

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 : David Hopkins

Inherent Risk :

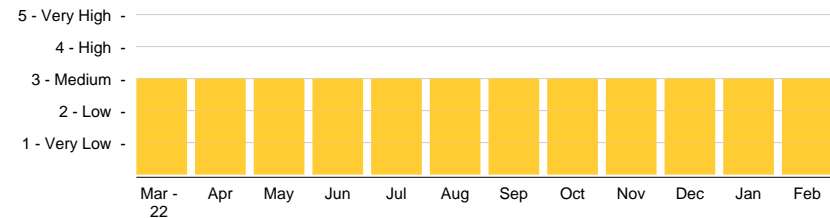
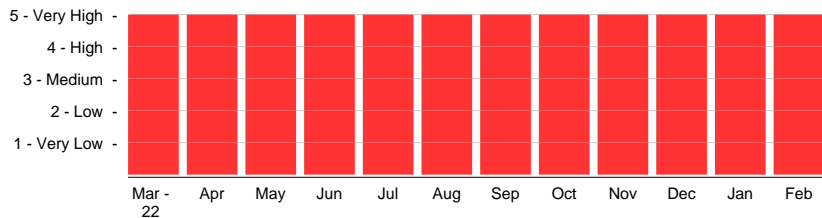
Last Update : 27/02/2023

Historical RAG :	Mar-22	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-23
	15	15	15	15	15	15	15	15	15	15	15	15

Current Control Measures	Last Update	Risk Response	Projected Completion
Communication to users to keep up awareness	27/02/2023	Treat	30/06/2023
New tools from Microsoft being reviewed to provide phishing test as part of continued vigilance and education to users on cyber security	27/02/2023	Treat	31/05/2023
DR test training completed for Digital Services team. Simulated test of a cyber attack. Training to be provided to HoS and CMT	27/02/2023	Treat	31/05/2023
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.	15/12/2022	Treat	31/03/2023

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 :

Last Update : 27/02/2023

Historical RAG :	Mar-22	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-23
	8	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

27/02/2023

Risk Response

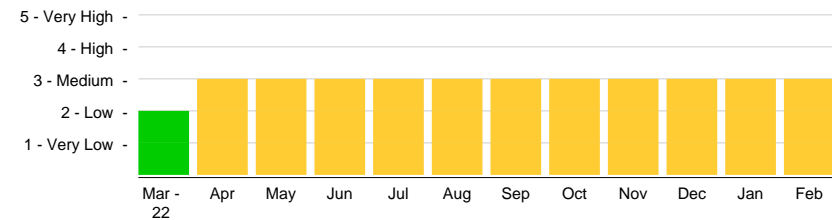
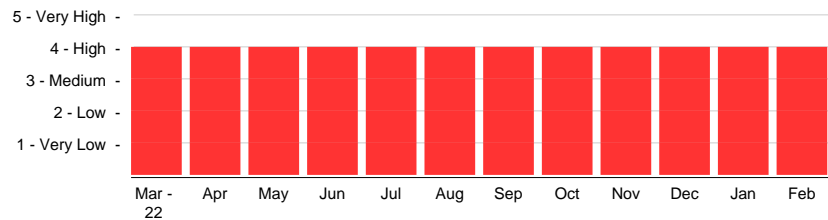
Treat

Projected Completion

31/12/2023

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.

Risk Level : Corporate

Responsible Officer : Ness.Young

Councillor : David Hopkins

Inherent Risk :

Last Update : 14/02/2023

Historical RAG :	Mar-22	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-23
	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 is in-place.
 Continue to plan for and respond to emergencies as a Category 1 responder under the Civil Contingencies Act, as follows:

