



NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

CABINET

REPORT OF THE HEAD OF FINANCE – HUW JONES

5th February 2020

Matter for Monitoring

Wards Affected - All

2019-20 Risk Register Monitoring

Purpose of the report

1. To provide Cabinet with an update on the Council's Strategic Risks.

Executive Summary

2. The Council's Risk Management Policy was approved by Cabinet on 27th June 2018. This policy requires that, on a 6 monthly basis, Cabinet:
 - Reviews and monitors the Strategic Risk Register

This report ensures compliance with that Policy.

Strategic Risks

3. The Strategic Risk Register is included at Appendix 1 of this report. Members should note the inclusion of a new Strategic Risk, SR19 which relates to changing demographics.

Integrated Impact Assessment

4. There is no requirement for an Integrated Impact Assessment as the report is for monitoring purposes only.

Valleys Communities Impacts

5. No Impact.

Workforce Impacts

6. There are no workforce impacts arising from this report.

Legal Impacts

7. There are no legal impacts arising from this report.

Risk Management Impact

8. This report ensures compliance with the approved Risk Management Policy.

Consultation

9. There is no requirement for external consultation on this item.

Recommendations

10. It is recommended that Cabinet monitor the risks set out in Appendix 1 to this report.

Reason for Proposed Decision

11. To ensure compliance with the approved Risk Management Policy.

Appendices

12. Appendix 1 - Strategic Risk Register

Background Papers

13. Risk Management Policy – Cabinet 27th June 2018



Officer Contact

14. For further information on this report item, please contact:

Huw Jones – Head of Finance

Tel: 01639 763575 E-mail: h.jones@npt.gov.uk

Strategic Risk Details

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR01	Asset Management - Failure of Major Infrastructure	Nicola Pearce	Financial	14/01/2020	Threat	Treat	 High 22/08/2018	 Medium 22/08/2018	

Existing Controls

1. Highways Asset Management Plan
2. Fleet Asset Management Plan
3. Property Asset Management Plan
4. Capital Programme
- . Capital Programme Monitoring Group
6. Treasury Management Policy7
- . Revenue budget funding
8. Large number of smaller asset transfer activity to community groups - bowling greens, sports pitches, community Centre's etc.
9. Tip inspections
10. Flood and Water Management Plan

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
<ul style="list-style-type: none"> •Fleet Asset Management Plan in place. •Renewals Programme and Investment Plans in place. Annual reports to Streetscene & Engineering for Scrutiny and approval of procurement programme. •All vehicles and plant purchased off National and Regional Framework, or Council's approved list of suppliers. •External BSI audits on Workshops. •Internal and Health & Safety Audits. •Vehicle and Plant disposals via Auctions. 	Dave Griffiths	80	03/01/2017	31/03/2020	*All Transport functions are now consolidated under a single Integrated Transport Manager supported by a Fleet Manager and a Passenger Transport Manager. •The Fleet Manager is the registered 'O' License holder for the Authority. If the 'holder' be incapacitated three other members of staff have been trained and are qualified CPC holders
*Highway Asset Management - Bridges & Structure's *Deal with alternative route for	Dave Griffiths	2	01/03/2018	31/03/2022	*Preliminary investigations underway, detailed design planned for 2019/20. *Construction work to be

Cymmer Bridge.					phased over two financial years 2020/2021 & 2021/2022.
<p>*Management of Landslips and Quarries on Council owned land and property portfolio.</p> <p>*Identify High Risk Sites.</p> <p>*Inspection Regime Implemented on quarry tips.</p> <p>*Deal with Cwmafon Landslip to fully re-open highway.</p> <p>*Capital Funding to be identified to address works required.</p>	Dave Griffiths	0	01/03/2017	31/03/2024	<p>£30K revenue funding identified to commence inspection of 35 quarries and tips in Council Ownership.</p> <p>*10 High Risk tips inspected during 2017/18 and works identified to be carried out during 2019/20.</p> <p>*A further 25 tip inspection have been commissioned and reports are due to be received by 31.03.19.</p> <p>*£750K identified in Capital Programme to address Major Landslip at Cwmafon.</p> <p>*Road fully re-opened October 2018, landslip remains a Medium to High Risk of failure and further investment required within 1-5 year timescale of circa £5 Million.</p>
<ul style="list-style-type: none"> Relevant Heads of Service to attend the Capital Programme Steering Group. Business continuity plans. 	Simon Brennan	10	11/01/2018	31/03/2019	
<ul style="list-style-type: none"> Undertake rolling programme of surveys and inspections to understand condition and identify areas that require further investigation. Prioritize programmes of work and, where possible, remove/replace/reconstruct/ refurbish the highest risk assets. 	Simon Brennan	10	11/01/2018	31/03/2019	Deal with alternative route for Cymmer Bridge- Action moved to Highways Asset Management Bridges and Structures for mitigation plan.
Asset management of non-highway civil engineering infrastructure (such as countryside bridges and dams) - Produce single inventory of assets vested with Streetcare, Property and Regeneration, and Planning & Public protection, obtain preliminary condition data, undertake an initial prioritisation exercise, and produce a programme to address high priority issues	Mike Roberts	12	01/04/2018	31/03/2019	

