



## **NEATH PORT TALBOT COUNTY BOROUGH COUNCIL**

### **CABINET**

#### **REPORT OF THE CHIEF FINANCE OFFICER – HUW JONES**

**17<sup>th</sup> NOVEMBER 2021**

#### **Matter for Monitoring**

#### **Wards Affected - All**

#### **2021/22 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 27<sup>th</sup> 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, SR22 which relates to Recovery Activities.

#### **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 27<sup>th</sup> June 2018



## **Officer Contact**

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

Huw Jones – Chief Finance Officer

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## 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	30 <sup>th</sup> June 2021	Threat	Treat	 High 22 Aug, 2018	 Medium 22 Aug, 2018	

### **Existing Controls**

- 1.Highways Asset Management Plan
- 2.Fleet Asset Management Plan
- 3.Property Asset Management Plan
- 4.Capital Programme
- 5.Capital Programme Monitoring Group
- 6.Treasury Management Policy
- 7.Revenue budget funding
- 8.Large number of smaller assets transferred to community groups - bowling greens, sports pitches, community centres etc
- 9.Management of Landslips and Quarry Spoil.
- 10.Flood and Water Management Plan
- 11.Unadopted structures inventory and condition database
- 12.Weight Restriction on Existing Bridge.

Treatments	Responsible Person	Progress %	End Date	Comments
*Highway Asset Management - Bridges & Structure's *Deal with alternative route for Cymmer Bridge.	Dave Griffiths	0	31 Mar, 2024	*Construction work to be phased over two financial years 2023/24 & 2024/25. Joint working with Swansea Bay University Health Board over the relocation of the health centre is required and a joint public consultation to be undertaken for the health facility and the highway improvement scheme..
*Management of Landslips and Quarries on Council owned land and property portfolio. *Identify High Risk Sites. *Inspection Regime Implemented on quarry tips. *Capital Funding to be identified to address works required.	Dave Griffiths	0	31 Mar, 2022	Management of Landslips, tips and Quarries on Council owned land and property portfolio. Inspection Regime Implemented on NPT owned quarry tips. High Risk Sites identified WG grant secured 2020/21 to start remedial works on high risk tips. Funding application submitted to WG in June 21 for additional funding for works to high risk tips 2021/22. Likely to secure a positive response..
• Undertake rolling programme of surveys and inspections to understand condition and identify areas that require further investigation. • Prioritise programmes of work and, where possible, remove/replace/reconstruct/ refurbish the highest risk assets.	Simon Brennan	0	31 Mar, 2022	Deal with alternative route for Cymmer Bridge- Action moved to Highways Asset Management Bridges and Structures for mitigation plan. The previous rolling programme of surveys are currently being done on an ad-hoc basis (as required) as a consequence of the resources available and the current pandemic. There are currently 13 buildings in the D category.
•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	Dave Griffiths	0	31 Mar, 2022	*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' Licence holder for the Authority. If the 'holder' be incapacitated three other members of staff have been trained and are qualified CPC holders. Fitters are

Workshops. •Internal and Health & Safety Audits. •Vehicle and Plant disposals via Auctions. EV Fleet transition programme to be developed to achieve WG Zero				
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	0	31 Mar, 2022	A process of producing an inventory, completing an initial prioritisation, and undertaking an initial programme of work is completed. However, with continued deterioration of structures and additional information progressively coming to light a further cycle is now required.
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	0	31 Mar, 2022	The process of staggered surveys and inspections of main asset groups is ongoing as part of delivering the Highways Asset Management Plan, Highway Maintenance Plan, and annual Highways & Engineering works programme.
Relevant Heads of Service to attend the Capital Programme Steering Group.	Simon Brennan	0	31 Mar, 2022	

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	Ceri Morris	Compliance	30 <sup>th</sup> June 2021	Threat	Accept	 High 22 Aug, 2018	 High 22 Aug, 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

Treatments	Responsible Person	Progress %	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	23 Feb, 2018	Council 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
<ul style="list-style-type: none"> <li>• Hazard &amp; Risk Maps of the area currently being finalised.</li> <li>• Public meeting held Jan 18 with further meetings thereafter as required.</li> </ul>	Dave Griffiths	100	31 Mar, 2020	<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.</p> <p>Quarry inspections have been undertaken and reports published and shared with property owners.</p> <p>Two highway retaining structures</p>