1. Train staff at Operational, Tactical and Strategic Level via the South Wales Local Resilience Forum
2. Review each year and exercise every 3 years a Major incident Plan, unless activated or a significant change such as a change in statute require earlier change.
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. Manage a duty officer rota to effectively respond to emergencies available 24 hours per day, 365 days per year.
5. Annually review all identified risks within the borders of Swansea Council to ensure control measures remain relevant and proportionate.
6. Redistributed to all Heads of Service and review each year the Council's Corporate Business Continuity policy and guidance to ensure business continuity plans are robust and reviewed annually.
7. Review each year for all significant risks the Emergency Management Service (EMS) guidance, procedures and action cards.
8. The EMS acts as the conduit for security and counter terrorism information from the Welsh Extremism & Counter Terrorism Unit, disseminating information to key internal and external partners as required.
9. EMS maintains a fully stocked Incident Response Vehicle, to protect/support the public during an emergency.
10. Establish a Swansea Risk Group with Partner Agencies

Last Update

Risk Response

Projected Completion

14/02/2023

Treat

31/03/2023

EMS Delivery plan under development for 23-24 16th Feb 23.

14/02/2023

Treat

31/03/2023

Current Control Measures

interviews for assistant post unsuccessful, post will be readvertised, EMS Manager added to duty rota in interim to cover leave and work assigned in EMS delivery plan redistributed in interim.

Last Update

14/02/2023

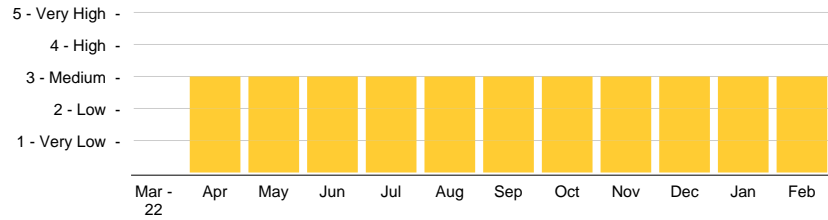
Risk Response

Treat

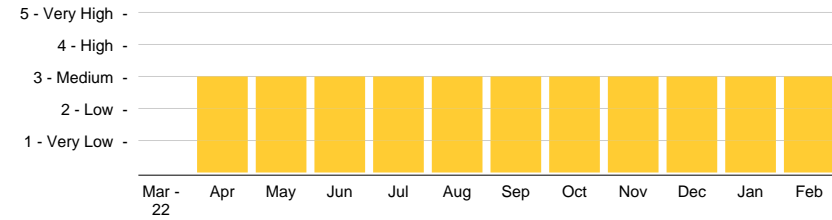
Appendix A
Projected
Completion

31/03/2023

Current Impact : 3 - Medium



Current Likelihood : 3 - Medium



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 : Ness.Young

Councillor : David Hopkins

Inherent Risk :

Last Update : 14/02/2023

Historical RAG :

Mar-22	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-23
8	8	2	8	8	8	8	8	8	8	8	8

Current Control Measures

Continue to undertake an annual program of Health & Safety and Fire Safety Management audit and inspections across all service areas to maintain and improve arrangements and compliance with policy and ensure that agreed improvement plans are put in-place and monitored by the Principal H&S Officer through monthly 1-2-1's for completion.

Continue to ensure that there is appropriate H&S training and administer Corporate H&S training records and qualification refresher recalls and issue compliance reports to services on a bi-annual basis monitored by the Senior H&S Training Officer.

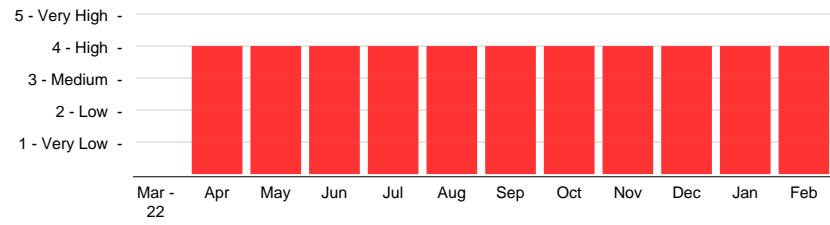
Continue to investigate more significant accidents falling under the remit of the RIDDOR regulations and provide a management report to prevent re-occurrence, ensure legal compliance and an improvement of standards; in addition, provide these reports with statistical information to Directors bi-annually and within an annual corporate accident report and trend analysis.