Highway Asset Management - undertake a rolling programme of surveys and inspections to understand adopted highway infrastructure condition (aside from Bridges) that require further investigation and action. Prioritise issues and produce programmes of work annually	Mike Roberts	10	01/04/2018	31/03/2019	
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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR02	Panteg - Significant slip of the land impacting on the community in an area of historic landslips	Nicola Pearce	Compliance	14/01/2020	Threat	Accept	 High 22/08/2018	 High 22/08/2018	

Existing Controls

1. Enforcement action taken on directly affected properties
2. Further survey work to establish further risks
3. Community relations strategy
4. Dialogue with Welsh Government regarding funding for the associated costs

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
*Counsel opinion to be sought on extent of on going liability due to large area of land in private ownership and having regard to the Councils duties as outlined in the legislation relating to housing and drainage.	Dave Griffiths	100	04/12/2017	23/02/2018	Counsel opinion received and properties in the Very High and High Risk areas inspected in accordance with the Housing Act. Hazard Awareness notices issued highlighting the High Risk nature of the Landslip Area on land and property.
*Site Specific Landslide Management and Monitoring Strategy to be developed.	Nicola Pearce	0	04/03/2019	31/03/2020	The strategy is dependent on the findings of the Final ESP report scheduled to be received at the beginning of March 2019.
<ul style="list-style-type: none"> • Hazard & Risk Maps of the area currently being finalised. • Public meeting held Jan 18 with further meetings thereafter as required. • Monitoring & slope analysis on-going to inform final report. • Sharing of information with public via Councils Internet site. 	Dave Griffiths	90	11/01/2018	31/03/2019	<p>A public meeting was held to update all residents, tenants and property owners on the latest Draft Hazard and Risk Map for the area.</p> <p>Lidar surveys supported with traditional surveying of the highway infrastructure is on-going. Quarry inspections have been undertaken and reports published and shared with property owners. Two highway retaining structures have had strengthening works undertaken. The bund opposite Panteg Chapel has been enhanced with a gabion basket structure to</p>

					<p>prevent debris from minor landslips from impacting on the highway.</p> <p>Repairs and clearance of watercourses has been completed and continues to be monitored.</p> <p>All properties in the high risk area have been inspected by the Environmental Health Unit in accordance with Housing Act and Hazard Awareness Notices issued advising land and property owners of the Very High Risk nature of the Landslip Area.</p>
• Land tribunal hearing held to consider householders concerns on council action	Ceri Morris	100	11/01/2018	31/03/2019	The council successfully defended our position in the RPT
Discussions are ongoing with the insurance companies representing all but one of the owners through a third party consultancy. Discussions are underway with tenants to conclude compensations payments	Ceri Morris	20	09/01/2019	31/03/2020	<p>This work is underway in advance of the potential demolition of the terrace.</p> <p>In addition to the above one family continues to occupy a property.</p> <p>The council is in the process of prosecuting for non-compliance with the EPO in an attempt to secure vacancy of the whole terrace for health and safety reasons.</p>
Multi-agency response plan to incident in place (Dragon System).	Shaun Burgess	100	04/09/2017	27/10/2017	<p>The plan is subject to an annual joint multi-agency review.</p> <p>A tablet op exercise was undertaken in Nov 2017.</p>

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR03	Governance - Break down in internal controls and/or governance arrangements as a result of significant and continuing service change, complex service models and the loss of experienced staff	Karen Jones	Resource	14/01/2020	Threat	Accept	 Medium 22/08/2018	 Medium 22/08/2018	

Existing Controls



1. Corporate Governance Statement regularly reviewed internally by the Governance Group and annually approved externally by Wales Audit Office. It describes current controls and improvement actions with process of regular review
2. Corporate Governance Group exercising continuous oversight of governance arrangements, including critical incident review
3. Open and robust relationship with external auditors and inspectors
4. Protected investment in Internal Audit Services with risk-based audit programmes
5. The work of internal and external audit monitored quarterly by Audit Committee
6. Regular reporting of progress in delivering agreed improvement actions set out in AGS to elected Members including Scrutiny and Audit Committees
7. Common template for reporting on decision items to Cabinet and Cabinet Boards, to ensure decisions are supported by relevant information
8. Training for all managers in corporate governance delivered by Monitoring Officer and Head of Corporate Strategy and Democratic Services
9. Range of governance modules integrated into Member Induction arrangements

