

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 : Robert Smith

Last Update : 30/07/2021

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

Current Control Measures	Last Update	Risk Response	Projected Completion
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
Commissioning Review On Aln.	21/11/2019		31/12/2024

Current Control Measures	Last Update	Risk Response	Proposed Completion
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

Schools Have Returned To Normal Operations From 12 April Onwards And Have Been Supported Well To Provide Onsite Teaching And Learning. However, Year Groups Are Still Asked To Self-Isolate Within This Reporting Period. In Order To Mitigate Against The Risk Of Insufficient Evidence To Determine Qualification Grades, Schools Have Contingency Measures To Offer Remote And Blended Learning Opportunities. Swansea Schools Have Been Under Pressure To Evidence And Assess Learner Attainment During A Difficult Covid-19 Period But Have Adapted Well To Put Learners First To Ensure They Get The Correct Grades.	30/07/2021
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.	14/05/2021
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

Closed Control Measures

Closure Date
Appendix A

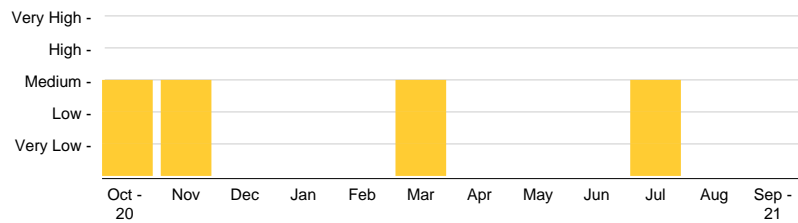
Since The Disruption To Education In March 2020, The Plans For A Safe Return To School Have Matured. As A Result, Around 88% Attendance Rate Seen In The First Three Weeks Of September. Although There A Shorter Term Disruptions For Schools, The Successful Return To Education Means That We Have Minimised 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

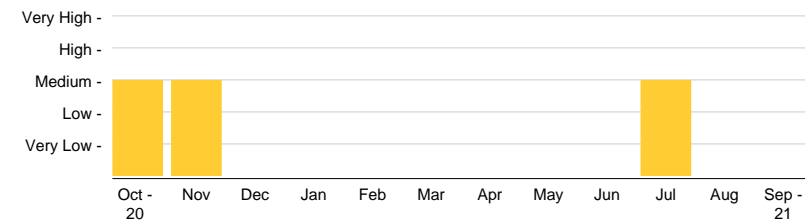
Offer A Safe Return To School For Learners During The Covid-19 Pandemic Through 'Check In, Catch-Up And Prepare' Sessions.

17/07/2020

Historical Impact :



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 Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 16/09/2021

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

Current Control Measures

Emergency Planning Infrastructure Re-Established As Part Of The Regional Partnership Board, Safeguarding Board And Internally Within The Council To Ensure Prioritisation Of Resources Targeted At Maintaining Care And Support For Those Individuals In Most Critical Need Or At Risk Of Suffering Harm Reprioritise The Council;S The Councils Covid-19 Recovery Plan To Reflect The Impact Of The Third Wave Of Covid On Critical Services
Review Staffing Infrastructure Across The Directorate In Recognition Of A Critical Shortfall In Social Worker And Social Care Staff Capacity And Mitigate Where Possible By Increasing The Number Of Alternatively Qualified Staff

Last Update

16/09/2021

Risk Response

Treat

Projected Completion

31/03/2022

Closed Control Measures

Establish And Maintain A Regional Protocol To Provide Secure Covid-19 Care Home Provision, Including Increased Capacity In The Councils In-House Care Homes.

Closure Date

31/08/2021

Reprioritise Workload To Focus On The Most Vulnerable People And Prioritise Services And Contact With Those Individuals During The Covid-19 Response.

31/08/2021

Provide Support To People Who Are At Greater Risk From Domestic Abuse During Covid-19

31/08/2021

Implement The Councils Covid-19 Recovery Plan To Recover Services And Help Deal With Emerging Risks From Covid-19.

16/09/2021

Provide Emotional And Well-Being Support To Children And Young People During Covid-19

31/08/2021

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.

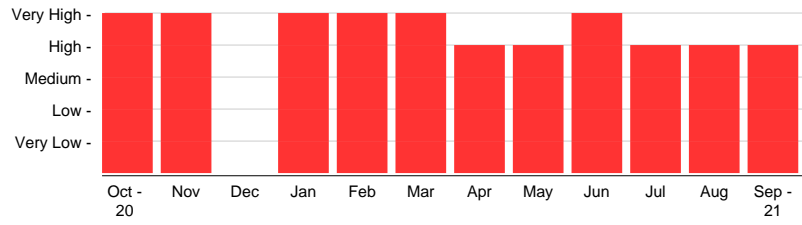
16/04/2021

Closed Control Measures

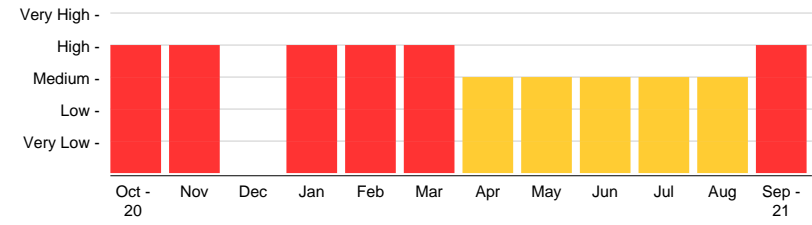
Appendix A

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
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 : **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 Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 06/09/2021

Historical RAG :

