

Risk on a Page

Risk Title : Freedom of Information and Subject Access Requests

Risk ID : 175

Description : IF we repeatedly fail to respond to FOIs and SARs and requests for erasure of personal data within the statutory timescales THEN we risk the number of overdue requests leading to an Enforcement Notice from the ICO requiring us to deal with the backlog and improve performance.

Risk Level : Corporate

Responsible Officer : Tracey.Meredith

Councillor : David Hopkins

Inherent Risk : 12

Last Update : 15/02/2024

Historical RAG :	Mar-23	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-24
	6	6	6		6	6	6	6	12	12	12	8

Current Control Measures

FOI and other information requests are all logged centrally and dispersed to a network of FOI officers embedded in different service units across the authority. Every service unit has an FOI officer. The workflow process for information requests is manual but will be automated. GOSS software has been purchased. Further improvements to the process are listed in 'Progress to Date'

Last Update

12/02/2024

Risk Response

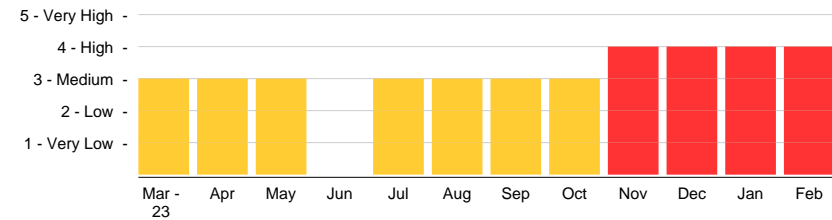
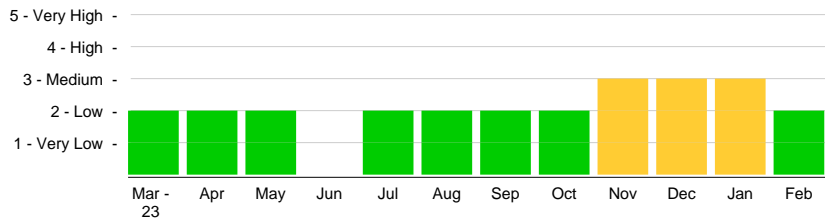
Treat

Projected Completion

31/03/2025

Current Impact : 2 - Low

Current Likelihood : 4 - High



Risk on a Page

Risk Title : Cyber, data and digital security

Risk ID : 222

Description : If the council does not have robust cyber, data and digital security measures and systems and behaviours in place, embedded and working as best as they can be then it will not be protected from 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 : Andrea Lewis

Inherent Risk : **25**

Last Update : 06/03/2024

Historical RAG :	Mar-23	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-24
	15	15	15	15	15	15	15	15	15	15	15	15

Current Control Measures

DR test training completed for Digital Services team. Simulated test of a cyber attack. Training to be provided to HoS and CMT

Last Update

06/03/2024

Risk Response

Treat

Projected Completion

31/03/2025

Communication to users to keep up awareness

06/03/2024

Treat

31/03/2025

Constant monitoring and surveillance of cyber risks by Security Office using system and tools in place. Situation reported monthly to Digital Services Board and Information Governance Board chaired by SIRO.

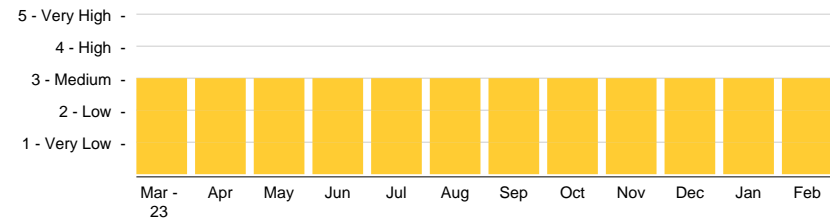
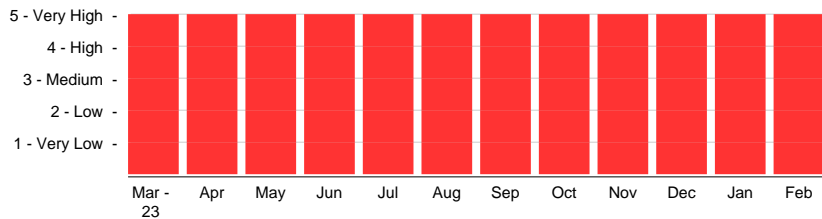
06/03/2024