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
4 improvement actions identified for 2018-19 linked to the Annual Governance Statement	Caryn Furlow	100	01/04/2018	31/03/2019	Completed
Following the Audit Committee training, review the Audit Committee Terms of Reference to ensure that they enable adequate monitoring and review of governance arrangements by the Audit	Huw Jones	100	19/11/2018	31/03/2019	Terms of Reference reviewed and remain appropriate

Committee					
Further revision of the corporate reporting template to reflect Well-being of Future Generations (Wales) Act 2015 requirements and feedback from Wales Audit Office with refresher training for manager	Karen Jones	100	19/11/2018	31/03/2019	Completed
Improvement action 1 - GDPR	Craig Griffiths	100	01/04/2018	31/03/2019	Completed
Improvement action 2 - IIA	Caryn Furlow	100	01/04/2018	31/03/2019	Completed
Improvement action 3 - Information Management	David Giles	60	01/04/2018	31/12/2019	Information Governance strategy is being developed
Improvement action 4 - Values & Behaviours	Caryn Furlow	50	01/04/2018	31/03/2020	Work underway - carried over in to 2019/2020
Operational procedures being established to maintain new risk management arrangements	Huw Jones	100	13/06/2018	31/08/2018	Operational procedures have been established to ensure the new risk management arrangements contained within the Policy are met
Oversight of compliance with GDPR being undertaken by Corporate Governance Group and reported by exception to Corporate Directors Group/Cabinet	Craig Griffiths	100	01/04/2018	31/03/2019	Report presented to Corporate Directors Group January 2019
Post implementation review of CPMS	Caryn Furlow	0	13/06/2018	31/01/2020	Internal post implementation review underway. WAO review of system scheduled January 2020
Provide additional focused training for the Audit Committee to ensure the Committee can exercise effective oversight of corporate governance arrangements.	Huw Jones	100	11/01/2018	31/10/2018	A training session was provided by the Wales Audit Office to Audit Committee Members in September 2018
Revise risk management policy and implement more consistent approach to risk description, scoring and action planning	Karen Jones	100	11/01/2018	31/03/2019	Complete
Undertake a review of the Council's collaborative and regional working arrangements via the scrutiny process	Karen Jones	0	03/06/2019	31/03/2020	Scheduled for early 2020
Use the CAMMS performance management ICT system to increase access to information on corporate governance	Karen Jones	100	19/11/2018	31/03/2019	Complete

arrangements and to improve reporting for both officers and Members

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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR04	Workforce - Failure to adequately undertake workforce planning could lead to the Council not having the right numbers of the right people, in the right place, at the right time, doing the right things	Sheenagh Rees	Resource	05/12/2019	Threat	Treat	 Low 22/08/2018	 Low 22/08/2018	

Existing Controls

1. Workforce information post established within Human Resources Department
2. Workforce information improvement work enabled by the development of the employee portal
3. Sickness Task and Finish Group has developed a detailed insight into the reasons for absence and the profile of the people who are experiencing ill-health
4. Workforce planning developed within Children and Young People Services
5. Workforce surveys in place for some service areas – Social Services, Corporate Strategy and Democratic Services
6. Clear and effective strategy in place to support employees who wish to depart the organisation under ER/VR
7. Specific reserve established to fund ER/VR programme
8. Insight into levels of digital literacy in the non-schools workforce conducted and some plans in place to address the findings of the research
9. The engagement of apprentices

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
<ul style="list-style-type: none"> • A Strategic Workforce Plan for the Council will be published in April 2018 setting out 5 clear themes for the Council's workforce with agreed actions to support each theme – this will help service management teams focus on key areas of workforce planning such as succession planning, learning, training and development plans, employee engagement etc. 	Sheenagh Rees	100	11/01/2018	31/03/2019	The Strategic Workforce Plan was agreed by Members at Personnel Committee on 25th June 2018 for implementation.

<ul style="list-style-type: none"> • Further development of the Employee Portal and roll out across the whole workforce will improve both the information the Council has about each employee as well as communication with the workforce • Publication of the gender pay gap and action plan as required by legislation will help the Council understand the gender profile and actions necessary to reduce the gender pay gap 	Sheenagh Rees	75	11/01/2018	31/03/2019	Over 4,000 employees have now registered for the portal and are able to use it to provide the Council with data updates and receive information in relation to aspects of employment. The Portal has a payslip facility which represents a cash saving to the Council as paper payslips are no longer posted out to employees.
A Strategic 5 Year Workforce Plan was approved by elected members at Personnel Committee and the Plan will be implemented over the next 5 year period.	Sheenagh Rees	75	01/04/2018	31/03/2022	A review of progress to date was presented to Members at Personnel Committee in December 2019 and shows good progress against the commitments set out in the plan - as it is a 5 year plan, actions are ongoing, but some action has been taken against all priorities, a good foundation for the rest of the term of the plan.
A succession planning toolkit has been designed to assist Heads of Service in planning future workforce requirements	Sheenagh Rees	50	02/09/2019	31/03/2023	<p>Director of Environment has been replaced and a number of Heads of Service Vacancies have been filled.</p> <p>Recruitment planning for Chief Executive's replacement has commenced</p>
Implementation of 5 year Workforce plan and regular review of linked action plan.	Sheenagh Rees	33	25/06/2018	31/03/2023	A review of the action plan and progress to date was presented to Members at Personnel Committee in December 2019 and this shows good progress has been made, and actions are on target.



Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR05	Safeguarding - Failure to manage the safeguarding regime safely	Andrew Jarrett	Compliance	02/01/2020	Threat	Treat	 Medium 22/08/2018	 Medium 22/08/2018	

Existing Controls

1. Corporate safeguarding group ensures there is clear allocation of roles and responsibilities internally within the Council and to share learning
2. Experienced Head of Children Services recruited, and Head of Adult Services also appointed
3. Significant corporate support and investment in place to address weaknesses in Children and Young People Services and to sustain/build upon the work which removed the Council from the CSSiW Serious Concerns Protocol
4. Focused improvement work taking place in adult services as a result of the new framework introduced by the SSWB Act
5. Regional Safeguarding Boards for West Glamorgan led by suitably qualified personnel
6. Ongoing investment in training to continuously improve safeguarding practice
7. Schools robustly held to account by ELLL for safeguarding practice
8. Investment in support for high risk victims of domestic abuse via the VAWDASV Leadership Group
9. Investment in Channel Panel support to discharge safeguarding responsibilities for people vulnerable to being drawn into terrorism/extremism
10. Seminar convened by Community Safety Partnership to highlight risks related to modern slavery, terrorism/extremism, serious and organised crime and hate crime
11. Partnership groups established to provide oversight of issues related to the people resettled under the Syrian Vulnerable Persons Scheme

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
<ul style="list-style-type: none"> • Bring together safeguarding arrangements for adult and children's social services under a single line manager • Consider whether there is scope to integrate other safeguarding practices across the Council into a shared corporate service • Developing practice to better identify priority risks when supporting vulnerable people. • Developing a Social Services Single Point of Contact to promote more robust and consistent decision making at 	Keri Warren	60	11/01/2018	31/03/2020	

the "front-door".					
<ul style="list-style-type: none"> • Develop a 'Progression Team' to support vulnerable young people into adulthood. • Fully embed a Social Services 'Quality Assurance Framework', to regularly monitor safeguarding arrangements within the Directorate. • To Strengthen and develop accommodation for care leavers. 	Keri Warren	50	11/01/2018	31/03/2020	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR06	Financial Resilience - The Council's financial position deteriorates to a point where it is no longer able to meet its statutory duties or the expectations of its communities	Hywel Jenkins	Financial	14/01/2020	Threat	Treat	 Medium 22/08/2018	 Medium 22/08/2018	

Existing Controls



1. Well established financial and corporate planning cycle
2. Experienced Financial Services Team
3. Accurate forecasting of service pressures
4. Good relationships with Welsh Government and others to secure good intelligence to inform estimating and forecasting
5. Open and transparent consultation and engagement with stakeholders on proposals to bridge budget gaps
6. Links between revenue and capital budget planning
7. Good track record in securing alternative funding, partnering, introducing new service models, seeking out innovation

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
<ul style="list-style-type: none"> • Intensify citizen engagement with the budget challenges, securing citizen commitment to behaviours that will reduce or remove demand on Council services • Introduce a more robust enforcement policy to sanction behaviours that unreasonably impact on Council resources • Review the potential for capacity/release or reduction in cost from internal, shared service or through external collaboration 	Huw Jones	80	11/01/2018	31/03/2020	<p>-Budget and other Consultation enhanced from Autumn 2018 for 2019/20 budget.</p> <p>-For 2020/21 Budget delayed due to late WG settlement announcement due on 16th December 2019. Expect better than planned settlement. This will result in a shorter consultation to take place during January and early February 2020.</p> <p>-Service reviews with income generation/cuts progressed during 2018/19 and 2019/20./</p>
<ul style="list-style-type: none"> • Introduce corporate approach to increasing income and ensure staff and elected Member are equipped with the skills and knowledge to 	Karen Jones	30	11/01/2018	31/03/2020	

implement the approach

- Accelerate the pace of digital innovation across the Council
- Improve the quality of evidence adduced to exemplify the financial resilience challenges of the Council and ensure this is understood by those involved in the decisions on local government budgets



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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR07	Budget Control - Failure to manage activity, expenditure and income within budgets	Hywel Jenkins	Financial	14/01/2020	Threat	Treat	 Medium 22/08/2018	 Medium 17/05/2019	

Existing Controls

1. Experienced financial team with designated financial officers supporting budget holders
2. Monthly budget reports, with forecasting to year end
3. High level monitoring of budget variances by Corporate Directors Group and elected Members to identify emerging problems early and to require corrective action
4. Budget accountability firmly embedded across the Council at all levels
5. Communications strategy engages staff and trade unions in the consequences of not achieving budget balance with opportunities for staff and trade unions to contribute to the formulation of budgets and savings/income generation proposals



Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
<ul style="list-style-type: none"> • The prospect of an overspend by the Council will be highlighted early in the year through the budget monitoring process. Actions will then be agreed and put in place by senior officers and Members to limit/prevent an overspend by the year end. 	Huw Jones	60	01/04/2019	31/03/2020	-Cabinet approved second quarter Budget Monitoring report on 30th October 2019. This showed projected overspend of £441k. Work ongoing to mitigate position by year end.