Oct-20	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-21
GREEN	GREEN	GREEN	GREEN	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	21/06/2021	Treat	31/03/2022
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	21/06/2021	Treat	31/03/2022
Accounting Instruction 15 - Vat - Permanently Available Online	27/04/2021	Treat	31/03/2022
Vat Manual And Guide Available On Staffnet Permanently - Refreshed Annually As Needs Be	27/04/2021	Treat	31/03/2022
<ul style="list-style-type: none"> ¿ 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. 	27/04/2021	Treat	31/03/2022
Covid Disruption	27/04/2021	Tolerate	31/03/2022
Advice And Guidance Issued To Hos And Managers On 16/02/21 Regarding New Construction Industry Domestic Reverse Charge For Vat Reginme. In Order To Comply With New Legislation Coming In 1st March, We Are Requiring Review Of All Ongoing Procured Construction Services To Ensure The Correct Vat Treatment Is Being Applied. Where Cis Is Applicable, We Have A Statutory Obligation To Notify Suppliers Of Our End User Status So They Know Whether Or Not To Charge Us Vat	27/04/2021	Treat	31/03/2022

Closed Control Measures

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.)

21/06/2021

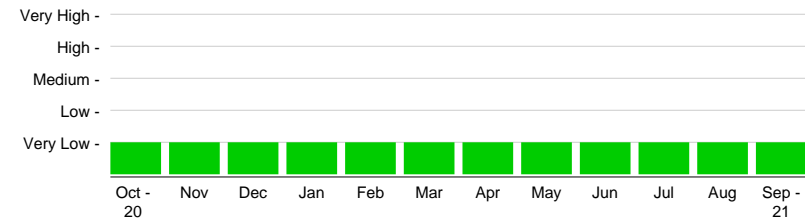
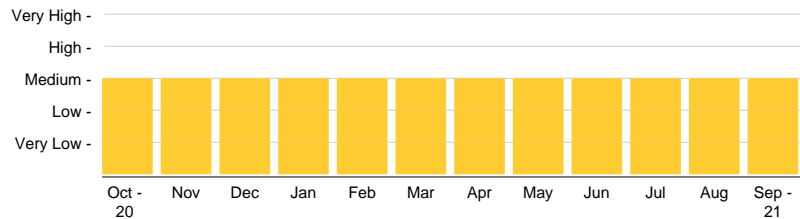
{Transfer Of Historical Information}

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 Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 06/09/2021

Historical RAG :

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

Current Control Measures

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

Last Update

27/04/2021

Risk Response

Treat

Projected Completion

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

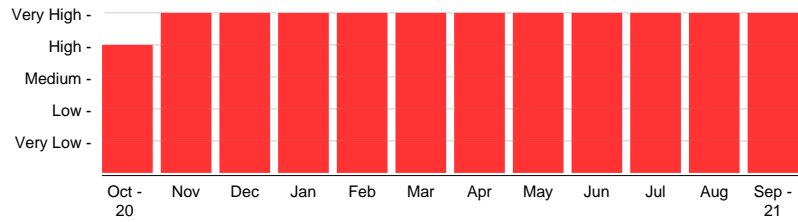
- ¿ An Agreed Plan And A Process For Corporate Level Monitoring In Place.
- ¿ An Agreed Budget.
- ¿ Clear Governance And Reporting In Place.
- ¿ Prevention Strategy.
- ¿ Regular Monthly Monitoring At P&Fms.
- ¿ Reporting, Monitoring And Review At Fstg.
- ¿ Audit Committee Providing Challenge, Oversight And Assurance.
- ¿ Collaborative Officer And Member Budget Setting Process In Place.

Closure Date

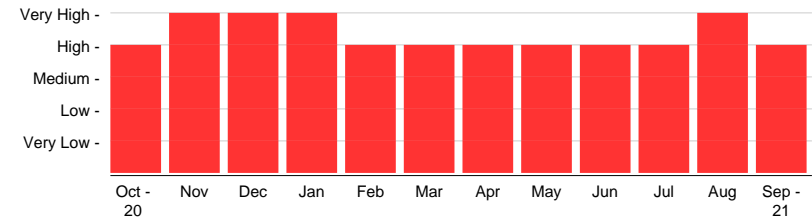
31/03/2020

- ¿ 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 : 29/09/2021

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

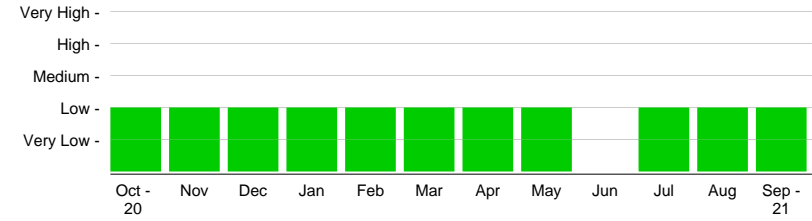
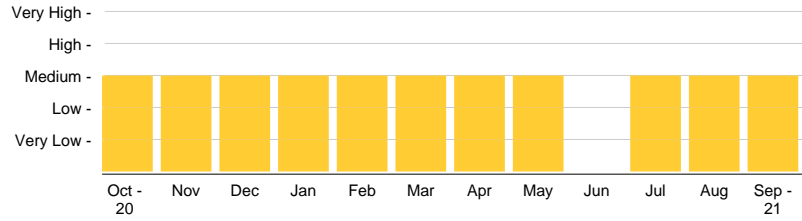
Current Control Measures	Last Update	Risk Response	Projected Completion
Lobby Welsh Government To Streamline Legislative Requirements, Bureaucracy And Decision Making To Allow A Flexible And Rapid Response To And Recovery From Covid-19.	29/09/2021	Treat	31/07/2022
Legal Implications - Inserted Into Decision Making Reports With Legal And Access To Services Sign-Off.	29/09/2021	Treat	31/07/2022
Policy Briefing - Widely Circulated.	29/09/2021	Treat	31/07/2022
Prepare Action Plan For New Local Government And Elections (Wales) Bill.	29/09/2021	Treat	31/07/2022
Lawyers In Local Government Update On New Legislation, Consultation And Constitutional Matters - Circulated By Chief Legal Officer To Cmt On Regular Basis.	29/09/2021	Treat	31/07/2022