<ul style="list-style-type: none"> <li>• Monitoring &amp; slope analysis on-going to inform final report.</li> <li>• Sharing of information with public via Councils Internet site.</li> </ul>				
<ul style="list-style-type: none"> <li>• Land tribunal hearing held to consider householders concerns on council action</li> </ul>	Ceri Morris	100	31 Mar, 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	50	31 Mar, 2022	This work is ongoing in advance of the potential demolition of the terrace. In addition to the above one family continues to occupy a property. 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. Environmental Health Officers are also liaising
Multi-agency response plan to incident in place (Dragon System).	Shaun Burgess	100	27 Oct, 2017	The plan is subject to an annual joint multi-agency review. A tablet op exercise was undertaken in Nov 2017.
Site Specific Landslide Management and Monitoring Strategy to be developed	Nicola Pearce	0	31 Mar, 2022	The strategy is dependent on the findings of the Final ESP report scheduled to be received at the beginning of March 2019





Phased implementation of demolition of affected houses on Cyfyng Rd	Ceri Morris	50%	Dec 2022	Due to the delays associated with the inability to remove all residents from a property in Cyfyng Rd and the failure to secure cooperation from all the insurance companies, the implementation of phase one has been delayed. Once this is implemented it will build up momentum for phase two.
A small landslide was experienced to the rear of Cyfyng Rd. This was endangering the safety of the residents in that property				Residents were relocated to temporary accommodation and the insurance company has subsequently agreed terms with the residents who have permanently relocated away from the property.

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	30 <sup>th</sup> June 2021	Threat	Accept	 Medium 28 Apr, 2021	 Medium 22 Aug, 2018	

**Existing Controls**

1. Annual Governance Statement regularly reviewed internally by the Corporate Governance Group and annually approved externally by Audit Wales. 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.
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
9. Range of governance modules integrated into Member Induction arrangements

Treatments	Responsible Person	Progress %	End Date	Comments
Improvement actions identified for 2021/2022 into 2022/2023 following the development of the Annual Governance Statement 2020/2021	Caryn Furlow-Harris	40	31 Mar, 2022	6 monthly progress report on improvement actions scheduled for Cabinet 15 <sup>th</sup> December 2021.
Undertake a review of the Council's collaborative and regional working arrangements via the scrutiny process	Karen Jones	0	31 Mar, 2020	



Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating
SR04	<p>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.</p> <p>There are currently a significant number of pressure points across the Council where there is an insufficient supply of workforce to meet Service Demands.</p>	Sheenagh Rees	Resource	30 <sup>th</sup> June	Threat	Treat	 Medium 28 Apr, 2021	 Medium 1 Nov 2021

#### **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

Treatments	Responsible Person	Progress %	End Date	Comments
A cross directorate Head of Service Workforce Planning Group, meets on a regular basis to support corporate planning of the council's most valuable resource. The Group includes Trade Union representation and acts as a key stakeholder and sounding board for the development of workforce plans, strategies and policies.	Sheenagh Rees	50	31 Mar, 2022	
A Strategic Workforce Plan for the Council	Sheenagh Rees	75	31 Mar, 2022	Wales Audit Office are currently supporting the Council

was agreed by Members at Personnel Committee on 25th June 2018 setting out 5 clear themes for the Council's workforce with agreed actions to support each theme. The Plan is for the period 2018 - 2022.				of a review of Workforce Planning arrangements within the Council, which is excellent timing as we begin to consider the development of a Strategic Workforce Plan for 2022 onwards.
A succession planning toolkit has been designed to assist Heads of Service in planning future workforce requirements	Sheenagh Rees	100	31 Mar, 2023	The Succession Planning Toolkit was implemented in Autumn 2019, but as a result of the pandemic adoption and implementation of the toolkit by Heads of Service has been patchy. The implementation of iTrent HR / Payroll database in 2021 will support succession planning processes.
The iTrent HR / Payroll System will be implemented in 2021, replacing the legacy Selima Vision system. This will greatly improve the data that the council holds in relation to employees and support better workforce planning.	Sheenagh Rees	75	31 Mar, 2022	
Additional capacity being created within the HR team in order to support recruitment in these areas and to try to find more innovative ways of addressing staff shortages.	Sheenagh Rees	50	31 <sup>st</sup> Dec 2021	



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	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 22 Aug, 2018	 Medium 22 Aug, 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