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR08	Health and Safety - Failure to manage Health & Safety of the workforce and community	Steven Phillips	Resource	14/01/2020	Threat	Treat	 Medium 22/08/2018	 Low 22/08/2018	

Existing Controls

1. Clear health and safety framework
2. Dedicated Health and Safety Team for the provision of advice and guidance
3. Access to Health and Safety Training
4. External quality audit to check compliance
5. Prioritised action plan, based on corporate assessment of risk, threat and harm
6. On line reporting system

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
<ul style="list-style-type: none"> • Actions taken by service managers to engage the workforce in health & safety matters • Service managers ensuring that health & safety risk assessments are thorough and up to date • Service managers ensuring the provision of appropriate and up to date training • Service managers ensuring the provision of appropriate and up to date Personal Protective Equipment (PPE) 	Sheenagh Rees	75	11/01/2018	31/03/2019	
The existing BSi standards 18001, that the Council is registered and annually externally audited for, is changing to the International Organisation for Standardisation's standard ISO 45001. The transitional arrangements will take 3 years, from June 2018. Arrangements are in hand for a successful transition.	Steven Phillips	75	01/06/2018	31/03/2021	



Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR09	Community Cohesion - Community tensions increase and there is a fracturing of community cohesion	Karen Jones	Reputational	14/01/2020	Threat	Accept	 Low 22/08/2018	 Medium 23/04/2019	

Existing Controls

1. Comprehensive Strategic Equality Plan in place which prioritises action to combat hate crime, domestic abuse and to strengthen engagement with a wide range of different sections of the community
2. Strong links to many groups who share protected characteristics
3. Training for officers and elected members in equality duties
4. Systematic use of equality impact assessments (which includes community cohesion)
5. Clear structure for discharging PREVENT duties with action plan in place, based on peer review and legal duties
6. Dedicated officers and elected Members who oversee equality and PREVENT duties
7. Regional Community Cohesion Co-ordinator brings advice on emerging trends that could affect local community relations
8. Full participation in regional CONTEST Board
9. Partnership plans mobilised to support job reductions in Tata Steel which included community relations aspects
10. Effective partnership in place to support people resettled under the Syrian Vulnerable Persons Scheme
11. BME Development Worker funded to develop stronger links with local BME communities

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
Carry out programme of equality audits to check approaches are embedded across the Council	Rhian Headon	0	01/04/2019	30/06/2020	Audits to be undertaken May 2020, a year after the introduction of the revised IIA.
Community profile findings to inform the review of the SEP in 19/20	Rhian Headon	75	01/04/2019	31/03/2020	The findings will inform the revision of the Strategic Equality Plan
Conclude community profiling exercise and then reassess equality plans in light of the findings	Rhian Headon	100	11/01/2018	31/03/2019	Completed
Develop strong counter-narrative to challenge extremist views and to	Sian Morris	100	11/01/2018	31/03/2019	Completed

mitigate the impact of events outside the county borough					
DNAG now disbanded as a group - need to consider alternative approach in engaging disabled people	Rhian Headon	50	31/10/2018	31/03/2020	The relevant CVS Forum has been approached but there appears to be little appetite for engagement at present. However, further approaches will be made. In addition, contact with other individual organisations is being explored to enable effective engagement with disability groups.
Improve tension monitoring and share more widely with relevant groups	Sian Morris	100	11/01/2018	31/03/2019	Equality & Community Cohesion Group now established. Tension indicators routinely shared
Increase interaction with key community groups, including Faith groups to improve community intelligence	Rhian Headon	100	11/01/2018	31/03/2019	Completed
Increased monitoring and engagement to gauge the impact of BREXIT on community cohesion	Karen Jones	75	01/04/2018	31/03/2021	Information re right wing activity circulated. Additional resource from Welsh Government to be invested in community engagement. Post filled with employee to commence January 2020. Provided comprehensive response to local unconnected incidents, and reached out to the communities to offer support, and supported South Wales Police in respect of their investigations

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR10	Business Continuity - Serious disruption to Council services and functions	Steven Phillips	Resource	14/01/2020	Threat	Treat	 Medium 22/08/2018	 Medium 22/08/2018	

Existing Controls

1. A dedicated Emergency Planning Team has been established, providing Business Continuity Planning advice and support to service managers
2. A revised approach to Business Continuity Planning has been developed and rolled out across Council Services

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
<ul style="list-style-type: none"> • All services across the Council to ensure that they have in place an up to date Business Continuity Plan, which has been communicated to all employees within the service as appropriate, and that the plan is tested and reviewed at regular intervals • Test corporate disaster recovery and business continuity plans against service plans and a range of scenarios 	Sheenagh Rees	10	11/01/2018	31/03/2019	Up to date BCOs are in place for FCS and the Assistant Chief Executive's Office, all of these plans are due to be tested in 19 / 20. Heads of Service have been asked to ensure that their uptodate BCPs are provided to the EPT by 31st March 2019.