Closed Control Measures	Closure Date
Legislative Requirements - Built Into Plans And Decision Making.	30/04/2021
Strategic Delivery Unit: Horizon Scan And Give Advice On Our Response To New Legislation And Other Major External Change. ; Legislative Duties And Legal Obligations Incorporated Into Reports To Committees And Decision Makers With All Reports Signed Off By Legal And Access To Services. ; Embedding Legislative Duties At The Earliest Stages Of Decision-Making Update ; Well Being Of Future Generations Guidance To Be Updated To Include Toolkit Which Will Be Referenced In Report Writing New Guidance. ; Created A Web Page To Provide Information On Well-Being Of Future Generations And To Point Staff And Members 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. Well Being Future Generations Webpage Updated. Cmt Updated By Monitoring Officer On Legislative Changes/Consultations In Wg From LlG LlG Changes To Legislation Circulated To Cmt No Further Update- Following The Publication Of The Local Government And Elections (Wales) Bill Cmt/Cabinet Awayday Were Presented With	28/06/2021

Contents Of The Bill For Consideration And Call To Evidence From Wg. Separate Risk To Be Considered For The Contents Of The Bill As It Goes Through Assembly.

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 Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : David Hopkins

Last Update : 23/08/2021

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

12/08/2021

Risk Response

Treat

Projected Completion

31/12/2021

Closed Control Measures

Closure Date

Workforce Planning

31/03/2021

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

31/03/2021

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

Support Staff To Work Remotely At Home During Covid-19.

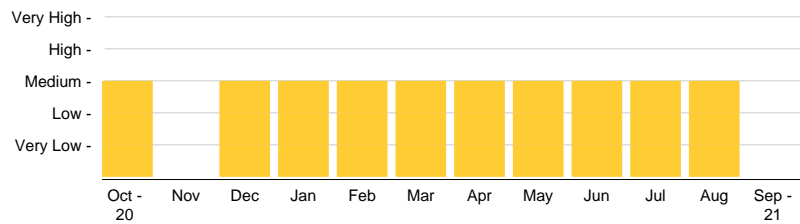
31/03/2021

Closed Control Measures

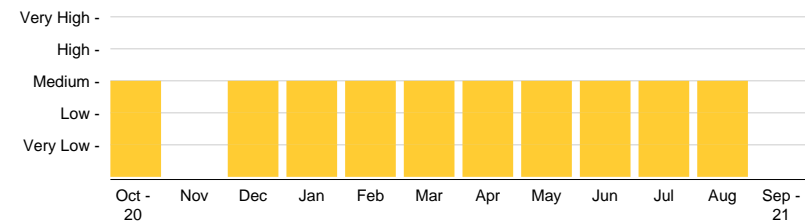
Appendix A

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 :



Historical Likelihood :



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 Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : Andrew Stevens

Last Update : 21/09/2021

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

Current Control Measures	Last Update	Risk Response	Projected Completion
Bullwall Software Purchased To Protect Against Mallware Attacks.	21/09/2021	Treat	30/09/2021
Further Mitigation Includes Live Testing Of Dr Plan - Options Being Reviewed Potentially In Line With Wider Corporate Business Continuity Exercise.	21/09/2021	Treat	31/03/2022
Introduce Simulated Cyber-Attacks On Staff To Measure Their Actions, Identify Weaknesses And Improve Knowledge.	26/07/2021	Treat	30/12/2021

Closed Control Measures	Closure Date
Ms Security Compliance Licences To Be Procured Following Evaluation. This Will Enhance All Security Monitoring Across The Authority For All Users With Swansea Devices.	01/09/2021
Evaluating New Software To Further Support Existing Cyber Security Suite	26/07/2021
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

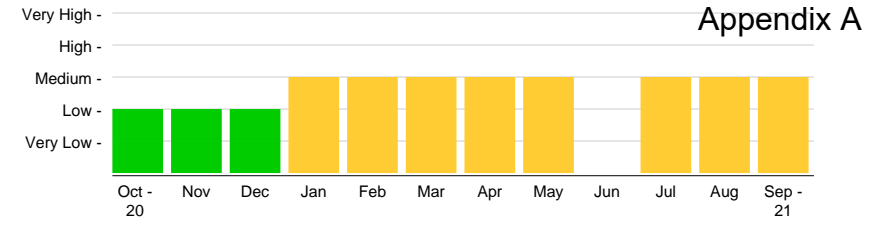
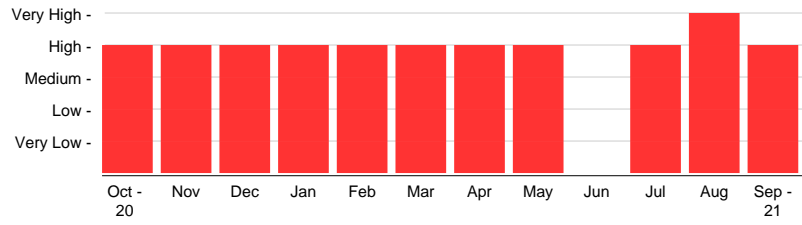
Closed Control Measures

Appendix A

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 : 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 : 30/09/2021