Treat

31/03/2025

Current Impact : 5 - Very High

Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : ICT Disaster Recovery

Risk ID : 224

Description : CS83 - If full DR arrangements are not in place then the Council will have no access to system in the event of a disaster which will have a significant business impact

Risk Level : Directorate

Responsible Officer : Sarah.Lackenby

Councillor : Andrea Lewis

Inherent Risk : 20

Last Update : 06/03/2024

Historical RAG :	Mar-23	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-24
	12	12	12	12	12	12	12	12	12	12	12	12

Current Control Measures

Plans to move all data to Cloud underway to provide resilience for corporate data.

Last Update

06/03/2024

Risk Response

Treat

Projected Completion

31/12/2024

New Data Centre being established with additional resilient lines and new hardware. Migration of on premise systems to new data centre planned

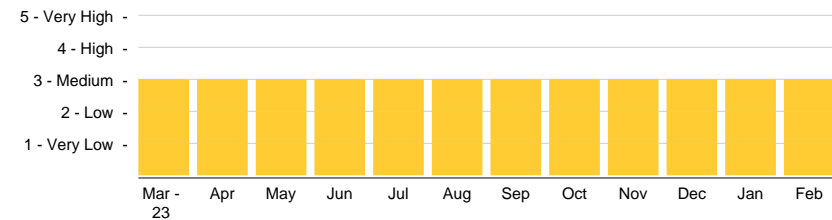
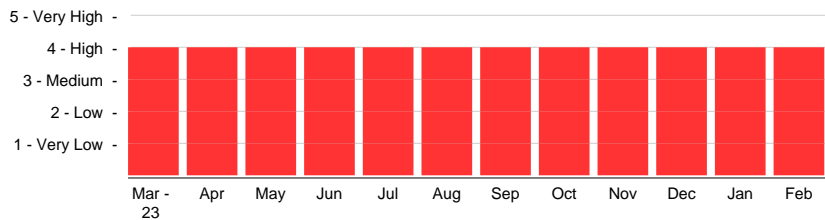
06/03/2024

Treat

31/12/2024

Current Impact : **4 - High**

Current Likelihood : **3 - 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, which may lead to reputational damage, a loss of political and community confidence, increased potential for loss of life, prolonged recovery following a major/business continuity incident which will deny service to the public and increase operating costs.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk : 16

Last Update : 26/02/2024

Historical RAG :	Mar-23	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-24
	9	9	9	9	9	9	9	9	9	9	9	9

Current Control Measures

As a Category 1 responder under the Civil Contingencies Act, Swansea Council has a legal requirement to plan for and respond to emergencies, to do this the following will be maintained and monitored by the CHSEMWS manager, with any gap or area of concern escalated to the CX.

1. The authorities Major Incident Plan will be reviewed annually, and tested on a 3 yearly basis unless activated, after which a review of the response will be provided to CMT, including any areas for improvement or additional resources needed to ensure we meet all legal obligations and can effectively respond to an emergency.
2. An annual delivery plan which clearly identifies priorities to address any gaps, or coming statutory needs, will be developed and delivered by the Emergency Management Service, to ensure compliance and maintenance of our ability to effectively respond and protect the organisation and communities .
3. Maintain and review on an annual basis all subordinate plans, including Mass Fatalities, Flood, Offsite COMAH Plan, Rest Centre Plan. with exercising as appropriate
4. Deliver a duty officer rota to effectively respond to emergencies available 24 hours per day, 365 days per year, this will be shared with all key external and internal partners including CMT to ensure a timely response can be achieved.
5. Annually review all identified risks, with relevant partner agencies that are present within the borders of Swansea Council to ensure control measures remain relevant and proportionate.
6. Ensure that all HoS review their business continuity Plans on an annual basis, with a confirmation provided to ensure governance is in-place via reporting to CMT for compliance..
7. Review each year for all significant risks the Emergency Management Service (EMS) guidance, procedures and action cards.
8. Arrange for appropriate Strategic & Tactical Officer to be delivered by SWLRF, to ensure ongoing competence within key officers, this will be augmented by internal training and exercise participation to protect the organisation, and maintain our ability to respond.

