : Medium



Historical Likelihood :



Risk on a Page

Risk 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

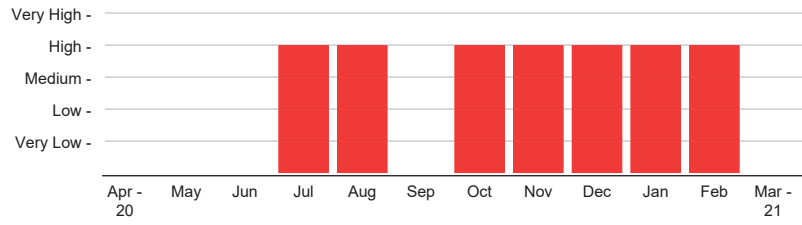
Last Update : 29/04/2021

Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
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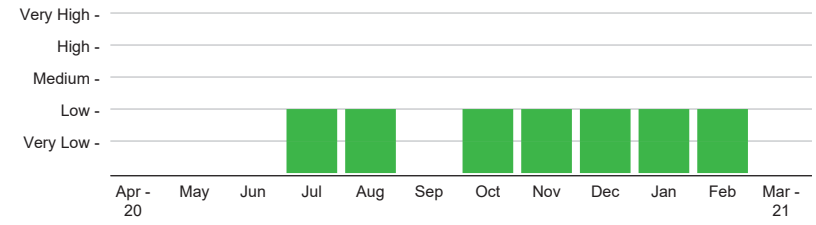
Closed Control Measures**Closure Date**

Additional Guidance On Health Assessments And General Covid Information As Priority Objective	25/09/2020
Early Review Of Lone Working, Dse And Mental Health Policies To Include Impacts And Resources Available From Extended Home Working And Social Isolation	11/12/2020
Review Business Continuity Plans To Prepare For Eu Exit.	16/10/2020
Directors H&S Committees & Sub Safety Groups.	31/03/2020
Member Of British Association Of Counsellors And Psychotherapists (Bacp).	31/03/2020
Noise, Dust, Lighting, Humidity & Vibration Sampling.	31/03/2020
Riddor Procedures For Reportable Incident To The Hse.	31/03/2020
H&S Audit Plan.	31/03/2020
Rag Alert System Across H&S, Emergency Management And Well-Being.	31/03/2020
Health & Safety Policies.	31/03/2020
Health & Safety Mandatory Training And E-Learning.	31/03/2020
Swansea Council Rag Fire Risk Profiling For All Premises.	31/03/2020
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	13/02/2020
¿ Health & Safety (H&S) Policies	31/03/2020
¿ 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 & Sub Safety Groups	
¿ Rag Alert System Across H&S, Emergency Management And Well-Being	

Historical Impact :



Historical Likelihood :



Risk on a Page

Risk 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

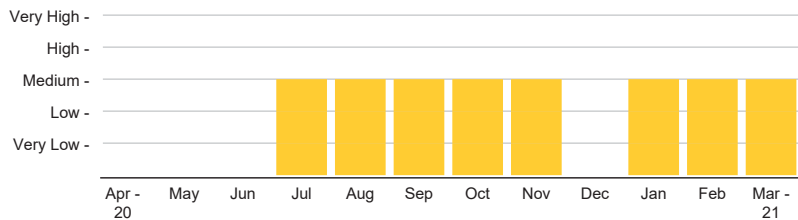
Councillor : Robert Stewart

Last Update : 19/04/2021

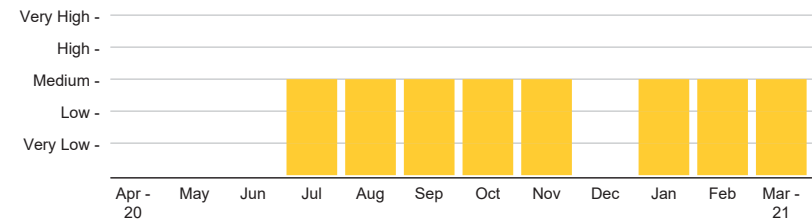
Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER AMBER

- ¿ 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¿S 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¿S 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.