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

Current Control Measures	Last Update	Risk Response	Projected Completion
Swansea As A Diverse Multicultural/Language Diverse Society, Requires Ready Access To Translators To Support Our Community By Effectively Communicating During An Emergency. To Improve Our Ability To Respond And Support The Community, A Language Survey And Request For Staff Volunteers Has Been Implemented And A Full Database Of Staff With Additional Language Skills Will Be Created And Held Confidentially By The Emergency Management Service	30/09/2021	Treat	31/01/2022
Establish Ems Radio System To Deal With Mobile Network Failure During Major Incident	30/09/2021	Treat	29/10/2021
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	27/05/2021	Treat	31/03/2022

Closed Control Measures	Closure Date
Tier 1 Comah Exercise Remotely Via Teams For Hse Legal Compliance, All Blue Light And Cat1 Partners Present	28/09/2021
Covid Compliant Rest Centre Training/Exercise With Brc And Police Planned	03/08/2021
Assistant Emo Post Job Evaluated Dpr For Cmt Approval 9th April For Sign Off And Recruitment	14/06/2021
Ems Staffing And Resilience	26/03/2021
Prepare For Further Covid-19 Or Other Infectious Disease Outbreaks.	26/03/2021

Closed Control Measures

Appendix A

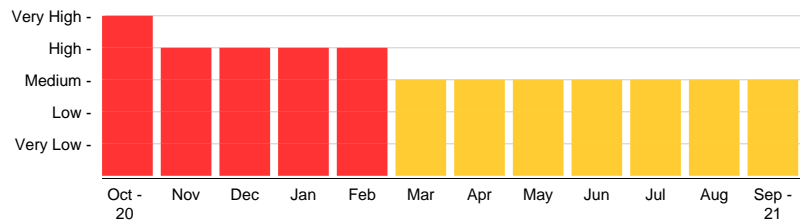
Review And Update Business Continuity Plans.	31/12/2020
Multi Agency Exercising And Training.	31/03/2020
Review Of Mip And Supporting Action Cards Underway	26/03/2021
Offsite Comah Plan & Exercising.	31/03/2020
Emergency Recovery Plan.	31/03/2020
Vehicle Mitigation & Protective Security Advice.	31/03/2020
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

Closed Control Measures

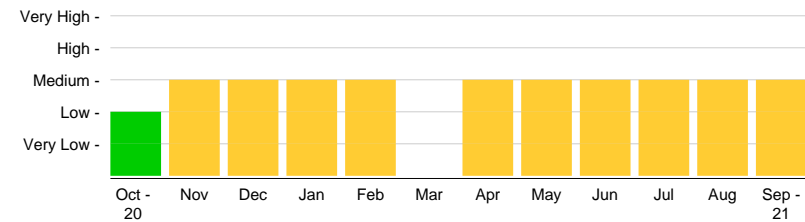
Appendix A

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
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 : Medium



Risk on a Page

Appendix A

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 : 30/09/2021

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

Current Control Measures

Policy Review Plan For 21-22

Last Update

26/08/2021

Risk Response

Treat

Projected
Completion

31/03/2022

Closed Control Measures

Closure Date

With Departure Of Hso Covering Social Services, Dpr To Recruit To Be Submitted By 10th June, Interim Cover Within The Team Established, Recruitment To Start Estimated 30/07/21

27/09/2021

Dpr For Replacement H&S Training Officer Signed Off By Cmt And Passed To Employee Services For Advertisement 22nd March

14/05/2021

Review Of Corporate Smoking Policy In Line With Regulatory Changes

28/04/2021

Staff Well-Being As Part Of The Future Council Stream Of The Council'S Covid-19 Recovery Plan.

31/03/2021

Provide Stress Management And Counselling And Health & Safety Advice And Support To Staff During Covid-19.

31/03/2021

H&S Staffing To Ensure Service Delivery

08/03/2021

H&S Toolkits.

31/03/2020

Well-Being Policies. New Mental Health Policy Under Consultation To Include Social Isolation And Impacts From Home Working

31/03/2020

Retrospectively Entered, Covid Assessments, Standard Operating Procedures Created For Schools And Premises, Bame And Health Assessment Processes Created And Various Ppe Guidance.

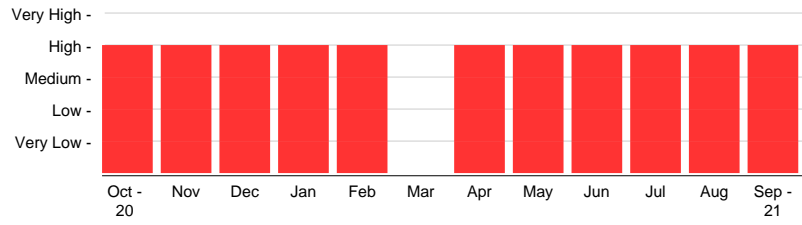
30/07/2020

Closed Control Measures

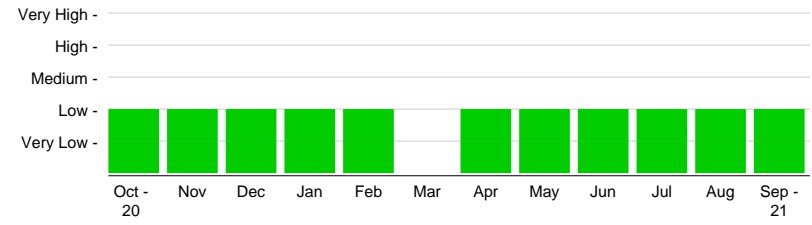
Appendix A

	Closure Date
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	30/11/2020
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
<ul style="list-style-type: none"> ¿ 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 & Sub Safety Groups ¿ Rag Alert System Across H&S, Emergency Management And Well-Being 	31/03/2020