Last Update

26/02/2024

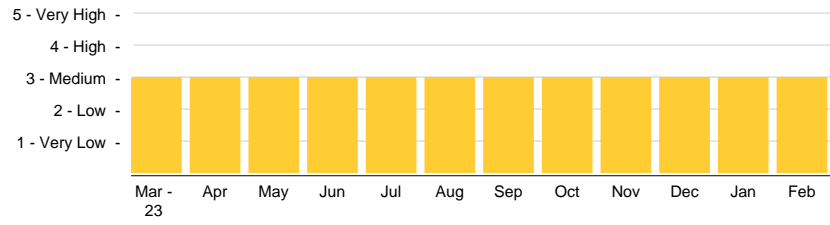
Risk Response

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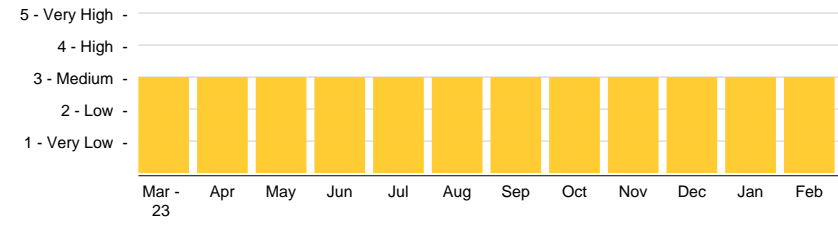
Projected Completion

31/03/2024

Current Impact : 3 - Medium



Current Likelihood : 3 - Medium



Risk on a Page

Risk Title : Health & Safety

Risk ID : 236

Description : If the Authority does not have a robust framework of Health & Safety Policies and procedures that are reviewed regularly, or in the event of significant change, it may lead to legal non-compliance, the realisation of adverse events including reputational damage, injury, financial loss and litigation by regulators.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk : 25

Last Update : 26/02/2024

Historical RAG :

Mar-23	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-24
8	8	8	8	8	8	8	8	8	8	8	8

Current Control Measures

1. The Authority is required by law to Have a Corporate H&S Policy and arrangements in-place, signed by the Chief Executive & Leader. This will be reviewed under full consultation with the organisation and TU's on a 3 yearly cycle, significant statute change or on the appointment of a new CX or Leader, this will be communicated to the organisation via H&S Alert, and published on Staffnet.
2. A copy of the Corporate H&S Policy will be provided by HR to all new starters prior to commencement of employment, and be covered during induction, and completion of Mandatory H&S training to meet legal compliance, clarify roles and responsibilities and avoid accidents, ill health, reputational damage and the potential for legal/financial penalties.
3. Each Director or their delegated HoS is responsible for ensuring a minimum of a Bi-annual H&S Committee, this will receive all minutes of lower level H&S Groups, statistics and information from the CHSEMWS, including any regulatory activity from the HSE/M&WWFRS and agree action to resolve any unaddressed risks, with an agreed timeframe for completion.

Last Update

Risk Response

Projected Completion

26/02/2024

Treat

31/03/2024

To ensure the Authority meets it's legal responsibilities the following will be implemented and monitored.