Manage a preventative RAG rated alert system allowing communication of best practise, legal/policy changes and areas for action across the Authority and document control and store for evidence purposes and liaison with the Health & safety Executive, fire and rescue services and legal representatives.

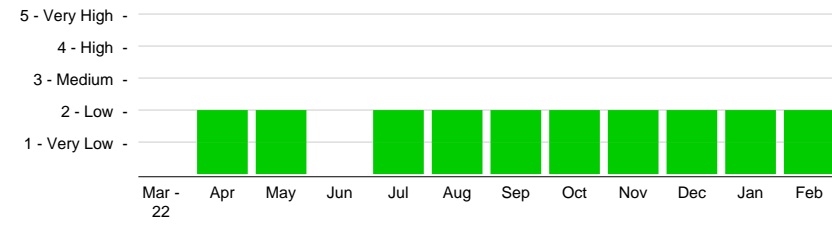
1. Maintain the Corporate Health & Safety Policy, which clearly identifies the Health & safety responsibilities of every level of employee, and review (including subordinate policies) every 3 years or if significant change occurs, such as a change in statute, leader or statute changes.
2. Provide the Corporate Health & Safety Policy to all staff during induction and provide mandatory Health & Safety training framework for all employees.
3. Continue Bi-annual Health & Safety Committee meetings chaired by each Director and made up of employee and management representatives and trade unions, supported by competent H&S Officers who provide statistical reports, advice and any updates from the Health & Safety Executive.

Last Update	Risk Response	Projected Completion
14/02/2023	Tolerate	31/03/2023
14/02/2023	Treat	31/03/2023

Current Impact : 4 - High



Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Oracle Fusion Project Implementation

Risk ID : 309

Description : If the ORACLE Fusion upgrade is not implemented by April 2023 the council will incur additional costs and further delay will put business continuity of critical back office systems at risk.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : David Hopkins

Inherent Risk :

Last Update : 23/02/2023

Historical RAG :

Mar-22	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-23
12	12	12	12	20	20	20	20	8	8	8	8

Current Control Measures

Daily monitoring by the implementation Team and Project lead of the programme risk register with red risks and issues escalated to the Design Authority fortnightly, Executive Steering Board fortnightly and CMT.

Last Update

23/02/2023

Risk Response

Tolerate

Projected Completion

28/04/2023

Weekly monitoring by the Project leads of capacity and remedial actions plans put in place, agreed at Executive Steering Board fortnightly and escalated to CMT/Cabinet where appropriate.

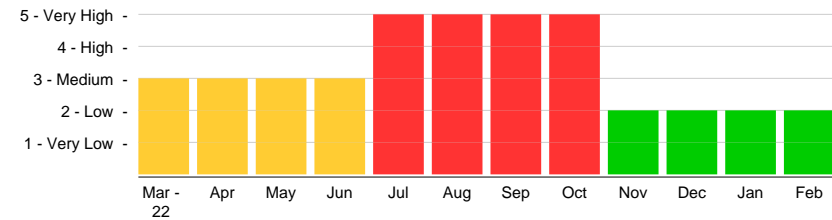
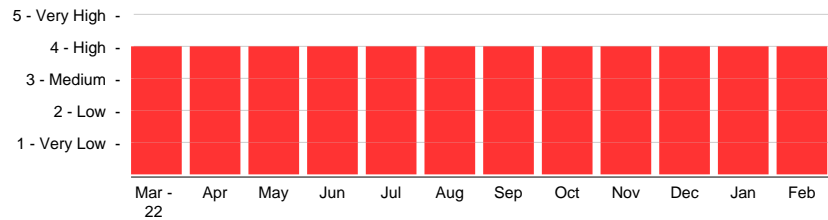
23/02/2023

Tolerate

28/04/2023

Current Impact : 4 - High

Current Likelihood : 2 - Low



Risk on a Page

Risk Title : Guild Hall Data Centre

Risk ID : 327

Description : If the Guild Hall Data Centre refurbishment procurement route and support is not confirmed and completed to deadlines then the Community Hub and Civic Centre Relocation will be at risk and IT infrastructure is at risk of going end of life and could fail.