Historical Impact : **High**



Historical Likelihood : **Low**



Risk on a Page

Appendix A

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 : 23/09/2021

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

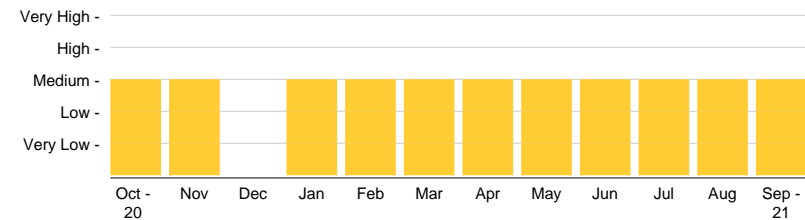
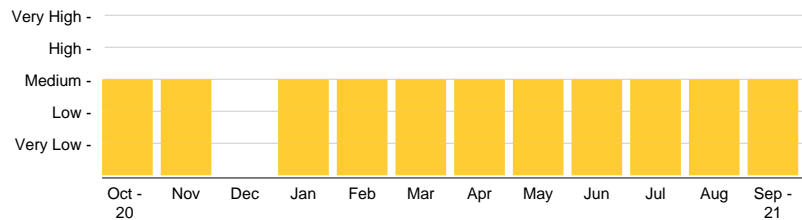
Current Control Measures	Last Update	Risk Response	Projected Completion
Playing A Leading And Proactive Role In Major Regional Collaborations.	23/09/2021	Treat	30/04/2022
Maintain Stronger Partnership Working And Relationships Post-Covid-19 And As Part Of The Councils' Covid-19 Recovery Plan And Continue To Make Use Of Microsoft Teams To Ensure Regional Meetings Are More Frequent And Effective.	24/08/2021	Treat	31/03/2022
Consider Through The Erw Joint Committee The Future Collaboration On The Delivery Of School Improvement Services.	24/08/2021	Treat	30/09/2021

Closed Control Measures	Closure Date
Representations Have Been Made To Welsh Government On Reforming The Grant Regime.	31/03/2020
Governance Structures Are In Place For All Major Collaborations.	31/03/2020
Partnerships Have Been Mapped.	31/03/2020
Director Leads For Each Partnership.	31/03/2020
Senior Management Restructure Strengthening Capacity For Regional Working.	31/03/2020
¿ The Senior Management Restructure Approved By Council On 21st June Strengthens The Council¿S 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.	09/03/2020
¿ 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¿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

Appendix A

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 : 29/09/2021

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

Current Control Measures	Last Update	Risk Response	Projected Completion
Work With Partners During The Course Of The Pandemic To Inform And Reassure The Public And Reinforce Health And Social Distancing Messages Through Social And Other Media.	29/09/2021	Treat	31/03/2022
Work With Health And Others During The Course O The Pandemic To Prepare For The Possibility Of Further Covid-19 Outbreaks Through Planning And Providing Information, Support, Equipment, Facilities And Tpp Services.	29/09/2021	Treat	31/03/2022
Provide Help And Support To People And Communities During The Pandemic In Order To Keep Them Safe And To Protect Their Health And Well-Being.	29/09/2021	Treat	31/03/2022
Prepare And Implement A Covid-19 Recovery Plan To Restart, Adapt, Recover And Transform Council Services.	29/09/2021	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

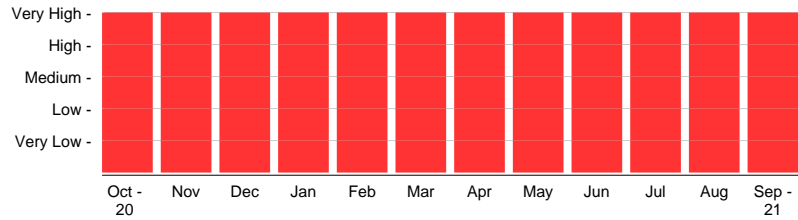
Closed Control Measures	Closure Date
Work With Welsh Government And Provide Council-Led To Support To Local Businesses During The Course Of The Pandemic To Enable Them To Continue To Trade, E.G. Advice, Grants And Rate Relief.	30/06/2021
Work With Partners To Help Increase Emergency Bed Provision Through 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