1. Review the statutory Corporate H&S Policy and arrangements under full consultation with the organisation and TU's on a 3 yearly cycle, or when there is significant statute change or on the appointment of a new CX or Leader. Communicate changes to the Corporate H&S Policy to the organisation via H&S Alert and published on Staffnet.
2. HR to provide a copy of the Corporate H&S Policy to all new starters prior to commencement of employment, and be covered during induction, and completion of Mandatory H&S training to meet legal compliance, clarify roles and responsibilities and avoid accidents, ill health, reputational damage and the potential for legal/financial penalties.
3. Each Director or their delegated HoS to ensure a minimum of a Bi-annual H&S Committee, which will receive all minutes of lower level H&S Groups, statistics and information from the CHSEMWS, including any regulatory activity from the HSE/M&WWFRS and agree actions to resolve any unaddressed risks, with an agreed timeframe for completion.
4. Review all H&S policies and guidance under full consultation every 3 years, in the case of significant

18/01/2024

Tolerate

31/03/2024

Current Control Measures

Last Update

Risk Response

Appendix A
Projected
Completion

change through legislation or if an adverse incident identifies the need for review. Monitor and report as part of the Corporate HSW action plan, which will be updated on-line quarterly, with reports on progress submitted to each Directors H&S committee with a formal update on an annual basis to CMT.

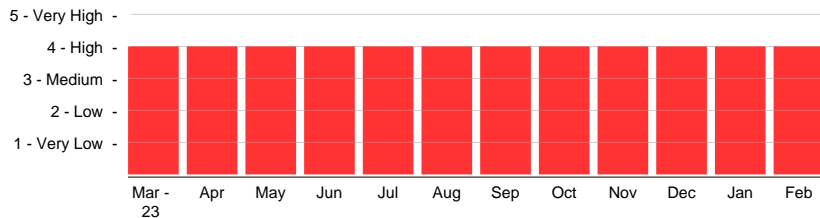
5. Publish a Health, Safety & Wellbeing Action plan on a rolling 2-year basis, which will be ratified by the CX. This will set out its priorities, setting clear targets for actions such as training and development to maintain competence, improvements and KPI's. This will be monitored by the CHSEMWS Manager with non-compliance or areas of concern escalated to CMT who will receive an annual update.

6. A planned schedule of H&S Audits and Inspections, including Fire Safety will be carried out across the authority based on Risk. This will result in a report submitted to the manager/HoS identifying best practise and any areas for improvement, including action plans where required. This will be monitored by the CHSEMWS Manager and fed into the Departmental H&S & Directors H&S Committees to ensure action.

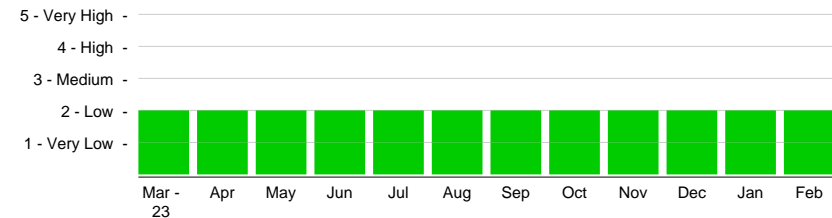
7. An annual programme of H&S training will be delivered to ensure staff are trained, and to maintain competence as a legal requirement all Health, Safety & Wellbeing Training delivered by the service will be corporately. All HoS are required to annually review mandatory, statutory and role specific training for their areas, and ensure all locally arranged and delivered training is recorded.

8. All accidents/near misses will be reported to the CHSEMWS, with initial investigation by the service area. All RIDDOR reportable incidents will be reported to HSE, investigated, with a formal accident report and action plan as required. This information will be provided to H&S committees to prevent reoccurrence which could lead to injury, loss and legal penalties. An annual accident report complete with trend analysis will be submitted to CMT, with any identified gaps (i.e. Training agreed as priority areas for development in the following year, or sooner if required).

Current Impact : 4 - High



Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Workforce recruitment and retention

Risk ID : 335

Description : If the Council is not able to recruit and retain the right staff, then there may be reduced workforce capacity and capability, leading to lower staff morale and productivity, poor work quality, increased staff costs and reduced staff well-being / higher sickness rates.