Historical Impact : Medium



Historical Likelihood : Medium



Risk on a Page

Risk 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 : Robert Stewart

Last Update : 27/04/2021

Historical RAG :	Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar-21
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Prepare And Implement A Covid-19 Recovery Plan To Restart, Adapt, Recover And Transform Council Services.	27/04/2021	Treat	31/03/2022
Provide Council-Led To Support To Local Businesses, E.G. Advice, Grants And Rate Relief.	22/04/2021	Treat	31/03/2022
Prepare For The Possibility Of Further Covid-19 Outbreaks.	22/04/2021	Treat	31/03/2022
Provide Help And Support To People And Communities During The Pandemic.	22/04/2021	Treat	31/03/2022
Work With Partners To Inform And Reassure The Public And Reinforce Health And Social Distancing Messages Through Social And Other Media.	22/04/2021	Treat	31/03/2022
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	22/04/2021	Treat	31/03/2022

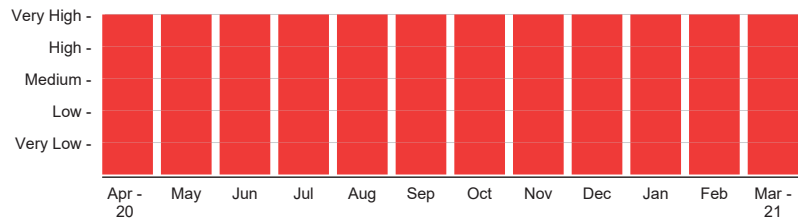
Closed Control Measures	Closure Date
Work With Partners To Help Increase Emergency Bed Provision Through The Conversion Of Buildings Into Field Hospitals.	07/05/2020
Provide Food, Pharmacy And Well-Being Support To Shielded Individuals Through Swansea Council Helpline, Local Area Co-Ordinators (Lac), Swansea Council For Voluntary Service (Scvs) And The Food Bank Network.	16/08/2020

Closed Control Measures

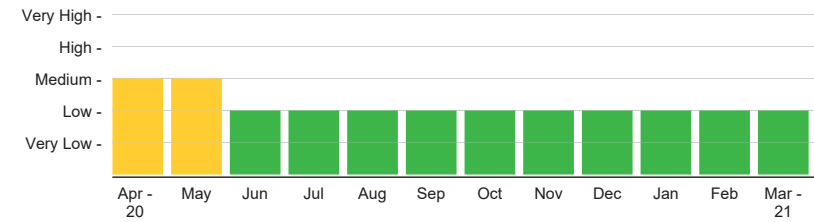
Closure Date

Work With Partners To Prioritise Demand For Key Services, Especially Social Care And Homelessness.	16/08/2020
Work With Partners To Support Education Teams & Schools And Provide Education / Childcare For Key Workers & Food For Children Who Get Fsms.	14/09/2020
Work With Partners To Redeploy Staff And Seek Recruits To Critical Areas, Such As Social Care And Food Distribution To Food Banks.	16/08/2020
Work With Partners To Ensure Resilient Supply Chains, Especially Food And Ppe Supply.	16/08/2020
Work With Partners To Provide Social Care And Other Critical Front-Line Staff With Ppe.	16/08/2020