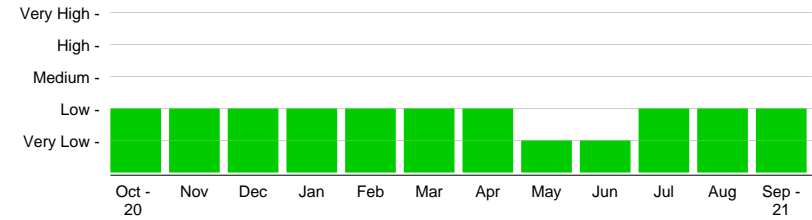
Closure Date
Appendix A

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 : 27/08/2021

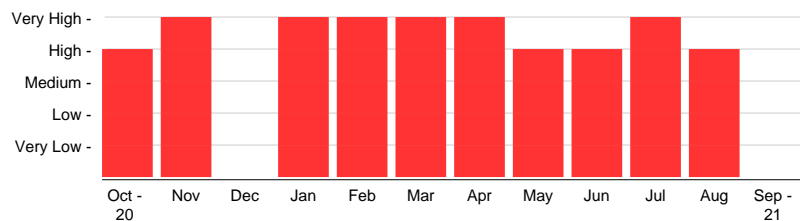
Historical RAG :	Oct-20	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-21
	RED	RED		RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures	Last Update	Risk Response	Projected Completion
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.	27/08/2021	Treat	31/12/2021
Attract Sufficient Investment And Development And Regenerate The City Centre. Shaping Swansea Partner Secured	27/08/2021	Treat	31/12/2021
Work With Partners To Deliver The Swansea Bay City Deal And Attract Investment Across The Region To Deliver Highly Skilled And Well-Paid Jobs.	27/08/2021	Treat	31/12/2021
Organise And Facilitate Virtual Meet-The-Buyer Events To Help Local Businesses To Identify Opportunities To Bid For Council Work And Contracts.	27/08/2021	Treat	31/12/2021
Provide Business Advice And Support, Including Administering Uk And Welsh Government Business Grants And Funds, To Assist Them During Covid-19. A Range Of Support Provided.	27/08/2021	Treat	31/12/2021
Assist Tourism Businesses To Reopen Safely Following Closure As A Result Of Covid-19.	27/08/2021	Treat	31/12/2021
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 Procurement.	27/08/2021	Treat	31/12/2021
Collaborate With Welsh Government On Regional Economic Framework Final Report Being Drafted	17/08/2021	Treat	31/10/2021

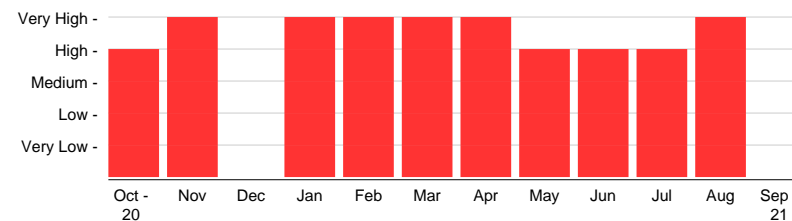
Closed Control Measures

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. A Range Of Support Provided.	17/08/2021
Refresh Regional Economic Regeneration Strategy Replaced By Regional Economic Framework Counter Measure	17/08/2021
Monitor The Supply And Increasing Cost Of Various Building Materials. Maintain An Open Dialogue With The Construction Industry And Government Departments. Transferred To A Separate Corporate Risk.	17/08/2021
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. Draft Report Prepared.	17/08/2021
Develop A Covid Economic Recovery Plan	31/03/2021

Historical Impact :



Historical Likelihood :



Risk on a Page

Risk Title : Covid-19 Risk

Risk ID : 274

Description : If rates of Covid infection & transmission continue to rise whilst we try to deal with backlogs of planned, previously delayed, health and care and we continue to lose staff from the health and care sector then demand for all forms of personal care is likely to exceed our capacity and resilience to be able to directly provide or commission that care

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 16/09/2021

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

Current Control Measures

Service Adaptation And Recovery Plans In Place Across All Social Services.
 Multiagency Emergency Planning Infrastructure In Place Via The Regional Health And Social Care Partnership Board Which Undertakes Dynamic Risk Assessment On A Twice-Weekly Basis.
 Council Has Stepped Back Up Its Internal Emergency Planning Infrastructure
 Additional Surge Beds Across Health And Care System Are Being Utilised Flexibly To Support Step Down From Hospital Or Step Up From Community
 Adult Services Has Been Restructured To A Functional Model To Ensure Maximum Resilience For The Most Critical Services.
 Additional Funding From Wg Is Being Prioritised To Try And Expand Critical Areas Of Workforce Both In Council Services And In Externally Commissioned Services
 Families, Carers, Communities And The Third Sector Are Being Asked To Help Mitigate The Impact Of A Lack Of Formal Care And Support For Individuals Where Possible
 A Rag Rating Approach Is Being Utilised To Prioritise Care For Those In Most Critical Need.
 Staff Contracted Hours Have Been Extended On A Voluntary Basis
 Additional Workforce Support Arrangements Have Been Established With Dedicated Corporate Resource And Additional Investment In The Service To Cover Sickness Absence Management, Welfare Support And Recruitment And Retention Activity
 Emergency Care Home Support Arrangements Have Been Reinitiated Across The Region.
 External Agency Support Is Being Sought For Critical Areas Or To Help Cover Backlogs

Last Update

16/09/2021

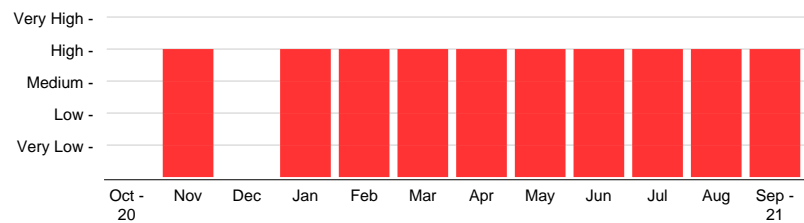
Risk Response

Treat

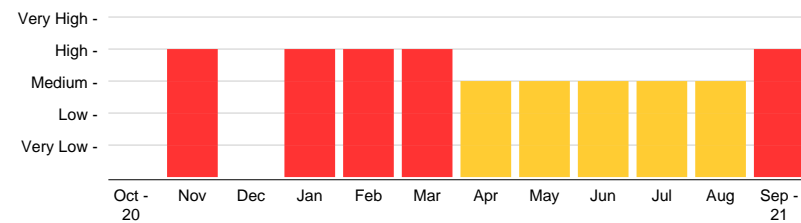
Projected Completion

03/12/2021

Historical Impact : **High**



Historical Likelihood : **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 : Andrea Lewis

Last Update : 20/09/2021

Historical RAG :

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

Current Control Measures

Undertake Monthly Meetings Of The Organisation, Cross Cutting & Transformation Steering Group And Ensure That Workstream Leads Report Progress And Risks At This Meeting Highlighting Any High Risks/Issues For Escalation To The Monthly Meetings Of The Recovery, Reshaping & Budget Strategy Board. The Recovery, Reshaping & Budget Strategy Board Will Ensure That Actions And Plans Are Progressing And Challenge And/Or Address Anything Which Is Not Being Achieved Or Is A Risk To The Authority.