Risk Level : Corporate

Responsible Officer : Rachael.Davies

Councillor : David Hopkins

Inherent Risk : 12

Last Update : 26/02/2024

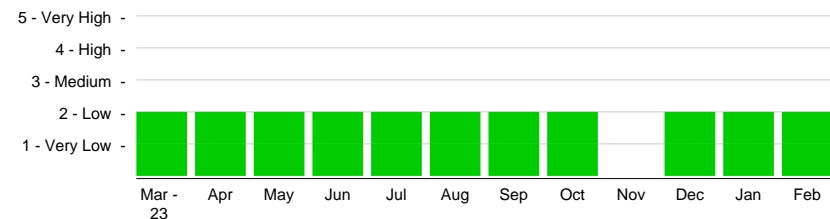
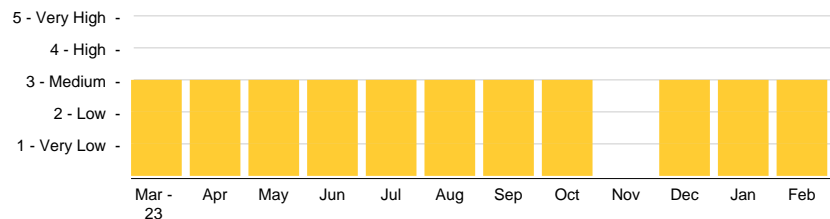
Historical RAG :	Mar-23	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-24
	6	6	6	6	6	6	6	6		6	6	6

Current Control Measures

Current Control Measures	Last Update	Risk Response	Projected Completion
Workforce planning template for 24/25 to be populated by service areas and HRBP's to include hard to recruit posts in order to generate full picture with accuracy for CMT reporting where appropriate	26/02/2024	Treat	01/06/2024
Review the existing recruitment policy and assess weaknesses in application processes and selection processes for improvement to ensure the most appropriate application and selection techniques are being used to hire talent into the organisation.	26/02/2024	Treat	01/10/2024
Quarterly reporting provided to Directorates for PFM to highlight areas of concern and consider targeted approaches accordingly.	26/02/2024	Treat	01/10/2024
Workforce and OD Transformation Programme board to escalate recruitment and selection as key priority in 24/25 and allocate projects under the 'Employer of Choice' theme accordingly in order to conclude work in this area during the 24/25 year.	26/02/2024	Treat	01/06/2024

Current Impact : 3 - Medium

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Mandatory training

Risk ID : 336

Description : If the Council does not implement, monitor and ensure the completion of mandatory training, then the Council may not fulfil its statutory and regulatory obligations or ensure the safe and effective operation and delivery of services.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk : 12

Last Update : 26/02/2024

Historical RAG :	Mar-23	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-24
	6	6	6	6	6	4	4	4		4	4	4

Current Control Measures

PFM reporting to include data on mandatory training and completion rates from April 2024. Once scheduled and running, risk can be de-escalated as reporting risk will have been resolved.

Last Update

26/02/2024

Risk Response

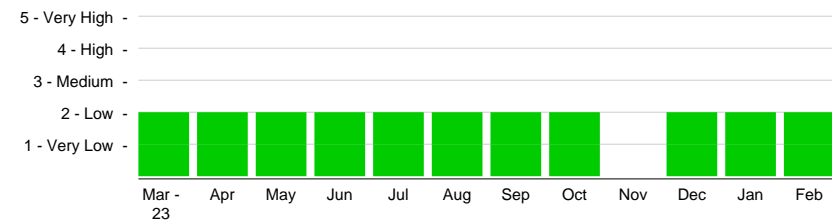
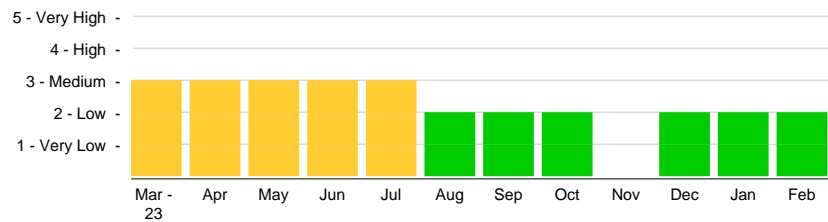
Treat