Historical Impact : Very High



Historical Likelihood : Low



Risk on a Page

Risk 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 : Robert Stewart

Last Update : 23/04/2021

Historical RAG :	Apr-20	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar-21
				RED		RED	RED	RED		RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
Carry Out A Re-Purposing Feasibility Study To Examine Options To Re-Balance And Revitalise The City Centre Following The Impact Of Covid-19 On Retail, Leisure And Office Uses.	24/03/2021		30/04/2021
Collaborate With Welsh Government On Regional Economic Framework	13/01/2021		31/01/2021
Refresh Regional Economic Regeneration Strategy	22/10/2020		31/05/2021
Attract Sufficient Investment And Development And Regenerate The City Centre.	27/09/2020		31/03/2021
Work With Partners To Deliver The Swansea Bay City Deal And Attract Investment Across The Region To Deliver Highly Skilled And Well-Paid Jobs.	27/09/2020		31/03/2021
Organise And Facilitate Virtual Meet-The-Buyer Events To Help Local Businesses To Identify Opportunities To Bid For Council Work And Contracts.	27/09/2020		31/03/2021
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.	27/09/2020		31/03/2021
Provide Business Advice And Support, Including Administering Uk And Welsh Government Business Grants And Funds, To Assist Them During Covid-19.	27/09/2020		31/03/2021
Assist Tourism Businesses To Reopen Safely Following Closure As A Result Of Covid-19.	27/09/2020		31/03/2021
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	27/09/2020		31/03/2021

Current Control Measures

Procurement.

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.

Last Update

27/09/2020

Risk Response

Projected Completion

31/03/2021

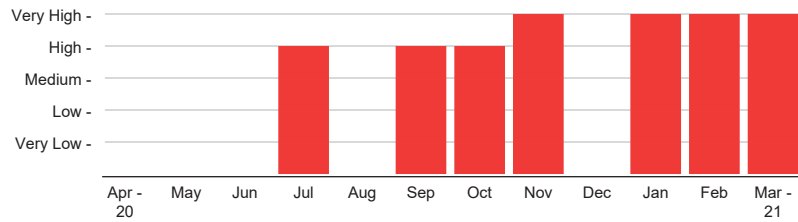
Closed Control Measures

Develop A Covid Economic Recovery Plan

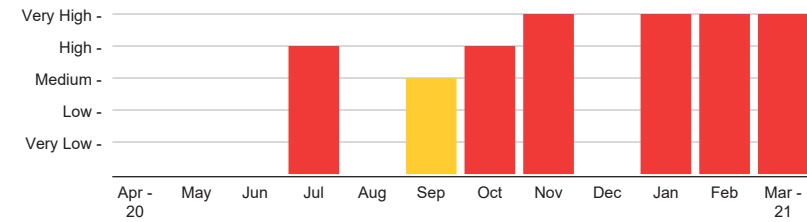
Closure Date

31/03/2021

Historical Impact : **Very High**



Historical Likelihood : **Very High**



Risk on a Page

Risk Title : Achieving Better Together - Recovery

Risk ID : 276

Description : If the Council does not deliver the actions and milestones in the recovery plan, then there is a risk the organisation will not move on effectively from the effects of the pandemic. This is important as it forms the foundations for the next transformation programme

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrew Stevens

Last Update : 27/04/2021

Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
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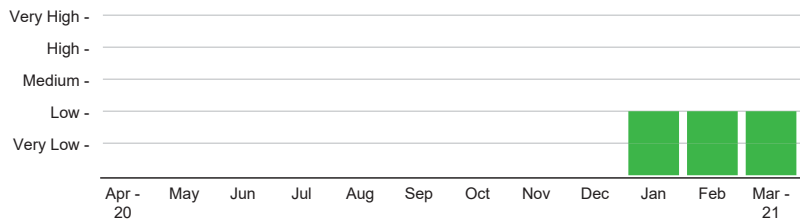
Current Control Measures

	Last Update	Risk Response	Projected Completion
Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.	27/04/2021	Treat	31/03/2022
Robust Governance And Recovery Plan Monitoring And Reporting	27/04/2021	Treat	30/06/2021
Monitoring Capacity	27/04/2021	Treat	01/06/2021

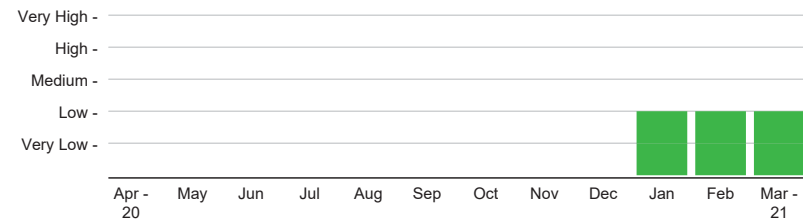
Closed Control Measures

	Closure Date
Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.	23/04/2021

Historical Impact : Low



Historical Likelihood : Low



Risk on a Page

Risk Title : Achieving Better Together - Transformation

Risk ID : 277

Description : If the Council does not transform effectively it will not be sustainable and financially resilient in the longer term