Last Update

20/09/2021

Risk Response

Treat

Projected Completion

31/01/2022

Closed Control Measures

Closure Date

Monitoring Capacity

01/06/2021

Robust Governance And Recovery Plan Monitoring And Reporting

29/06/2021

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.

29/06/2021

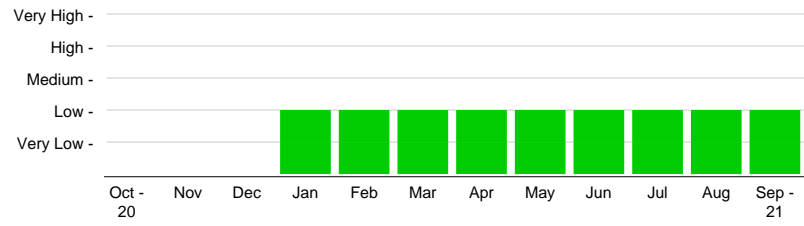
Monthly Review Of Action Plans By Workstream Area, Updates And Risks Also Reviewed At The Steering Group And The Board. Any Risk Identified With An Amber Or Red Rag Rating Will Be Escalated To Board Or If Identified At Board A Plan Of Action Will Be Created With Smart Targets.

26/05/2021

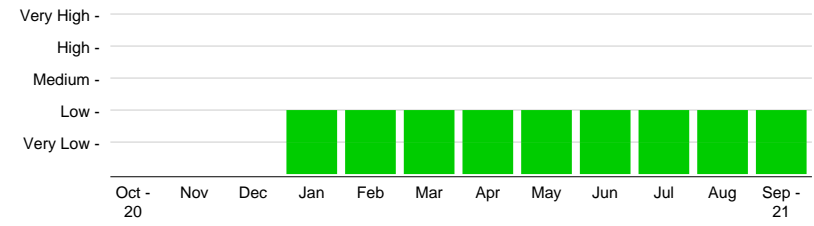
Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.

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 : Andrea Lewis

Last Update : 20/09/2021

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

Current Control Measures

Align The Transformation Activities And Projects In The Achieving Better Together Programme Plan With The Medium Term Financial Plan Through The Recovery, Reshaping & Budget Strategy Board To Ensure Future Financial Sustainability.
(Amended From: Transformation Activities In The Programme Plan Must Align With The Mtfp To Ensure Future Financial Sustainability) June 21

Last Update

Risk Response

Projected Completion

20/09/2021

Treat

01/10/2021

Develop An End Of Programme Report From The Previous Transformation Programme And Use The Lessons Learnt Following A Review At Scrutiny In Jan 22 To Re-Shape The New Swansea - Achieving Better Together From Recovery Programme.
(Amended From: Learning From The Previous Transformation Programme, Sustainable Swansea Adapted Into The New Programme Following Final Report To Scrutiny In August 2021) June 21

20/09/2021

Treat

31/01/2022

Closed Control Measures

Programme Documents Need To Be In Place: Programme Plan (Milestones And Deadlines), Governance, Benefits Realisation Plan, Raid Log, Change Plan

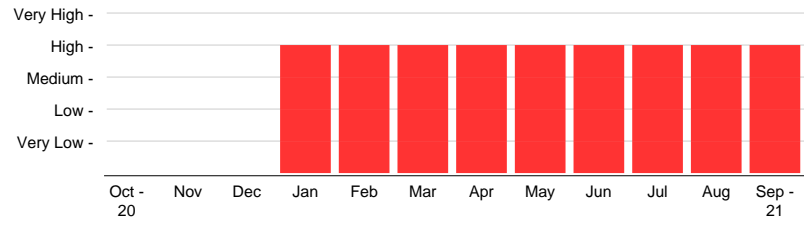
Closure Date

29/06/2021

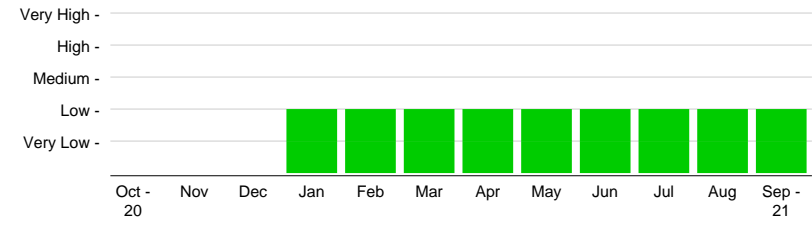
Monthly Meeting Of The Steering Group And Board To Ensure The Actions And Plans Are Progressing And Challenging And Addressing Anything Which Is Not Being Acgieved.

26/05/2021

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 : 29/09/2021



Current Control Measures

Monitor Each Month The Local Impact Following The End Of The Eu Transition Period Via The Post-Brexit Steering Group And Wlga To Identify And Respond To Any Risks And Opportunities Arising.