Treatments	Responsible Person	Progress %	End Date	Comments
<ul style="list-style-type: none"> <li>• Bring together safeguarding arrangements for adult and children's social services under a single line manager</li> <li>• Consider whether there is scope to integrate other safeguarding practices across the Council into a shared corporate service</li> <li>• Developing practice to better identify priority risks when supporting vulnerable people.</li> <li>• Developing a Social Services Single Point of</li> </ul>	Keri Warren	60	31 Mar, 2022	

Contact to promote more robust and consistent decision making at the "front-door".				
<ul style="list-style-type: none"> <li>• Develop a 'Progression Team' to support vulnerable young people into adulthood.</li> <li>• Fully embed a Social Services 'Quality Assurance Framework', to regularly monitor safeguarding arrangements within the Directorate.</li> <li>• To Strengthen and develop accommodation for care leavers.</li> </ul>	Keri Warren	50	31 Mar, 2022	

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.  Uncertainty remains over the impact of Covid on the Council's budget position.	Huw Jones	Financial	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 22 Aug, 2018	 Medium 22 Aug, 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
8. Established process in place to ensure all additional Covid related expenditure is captured and reclaimed from Welsh Government Hardship Fund.
9. Loss of income claims submitted to Welsh Government for service areas experiencing a reduction in income due to Covid.

Treatments	Responsible Person	Progress %	End Date	Comments
<ul style="list-style-type: none"> <li>• Intensify citizen engagement with the budget challenges, securing citizen commitment to behaviours that will reduce or remove demand on Council services</li> <li>• Introduce a more robust enforcement policy to sanction behaviours that unreasonably impact on Council resources</li> <li>• Review the potential for capacity/release or reduction in cost from internal, shared service or through external collaboration</li> </ul>	Huw Jones	80	31 Mar, 2022	Budget set for 2021/22 with no cuts to services. On-line consultation undertaken due to Covid-19 restrictions. 1,071 responses were received.





<ul style="list-style-type: none"><li>• Introduce corporate approach to increasing income and ensure staff and elected Member are equipped with the skills and knowledge to implement the approach</li><li>• Accelerate the pace of digital innovation across the Council</li><li>• 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</li></ul>	Huw Jones	30	31 Mar, 2022	
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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 Uncertainty remains over the impact of Covid on the Council's budget position.	Huw Jones	Financial	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 22 Aug, 2018	 Low 28 Apr, 2021	

#### **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 proposal
6. Established process in place to ensure all additional Covid related expenditure is captured and reclaimed from Welsh Government Hardship Fund.
7. Loss of income claims submitted to Welsh Government for service areas experiencing a reduction in income due to Covid.

Treatments	Responsible Person	Progress %	End Date	Comments
<ul style="list-style-type: none"> <li>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</li> </ul>	Huw Jones	25	31 Mar, 2022	Cabinet Report of 28 <sup>th</sup> July details an underspend for the year of £178k.



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	Karen Jones	Resource	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 22 Aug, 2018	 Low 22 Aug, 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

Treatments	Responsible Person	Progress %	End Date	Comments
<ul style="list-style-type: none"> <li>• Actions taken by service managers to engage the workforce in health &amp; safety matters</li> <li>• Service managers ensuring that health &amp; safety risk assessments are thorough and up to date</li> <li>• Service managers ensuring the provision of appropriate and up to date training</li> <li>• Service managers ensuring the provision of appropriate and up to date Personal Protective Equipment (PPE)</li> </ul>	Shaun Burgess	75	31 Mar, 2022	
Specific Covid 19 health and safety risk assessments have been development to support those attending workplaces and those working at home. This includes a risk assessment framework agreed with trade	Sheenagh Rees	75	31 Mar, 2021	

unions, an online DSE assessment tool for homeworkers, and access to a range of resources designed to protect the health and well-being of our employees.				
The development and implementation of Responsible Officer training, to ensure that those officers who are responsible for health and safety arrangements in council buildings.	Lynne Doyle	100	31 Mar, 2022	
The Health & Safety Team have implemented a proactive model of internal cross auditing which features four elements necessary for success: assessment of conformance to written procedures, assessment of the effectiveness of the process being audited, detection of external elements affecting the process being audited, and documentation of exceptional performance.	Shaun Burgess	50	31 Mar, 2022	