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR11	Delivery of Corporate Plan - Failure to deliver the Corporate Plan due to inadequate capacity	Karen Jones	Compliance	14/01/2020	Threat	Treat	 Low 22/08/2018	 Low 22/08/2018	

Existing Controls

1. Corporate Strategy Team has clear understanding of legal frameworks that need to be adhered to
2. Experienced cadre of directors and heads of service who have participated in developing the programmes of work identified to deliver the political priorities of the Council
3. Alignment of the budget and corporate planning process
4. Range of mechanisms in place to obtain community and partner feedback on priorities and programmes of work
5. Regular review of Plan progress undertaken by Corporate Directors Group and elected Members
6. Strategic Schools Improvement Programme (SSIP) is being delivered but has been a significant pressure on the diminishing specialist functions – project management; communications; HR and ICT
7. Effective relationship management with funders to ensure there is early notice of funding opportunities and consequently early identification of new projects and programmes that can be put forward for funding opportunities or time to wind up programmes

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
Additional engagement and communication with management cadre to ensure full corporate ownership of the cross-cutting elements of the Plan, backed up by suitable training and development activities	Karen Jones	100	11/01/2018	31/03/2019	Completed
Bench-marking of approaches adopted by other organisations to be undertaken to identify other potential strategies that can assist in delivering the Council's priorities	Karen Jones	100	11/01/2018	31/03/2019	Completed
Fine tuning of actions and performance objectives required to clarify deliverable's	Karen Jones	100	11/01/2018	31/03/2019	Completed
Further testing of well-being objectives required as the budget scenarios for future	Caryn Furlow	100	11/01/2018	31/03/2019	Completed

years becomes firmer.
Corporate Plan adjustment to be
made as affordability issues are
identified to ensure alignment
with FFP

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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR12	Welfare Reform - Increased numbers of local people experience financial hardship	Karen Jones	Compliance	14/01/2020	Threat	Accept	 Medium 22/08/2018	 Medium 22/08/2018	

Existing Controls

1. Partnership activity established and championed by the Public Services Board/elected Members
2. Effective partnership relationships enabling people affected by welfare reform change to be identified and subject to targeted, preventative action
3. Range of support services identified to support those claimants who may be adversely affected by the changes
4. Training of officers and elected Members to ensure there is an understanding of the impact and implications of change
5. Good and effective information sharing arrangements in place to support vulnerable people
6. Core funding provided to key third sector organisation to sustain support services
7. Council Tax Reduction Scheme supporting financially disadvantaged to help them pay their council tax

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
Arrange a Poverty Symposium to identify opportunities for improving the way that services and support are delivered to people on low incomes across the County Borough	Karen Jones	100	01/08/2019	20/09/2019	Completed - Poverty Symposium held on 20th September 2019. Post event report developed. Follow up multi agency workshop scheduled 30th January 2020 to develop an action plan with the support of the Bevan Foundation and Naomi Eisenstadt.
Establish monthly briefing sessions internally to intensify monitoring of Universal Credit (UC) roll out and any new actions	Karen Jones	100	11/01/2018	31/05/2018	Completed
Establish quarterly round table sessions with senior partners to gauge impact of Universal Credit (UC) and identify risks and required actions	Karen Jones	100	11/01/2018	31/03/2019	Completed - High Level Strategic Forum now renamed Anti Poverty Forum. Next meeting arranged 21st January 2020 to prepare for Poverty workshop on 30th January 2020.
Undertake research to develop a clear understanding of those people who are facing greatest	Caryn Furlow	80	13/06/2018	31/03/2020	Policy in Practice system being used to target cohorts of people whose circumstances we can

financial hardship


impact positively upon.