Last Update

23/08/2021

Risk Response

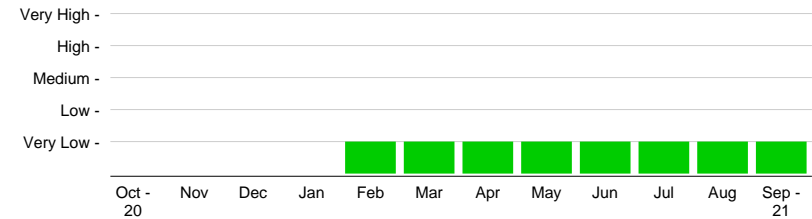
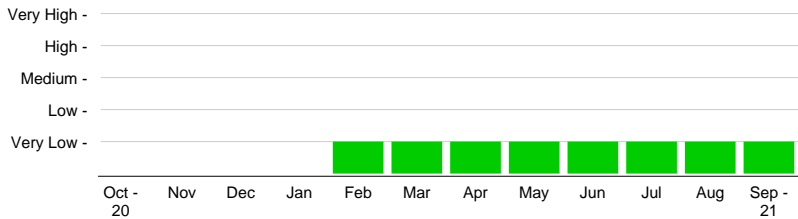
Tolerate

Projected Completion

31/03/2022

Historical Impact : Very Low

Historical Likelihood : Very Low



Risk on a Page

Appendix A

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

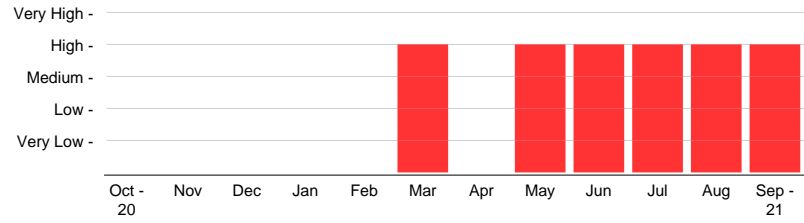
Councillor : Robert Stewart

Last Update : 01/09/2021

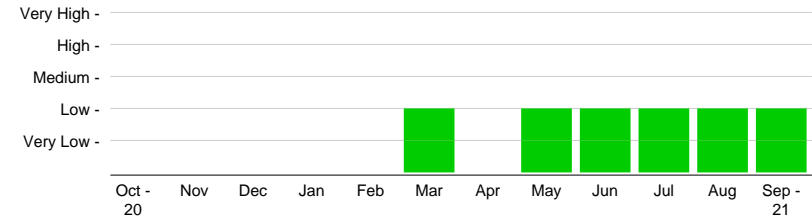
	Oct-20	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep-21
Historical RAG :						AMBER		AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures	Last Update	Risk Response	Projected Completion
Review Annually And Remind Staff Every 6 Months Of The Financial Procedure Rules And Contract Standing Order And Procurement Rules Frameworks For Staff To Follow.	06/07/2021	Treat	30/11/2021
6 Monthly Reports To The Audit Committee And Cmt On Work Undertaken By The Counter Fraud Team.	06/07/2021	Treat	30/11/2021
Annual Report On Counter Fraud To Presented To Audit Committee - To Raise Awareness And Amount Of Work Undertaken.	31/03/2021	Treat	31/03/2022
On Receipt, Disseminate Fraud Intelligence Alerts From Law Enforcement Agencies To Appropriate Staff And Stakeholders.	31/03/2021	Treat	31/03/2022
Independent Assurance From Internal And External Audit On The Effectiveness Of Governance, Risk And Control.	31/03/2021	Treat	31/03/2022
Audit Committee Review And Assess The Risk Management, Internal Control And Corporate Governance Arrangements Of The Authority At Least Annually.	31/03/2021	Treat	31/03/2022
Dedicated Team Of Professionally Trained And Experienced Investigators To Prevent Deter And Detect Fraud Against The Council	31/03/2021	Treat	31/03/2022
Annual Review Of Relevant Policies And Procedures To Ensure They Are Fit For Purpose.	31/03/2021	Treat	31/03/2022
The Council Communicates A Zero Tolerance Approach To Fraud, Bribery And Corruption A Minimum Of Twice A Year.	31/03/2021	Treat	31/03/2022

Historical Impact : **High**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Supply of construction materials

Risk ID : 296

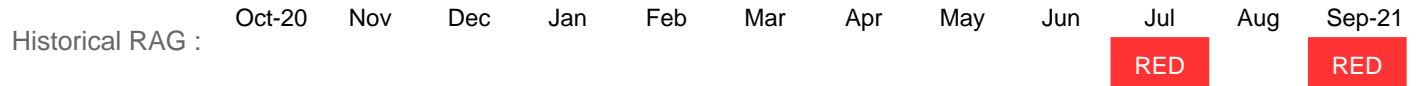
Description : If the supply of construction materials continue to be delayed, and in short supply, then this will impact negatively on the cost and programme for the delivery of capital programme projects.

Risk Level : Corporate

Responsible Officer : Martin.Nicholls

Councillor : Robert Stewart

Last Update : 15/09/2021



Current Control Measures

Discuss & Monitor The Situation With The Various Project Teams Monthly And Escalate As Required. (Ph)
 Increasing Our Stock Levels When Materials Become Available.(Nw)
 Considering Alternatives Where Possible.(Nw)

Last Update

15/09/2021

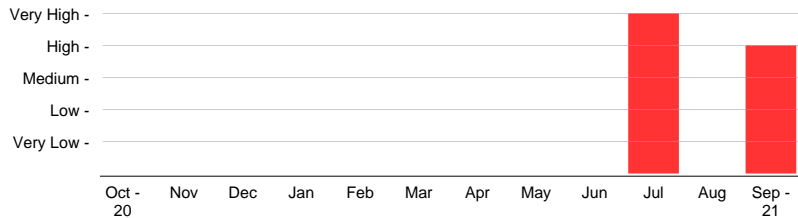
Risk Response

Treat

Projected Completion

21/07/2022

Historical Impact : High



Historical Likelihood : High