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.	Chris Millis	Reputational	30 <sup>th</sup> June 2021	Threat	Accept	 Medium 28 Apr, 2021	 Low 28 Apr, 2021	

#### 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; community cohesion post currently vacant; recruitment process under-way
8. Full participation in regional CONTEST Board
9. Partnership plans mobilised to support job reductions in Tata Steel which included community relations aspects
10. Specific orientation support for families settled under the former Syrian Vulnerable Persons Scheme ended 1<sup>st</sup> Nov 2021
11. BME Development Worker funded to develop stronger links with local BME communities
12. LA has agreed to settle five families under the Afghan resettlement scheme for locally engaged staff, partnership and support arrangements mobilised
13. There have been increased demands in many service areas, directly attributed to the Covid-19 pandemic, lockdown & subsequent changing restrictions.
14. Some issues in our town centres & communities have increased & become more visible, including anti-social behaviour and the community tensions that arise as a result of that behaviour
15. Weekly tension monitoring meetings with partners and circulation of weekly Community Tensions Assessment to various internal departments

Treatments	Responsible Person	Progress %	End Date	Comments
Carry out programme of equality audits to check approaches are embedded across the Council	Rhian Headon	15	31 Mar, 2021	This work has been identified as an improvement action following the development of the 2020/2021 Annual Governance Statement. Scope of work being established.
Community profile findings to inform the review of the SEP in 19/20	Rhian Headon	100	31 Mar, 2020	
Conclude community profiling exercise and then reassess equality plans in light of the findings	Rhian Headon	100	31 Mar, 2019	
Develop strong counter-narrative to challenge extremist views and to mitigate the impact of events outside the county borough	Elinor Wellington	100	31 May 2021	<p>The local South Wales Police Community Tension indicator bulletins were reviewed and updated in 2019 and continue widely circulated to partners on a weekly basis. The number of partners in receipt of this information via the Community Safety Team has significantly increased in recent months.</p> <p>The Community Cohesion Coordinator of Community Safety attends a weekly tension monitoring meeting with South Wales Police and other partners.</p> <p>The Western Bay CONTEST Board is held bimonthly and is chaired by the NPT Assistant Director of Education. The Board continues to; monitor the events outside of the County Borough; ensures the local authority are compliant with all relevant Counter Terrorism legislation and guidance, has oversight of the local Channel Panel and associated case studies.</p> <p>The Prevent Policy Officer works within the Community Safety and coordinates the local Channel Panel, supporting the Chair (PO for Safeguarding) in the smooth running of these meetings, ensuring those vulnerable to being drawn into terrorism are assessed and discussed with appropriate risk management action plans in place.</p>
DNAG now disbanded as a group - need to	Rhian Headon	50	31 Mar, 2022	Contact with other individual organisations is being explored to enable effective engagement with disability groups.

consider alternative approach in engaging disabled people				
Improve tension monitoring and share more widely with relevant groups	Elinor Wellington	100	31 May 2021	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	31 Mar, 2019	Faith groups now represented on the Equality and Community Cohesion Group
Increased monitoring and engagement to gauge the impact of BREXIT on community cohesion	Karen Jones	60	31 Mar, 2021	Information re right wing activity circulated. Additional resource from Welsh Government to be invested in community engagement



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	Karen Jones	Resource	1st November 2021	Threat	Treat	 Medium 22 Aug, 2018	 Medium 22 Aug, 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

Treatments	Responsible Person	Progress %	End Date	Comments
<ul style="list-style-type: none"> <li>• 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</li> <li>• Test corporate disaster recovery and business continuity plans against service plans and a range of scenarios</li> </ul>	Sheenagh Rees	10	31 Mar, 2022	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 up to date BCPs are provided to the EPT by 31st March 2019.
The Covid-19 pandemic has resulted in exceptional levels of demand for some services and the ongoing transmission of the disease, coupled with a more competitive labour market is creating workforce shortages. A Service Resilience Framework has been created to mitigate this risk	Karen Jones	30	1 <sup>st</sup> May 2022	A draft report has been prepared seeking Member support to earmark budget in the 2021/22 financial year within the existing cash limit to protect staff health, safety and wellbeing, to continue to support the NHS and to increase service resilience





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	Karen Jones	Reputational	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 22 Aug, 2018	 Medium 22 Aug, 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