Risk Level : Directorate

Responsible Officer : Jo.Harley

Councillor : Andrea Lewis

Inherent Risk :

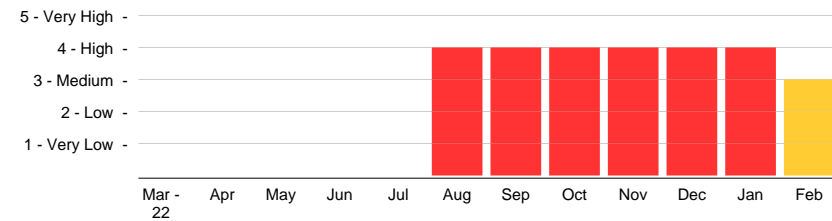
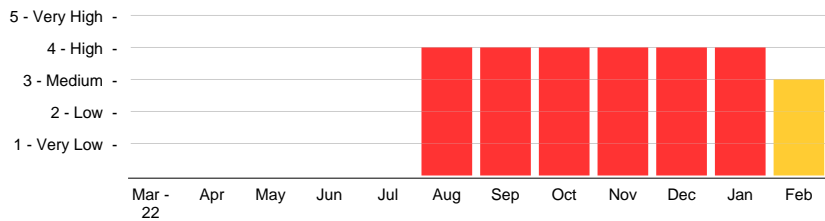
Last Update : 27/02/2023



Current Control Measures	Last Update	Risk Response	Projected Completion
Review of Civic Centre infrastructure to determine risk areas if timescales of Civic Centre relocation extend	27/02/2023	Treat	31/08/2023
Risk and issues of delay highlighted to Regeneration Board for visibility and impact assessment	27/02/2023	Treat	31/08/2023

Current Impact : 3 - Medium

Current Likelihood : 3 - Medium



Risk on a Page

Appendix A

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 : Ness.Young

Councillor : David Hopkins

Inherent Risk :

Last Update : 16/02/2023

Historical RAG :

Mar-22	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-23
									6		6

Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Within the first 12 months of the Workforce Strategy (i.e. by October 2023), have implemented the following activities contained in the Workforce Strategy: Review and update the Recruitment and Selection Policy so that it meets with employment legislation, best practice and Council need; further development of our Recruitment Attraction Approach; a review of Application Process so that it is compliant with legislation and is seen to be supportive to applicants; upskilling of recruiting managers so that they are appropriately trained in unconscious bias training; and that all employees who are involved in recruitment panels follow correct processes in conducting recruitment interviews. particularly those covered in Strand 4 Workforce Planning, Strand 5 Workforce Development, Strand 6 Recruitment and Retention, Strand 7 Recognising Performance.</p>	16/02/2023	Treat	31/10/2023
<p>Wellbeing initiatives. Implement activities contained in the Workforce Strategy; particularly those covered in Strand 8 Supporting Our Workforce.</p>	16/02/2023	Treat	30/04/2023
<p>Review the existing recruitment policy and assess weaknesses in application processes and selection processes for improvement by April 2023, to ensure the most appropriate application and selection techniques are being used to hire talent into the organisation.</p>	16/02/2023	Treat	30/04/2023
<p>Quarterly reporting provided to Directorates for PFM to highlight areas of concern and consider targeted approaches accordingly.</p>	16/02/2023	Tolerate	30/04/2023
<p>Review market supplement policy and those posts receiving supplements by April 2023 to assess impact on attraction strategy and retention rates in critical posts, and make decisions on whether to cease or continue with such supplements.</p>	16/02/2023	Tolerate	30/04/2023
<p>Identify difficult to fill roles from each Directorate by April 2023 to target resource to prioritise these hard to fill roles above other regular recruitment.</p>	16/02/2023	Tolerate	30/04/2023

Current Control Measures

Establish exit interview process by June 2023 for 'difficult to fill' roles to better understand the reasons for leaving the Council and review whether action can be taken to prevent numbers from leaving.