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR13	Risk that regional collaboration dilutes the quality of services to local people and weaken governance	Steven Phillips	Reputational	14/01/2020	Threat	Treat	 Medium 22/08/2018	 Medium 22/08/2018	

Existing Controls

1. Each regional collaborative arrangement is explicitly agreed by elected Members
2. Scrutiny of each regional collaborative arrangement is vested in the relevant scrutiny committee
3. The nature and form of each significant collaborative arrangement is included in the Corporate Plan



Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
All collaborative arrangements to be reviewed through scrutiny process	Karen Jones	0	02/09/2019	31/03/2020	Scrutiny of all collaboration diarised in 2020.
Area plan for the western bay collaboration on health and social care to be considered at Council	Andrew Jarrett	100	15/01/2018	31/03/2018	Completed
City Deal - external legal support to ensure completion of Joint Committee Agreement and each council will sign off relevant project business cases that impacts on any financial commitment	Steven Phillips	100	15/01/2018	30/09/2018	Joint Working Agreement for City Deal concluded. Joint Scrutiny Committee in place with update reports to Council and Cabinet Board.
Joint scrutiny committee for City Deal in place	Karen Jones	100	22/11/2018	30/11/2018	Completed
Legislative proposals for further mandatory regional collaboration to be subject of full assessment and report to Council	Steven Phillips	100	15/01/2018	31/03/2020	Local Government Bill published December 2019. Report to Council scheduled on its impact.
Review Council's ongoing participation in ERW arrangements	Steven Phillips	70	13/06/2018	31/03/2020	Various reports made to the Cabinet. Letter indicating intent to withdraw unless issues satisfactorily addressed has been sent to the Joint Committee

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR14	Loss of personal/sensitive information resulting in possibly major financial penalty and loss of public confidence.	Hywel Jenkins	Financial	14/01/2020	Threat	Treat	 Medium 22/08/2018	 Medium 22/08/2018	

Existing Controls

- 1.Targeted training; provision of encryption technology; provision of secure emails
2. Increased preventative measures in relation to Cyber threats

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
Continued targeted training; provision of encryption technology; access to secure email transmission and receipt. Continual review and testing of Perimeter base and Information security.	David Giles	30	20/03/2018	31/03/2023	Completed but security updated regularly to ensure data kept as secure as possible.
GDPR Compliance Group meets as required to consider individual reported cases	Craig Griffiths	30	20/11/2018	31/03/2023	GDPR team established providing training, support and review of School and Council data/processes to minimise risk of non-compliance. GDOR Compliance Group meets to consider matters regularly.



Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR15	The Council is unable to comply with the compliance notice for Welsh Language Standards	Karen Jones	Compliance	14/01/2020	Weakness	Treat	 Medium 22/08/2018	 Medium 20/11/2018	

Existing Controls

1. Comprehensive assessment of ability to comply was undertaken
2. 55 standards were challenged by the Council and a number of changes were agreed with the Commissioner to resolve concerns
3. Menter Iaith engaged to help develop the Welsh language Promotion Strategy. The Strategy is based on existing or new initiatives where resources have been identified
4. Complaints are being monitored - lessons learned and remedial actions are identified and implemented. Additionally, the Council will seek further modification of the compliance notice if, in the course of implementation further barriers to compliance are identified.
5. Operationally the Welsh Language Officer Group is working to secure implementation of the standards
6. Additional corporate budget has been allocated
7. Scrutiny and monitoring arrangements at Cabinet and non executive levels is in place

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
Consulting on Welsh language Promotion Strategy to ensure relevance and deliverability	Caryn Furlow	100	13/06/2018	01/07/2018	Completed
Officers to work with WLGA & Welsh Language Commissioner to establish a more effective forum for sharing practice & finding opportunities to advance the language.	Caryn Furlow	60	01/04/2019	31/03/2020	Contact has been made with WLGA to raise the ability to share knowledge regionally/nationally. To be followed up early 2020.
Potential to find a solution to automate translation being explored in consultation with Welsh Language Commissioner	Caryn Furlow	50	19/11/2018	30/06/2019	Communications and Community Relations Team have trailed some translation software (Microsoft translate & Cysgliad). Further machine software is required to meet our needs, IT to explore options further.
Testing the process for appealing the Commissioner's ruling on an individual complaint (e.g. car parking	Caryn Furlow	100	13/06/2018	31/08/2018	Completed

machines)					
Welsh Language Officer Group to monitor delivery of the action plan to implement the Welsh Language Promotional Strategy.	Rhian Headon	100	26/09/2018	31/03/2020	WLOG meet bi-monthly and monitor the delivery of the action plan.

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR16	BREXIT - The UK and EU fail to reach a withdrawal agreement in time for when the UK leaves the European Union o	Nicola Pearce	Financial	14/01/2020	Threat	Accept	 High 02/01/2019	 High 02/01/2019	

Existing Controls

1. Not possible to put controls in place at local level.

Risk Owner Comments:

BREXIT Risks Include the following:

Food

Medical Supplies

Trade

Procurement



Financial

Community Cohesion

Availability of people

Legislative issues

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
Not possible to mitigate at local level.	Nicola Pearce	50	03/01/2019	31/03/2021	Government negotiated updated withdrawal agreement which was not supported by Parliament. General Election called for 12th December 2019, outcome will determine future Brexit position.



Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR17	Substance Misuse - threat and harm of substance misuse across the county borough and more people placed at significant harm / death	Karen Jones	Reputational	14/01/2020	Threat	Treat	 Medium 31/08/2018	 Medium 05/11/2018	

Existing Controls

1. Working with partners to mitigate the risk

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
Briefings of Members and key Officers completed	Karen Jones	100	01/10/2018	30/11/2018	Completed
Critical incident Group (CIG) report to joint Public Services Board, including key actions. CIG has been stood down. accountability for actions delegated to appropriate Boards. PSB to retain oversight of progress	Karen Jones	100	10/09/2018	31/03/2019	A detailed report was presented to the Joint PSB setting out the context of the issues (risk threat and harm), and the need to establish a Critical incident Group. This report also contained an action plan, setting out key actions over the short, medium and longer term. The action plan also set out clear lines of accountability by delegating responsibility for specific actions to appropriate Boards, including Area Planning Board and Community Safety partnerships. The CIG has now been stood down, but the PSB has and will retain oversight, with two meetings diarised to ensure that this work continues apace. One specific action arising from the CIG was the governance review of the Area Planning Board. This has been finalised and ratified by the APB, and will be fully implemented over the coming year including clear membership, membership accountability, and necessary induction. A clear work plan is being developed for the APB which will regularise business as usual reporting alongside highlighting progress against the CIG action plan, and the actions of the APB sub-groups.
Critical Incident Group established to deal with issues highlighted in the	Karen Jones	100	10/09/2018	30/09/2018	Group established - action plan produced

special event held on 10.09.18					
Governance of Area Planning Board revised. Proposals to be taken to Critical Incident Group and then to Area Planning Board for approval	Claire Jones	100	01/11/2018	31/01/2019	A revised governance framework has been considered by the APB Executive and the APB. The revised governance framework was agreed in principle by the APB at its meeting in December 2018, subject to final comments. No further comments have been received following the Executive or the APB. The framework therefore requires formal ratification and adoption by partners (to the framework) and nomination/naming of appropriate representatives/representation. Update report to Board September 2019
Report from Critical Incident Group (CIG) to be prepared for joint Public Service Board meeting (PSB) to discuss/agree next steps.	Karen Jones	100	01/10/2018	31/03/2019	Draft report being prepared- report published
Special event organised 10th Sept to explore whether sufficient priority is being given within our partnership, involving the PSBs of Swansea & Neath Port Talbot and the Western Bay Area Planning Board	Karen Jones	100	24/08/2018	10/09/2018	Event taken place
Stocktake to be undertaken in light of initial response to determine medium to long interventions.	Karen Jones	20	20/01/2020	30/06/2020	Multi-agency group to review current strategy and how effectively it addresses known risk, threat and harm.

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR18	Failure to adhere to maintaining high standards of Cyber resilience and security (as set out in the Concordat)	Karen Jones	Financial	14/01/2020	Threat	Treat	 Medium 30/01/2019	 Medium 08/01/2020	

Existing Controls

1. Updates to hardware and software are carried out as part of general service operation.
2. Drive and removable media encryption where appropriate is standard procedure.
3. Least privilege access permissions is a mature process within the Authority.
4. Information Security training is carried out (face to face and online) and available to all staff
5. Regular tests of the quality of internal and external controls are carried out by external accredited organisations.
6. Risks to be reviewed/considered regularly at Senior Management level
7. Any significant cyber incident will be reported to the NCSC

Risk Owner Comments: Cyber Essentials has been attained. Work progresses towards achieving Cyber Essentials+

Risk Action	Responsible Person	Progress %	Start Date	End Date	Comments
Achieve Cyber Essentials accreditation as defined in the Concordat	Karen Jones	100	28/02/2019	31/03/2019	
Aim to achieve Cyber Essentials+ IASME accreditation	Karen Jones	20	01/04/2019	31/03/2020	
Ensure that cyber incident processes are in place and staff are aware of the content	Karen Jones	10	30/09/2019	31/03/2020	
Register with CiSP (the NCSC's Cyber Security Information Sharing Partnership) to share cyber threat intelligence	Karen Jones	100	28/02/2019	31/03/2019	
Review need for access to externally facing scanning tool to test vulnerability of corporate application deployments	Karen Jones	10	02/12/2019	31/03/2020	
Review Password criteria to ensure that staff passwords are	Karen Jones	10	02/12/2019	31/03/2020	

adequate					
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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR19	Risk that current policy and service framework does not adequately respond to changing demographic profiles e.g. ageing, complex needs	Steven Phillips	Reputational	28/01/2020	Threat		 Medium 28/01/2020	 Medium 28/01/2020	

Existing Controls and Mitigating Actions

1. Current review of measures to address poverty and deprivation.
2. Current review of measure to respond to an ageing population.
3. Current review of arrangements to obtain better insight through a data sciences appraisal.
4. Proposed review of community wellbeing by Public Services Board.