Treatments	Responsible Person	Progress %	End Date	Comments
All collaborative arrangements to be reviewed through scrutiny process	Karen Jones	0	31 Mar, 2020	
Area plan for the western bay collaboration on health and social care to be considered at Council	Andrew Jarrett	100	31 Mar, 2018	
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	Karen Jones	100	30 Sep, 2018	Joint Working Agreement for City Deal concluded
Joint scrutiny committee for City Deal in place	Karen Jones	100	30 Nov, 2018	
Legislative proposals for further mandatory regional collaboration to be subject of full assessment and report to Council	Karen Jones	75	Jan 2022	Local Government Bill published December 2019. Report to Council considered on its impact Good progress made in establishing the Corporate Bay Joint Committee for Swansea Bay. Report to authorise the constitution of the CJC due to be considered at

				Cabinet and Council Dec 2021/Jan 2022.
Review Council's ongoing participation in ERW arrangements	Andrew Thomas	70	March 2022	. Basis for engaging with school improvement services in the region to be reviewed and updated report presented to Members for consideration.

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.	Chris Owen	Financial	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 22 Aug, 2018	 Medium 28 Apr, 2021	
<p><b>Existing Controls</b></p> <p>1.Targeted training; provision of encryption technology; provision of secure emails            2.Increased preventative measures in relation to Cyber threats</p>									
Treatments		Responsible Person	Progress %	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.		Chris Owen	30	31 Mar, 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	75	31 Mar, 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	Sheenagh Rees	Compliance	30 <sup>th</sup> June 2021	Weakness	Treat	 Medium 22 Aug, 2018	 Low 28 Apr, 2021	

### 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

Treatments	Responsible Person	Progress %	End Date	Comments
Consulting on Welsh language Promotion Strategy to ensure relevance and deliverability	Caryn Furlow-Harris	100	01 Jul, 2018	
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-Harris	30	31 Mar, 2022	Contact has been made with WLGA to raise the ability to share knowledge regionally/nationally.
Potential to find a solution to automate translation being explored in consultation with Welsh Language Commissioner	Caryn Furlow-Harris	50	31 Mar,2022	MS Translate was rolled out to the social media account administrators before lockdown and reinstalled on laptops due to changes in ways of working. Limited progress to date on machine learning software. Contact made with a number of organisations (including Welsh Government, Swansea University and the Welsh Language Commissioner)

Testing the process for appealing the Commissioner's ruling on an individual complaint (e.g. car parking machines)	Caryn Furlow-Harris	100	31 Oct, 2018	
Welsh Language Officer Group to monitor delivery of the action plan to implement the Welsh Language Promotional Strategy.	Rhian Headon	100	31 Mar, 2020	



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	Chris Millis	Reputational	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 31 Aug, 2018	 Medium 28 Apr, 2021	

### Existing Controls

#### 1. Working with partners to mitigate the risk

Treatments	Responsible Person	Progress %	End Date	Comments
Briefings of Members and key Officers completed	Karen Jones	100	30 Nov, 2018	
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	31 Mar 2022	APB has clear accountability and reports progress to PSB. APB has agreed a direction of travel in respect of a whole system transformation of services, and a consultant is being appointed to commence the work. Service developments continue to take place, including harm reduction work, strengthened service monitoring arrangements, and review of fatal/non-fatal overdoses group established - action plan produced . CIG established but now stood down as above, this is complete.
Critical Incident Group established to deal with issues highlighted in the special event held on 10.09.18	Karen Jones	100	30 Sep, 2018	Group established - action plan produced
Governance of Area Planning Board revised. Proposals to be taken to Critical Incident Group and then to Area Planning	Claire Jones	100	31 Mar 2022	The APB governance framework was agreed at the APB but it has not received formal ratification and adoption by partners (i.e. through their own governance structures);

Board for approval			this is to be pursued. The membership and representation of the group can change so this document is fluid in this regard. Clear links made to the Community Safety partnership.