Last Update

16/02/2023

Risk Response

Tolerate

30/06/2023

Establish a recruitment data set by April 2023 to include agreed measures on; for example, turnover rates, length of time to recruit, identification of difficult to fill roles by April 2023 in order to identify areas to improve efficiency in recruitment processes where time to recruit is challenging, and to better understand areas where turnover is predicted to impact service delivery.

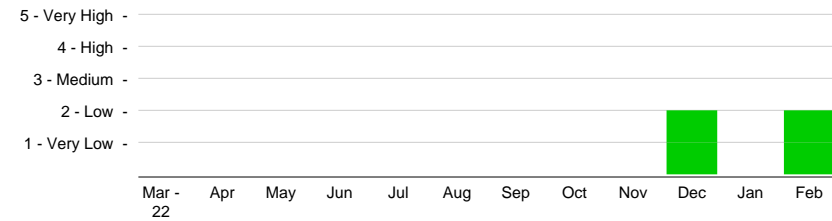
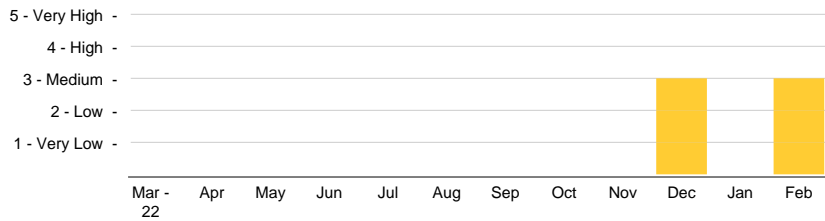
16/02/2023

Treat

30/04/2023

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 :

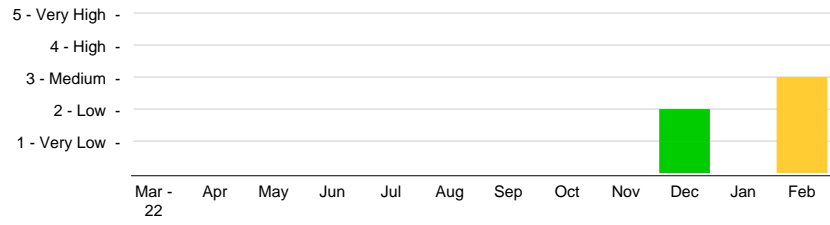
Last Update : 28/02/2023

Historical RAG :

Mar-22	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb-23
									4		6

Current Control Measures	Last Update	Risk Response	Projected Completion
Establishment of Corporate objective for Completion of 121s and appraisals, reportable quarterly via Oracle post April 2023. To be developed under Goals and Performance Model	16/02/2023	Treat	30/04/2023
Establishment of Corporate objective to measure against completion of mandatory training, reportable quarterly via Oracle post April 2023.	16/02/2023	Treat	30/04/2023
By April 2023, Statutory officers identified and suitably qualified to ensure safeguarding arrangements are in place and policies and procedures are implemented.	16/02/2023	Treat	30/04/2023
Corporate Safeguarding policy in place for all staff and councillors to follow and reviewed annually.	16/02/2023	Treat	30/04/2023
Annual review of the mandatory training list to ensure list is up to date and appropriate.	16/02/2023	Treat	30/04/2023
Managers to record in Oracle Fusion when training is undertaken and ensure any refresher training is undertaken. Monitor and report on compliance from April 2023.	16/02/2023	Treat	30/04/2023
Regular Quarterly and annual reports to CMT on compliance levels by Directorate.	16/02/2023	Treat	30/04/2023
12 month Corporate objective rolled out to organisation on completion of mandatory training to be included in new Performance and Goals Fusion module, commencing April 2023.	16/02/2023	Treat	30/04/2023

Current Impact : 3 - Medium



Current Likelihood : 2 - Low