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrew Stevens

Last Update : 27/04/2021

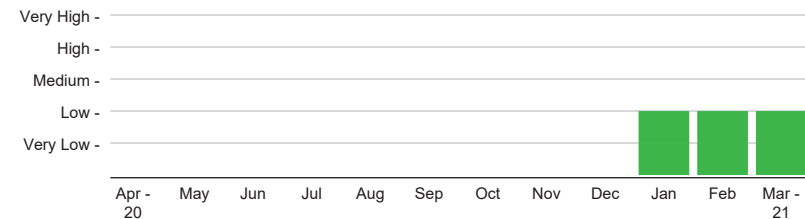
Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
AMBER AMBER AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
Learning From The Previous Transformation Programme, Sustainable Swansea Adapted Into The New Programme Following Final Report To Scrutiny In June 2021	27/04/2021	Treat	30/06/2021
Programme Documents Need To Be In Place: Programme Plan (Milestones And Deadlines), Governance, Benefits Realisation Plan, Raid Log, Change Plan	27/04/2021	Treat	02/08/2021
Transformation Activities In The Programme Plan Must Align With The Mtfp To Ensure Future Financial Sustainability	23/04/2021	Treat	01/10/2021

Historical Impact : High



Historical Likelihood : Low



Risk on a Page

Risk Title : Post-EU Exit

Risk ID : 282

Description : If we dont monitor, gather and share intelligence on the period following the end of EU transition via the post-Brexit Steering Group and WLGA, then we may not be fully prepared to mitigate emerging risks or take advantage of new opportunities.

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Robert Stewart

Last Update : 27/04/2021

Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
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Current Control Measures

Monitor The Local Impact Following The End Of The Eu Transition Period Via The Post-Brexit Steering Group And Wlga.

Last Update

26/03/2021

Risk Response

Treat

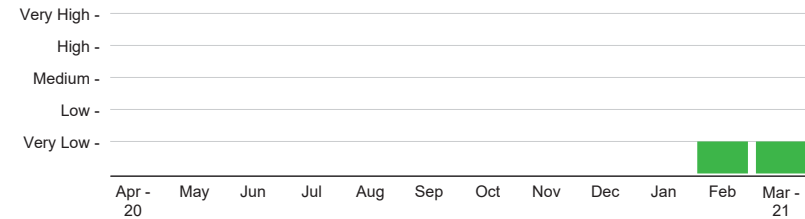
Projected Completion

31/03/2022

Historical Impact : Very Low



Historical Likelihood : Very Low



Risk on a Page

Risk Title : Reducing and tackling Fraud

Risk ID : 289

Description : If the council does not put robust arrangements in place to protect its limited resources and assets from fraud and corruption, then it will remove resources from the council so that they are not put to best use to support those with the greatest need and will cause untold social harm to individuals and communities.

Risk Level : Corporate

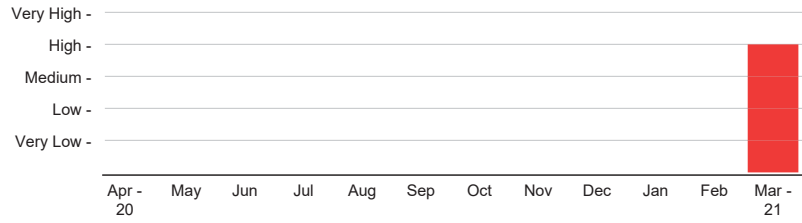
Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 31/03/2021

Historical RAG : Apr-20 May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar-21
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Historical Impact : **High**



Historical Likelihood : **Low**