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)	Chris Owen	Financial	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 30 Jan, 2019	 Medium 28 Apr, 2021	

### 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



Treatments	Responsible Person	Progress %	End Date	Comments
Achieve Cyber Essentials accreditation as defined in the Concordat	Chris Owen	100	31 Mar, 2019	Cyber Essentials has been attained. Ongoing activities to maintain accreditation
Aim to achieve Cyber Essentials+ IASME accreditation	Chris Owen	80	31 Mar, 2022	Currently working towards Public Sector Network (PSN) re-accreditation which is a higher standard than CE+. PSN only has a limited lifespan so will revert back to CE+ as the minimum.
Ensure that cyber incident processes are in place and staff are aware of the content	Chris Owen	90	31 Mar, 2022	New Cyber processes are in place. Calls are tagged as Cyber on the service desk, CIRT and Strategy and Cyber Playbooks have been completed. Further communication and desktop exercises are being scheduled.
Register with CiSP (the NCSC's Cyber Security Information Sharing Partnership) to share cyber threat intelligence	Chris Owen	100	31 Mar, 2019	



Review need for access to externally facing scanning tool to test vulnerability of corporate application deployments	Chris Owen	60	31 Mar, 2022	We are utilising the NSCS toolkit Active Cyber Defence (ACD) toolkit that provides Mail Check and Web Check services FOC. We perform internal vulnerability scans using the on-premise Nessus system. Ongoing
Review Password criteria to ensure that staff passwords are adequate	Chris Owen	100	31 Mar, 2020	Review has been completed, our AD standard is currently Min Len 8, complex=3 (of 4)

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR20	COVID-19 Coronavirus Pandemic. The outbreak of the Covid-19 pandemic in 2020 possesses a significant risk to the Council. All Risk Management in relation to the pandemic has been carried out through the Local Resilience Forum (LRF) and appropriate command structures.	Karen Jones	Resource	30 <sup>th</sup> June 2021	Threat	Accept	 High 07 Sep, 2020	 Medium 28 Apr, 2021	

**Existing Controls**  
 1.All associated risks managed through LRF and Emergency Planning / Incident Management Team arrangements.

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR21	BREXIT – Following withdrawal from Europe, delivery of services/capital projects is negatively affected in terms of the availability of materials and their increased costs.	Nicola Pearce	Financial	30 <sup>th</sup> June 2021	Threat	Treat	 Medium 28 Jun, 2021	 Medium 28 Jun, 2021	

**Existing Controls**

1. Start logging all material prices and associated delivery times to establish extent of increases and associated delays and reconcile against identified budgets. If budget gap materialises, highlight to CDG and escalate the pressure to WG.

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	
SR22	Risk that recovery activities are ineffective leading to long term scarring of local communities	Karen Jones	Resource	30 <sup>th</sup> June 2021	Threat	Treat	 High 24 May 2021	 Medium 24 May, 2021	

#### Existing Controls

1. Corporate Directors Group meets to action short term recovery actions in line with the easing of Government restrictions
2. Attendance of chief officers at national forums to engage in wider debate about the options for recovery
3. Project plan established to ensure a comprehensive approach is taken to recovery, based on an adaptive approach
4. Resources identified to support the delivery of the work to create the recovery plan

Risk Action	Responsible Person	Progress %	End Date	Comments
Agree the broad strategy for recovery – Recover, Reset, Renew	Karen Jones	100	Sept 2021	Research and engagement completed and overall framework agreed professionally and politically. Framework tested with external peer reviewers
Ensure comprehensive engagement of all internal and external stakeholders	Karen Jones	75	Mar 2022	Plan devised. Collateral developed. Informal engagement completed (end of Sept). Next phase of formal engagement will start 5 <sup>th</sup> January 2022 for 4 weeks. Let's Talk campaign has been delivered.
Establish what the Council needs to prioritise, what the Council needs to do through partnership working, what the Council needs to influence	Karen Jones	60	Mar 2022	Strategic Assessment completed. Reset Renew Workshops on 4 draft well-being objectives completed. External Peer Review completed. Work ongoing to develop high level priority areas of focus under each draft wellbeing objective. Draft Recovery Plan to be subject to formal consultation Dec 2021-Feb 2022
Establish a framework for service recovery planning	Karen Jones	75	December 2021	Service Recovery Plan template and guidance developed and piloted. Implementation date being reviewed as part of the development of the Corporate

				Recovery Plan timetable
Realign capital and revenue resources to reflect agreed priorities	Huw Jones	5	November 2021 March 2022 June 2022	2021/22 budget to be reviewed to support immediate priorities 2022/23 budget to align with the Recover, Reset Renew programme MTFP to be developed for 2023/3-2026/7 period
Ensure an agile response to short term recovery actions that are needed	Karen Jones	80	Dec 2021	Service Resilience Plan drafted to support continuity of services and immediate recovery actions.