Projected Completion

01/05/2024

Current Impact : 2 - Low

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Successful and Sustainable Swansea Corporate Transformation Plan

Risk ID : 350

Description : If the council does not successfully deliver the Successful and Sustainable Swansea Corporate Transformation Plan it will struggle to deliver its wellbeing objectives and to respond effectively to the external challenges it is facing up to 2028.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : Andrea Lewis

Inherent Risk : 12

Last Update : 15/02/2024

Historical RAG :

Mar-23	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-24
		8	8	8	8	8	8		8	8	8

Current Control Measures

Implement suggestions contained in Audit Wales letter to the Chief Executive (October 2023) on the progress the Council is making around its Transformation Programme

Last Update

11/01/2024

Risk Response

Treat

Projected Completion

30/04/2024

Transformation Delivery Board to receive quarterly progress reports on all programmes within the CTP to monitor progress and address any performance issues should they arise.

18/05/2023

Treat

31/03/2024

Ensure effective governance arrangements are in place and maintained to oversee implementation of the CTP and undertake annual review of arrangements in March each year to ensure ongoing suitability.

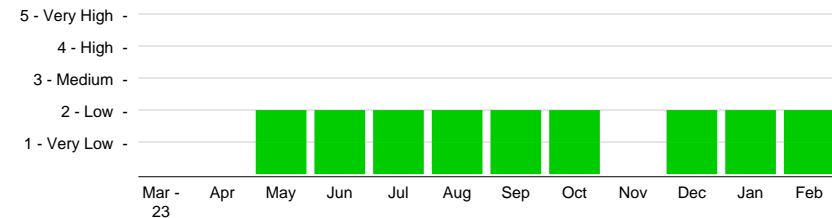
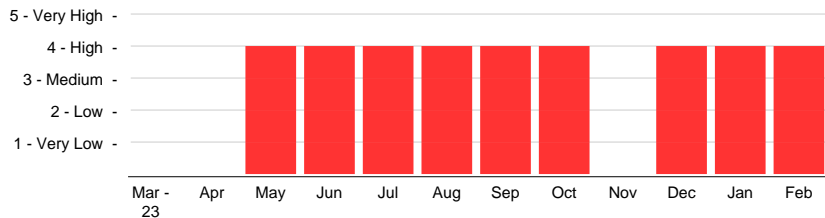
18/05/2023

Treat

31/03/2024

Current Impact : 4 - High

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Successful delivery of the payroll function

Risk ID : 367

Description : The Payroll service needs to provide an accurate and timely payroll provision to all employees, elected members and pensioners in addition to ensuring compliant reporting to statutory bodies including HMRC, pension funds, WG and others. Systems issues in Oracle Fusion with interfaces is causing instability and uncertainty when running monthly payroll.

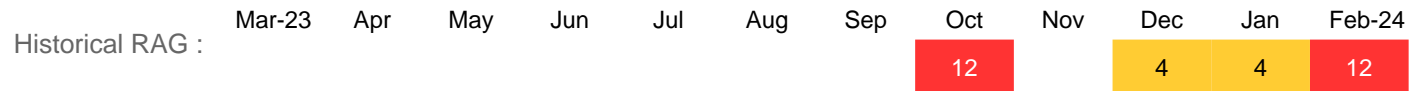
Risk Level : Corporate

Responsible Officer : Rachael.Davies

Councillor : David Hopkins

Inherent Risk : 12

Last Update : 29/02/2024



Current Control Measures

Current Control Measures	Last Update	Risk Response	Projected Completion
Payroll and Finance teams to provide resource for appropriate testing of permanent fix once available from third party support provider to ensure implementation as soon as possible.	29/02/2024	Treat	01/06/2024
Third party support provider to start work on producing permanent fix to interface failure immediately i.e. 1st March 2024.	29/02/2024	Treat	01/06/2024

Current Impact : 4 - High

Current Likelihood : 3 - Medium

