

Appendix 4

Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
					Level 1	Level 2			Level 3					
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<p><b>Risk ID</b> 153</p> <p><b>Risk Title</b> Safeguarding</p> <p><b>Risk Level</b> Corporate</p>	<p>If our safeguarding arrangements are not sufficiently robust (particularly with regards being able to fund, recruit and retain sufficient qualified social workers; ensure placement sufficiency for looked after children and be able to provide or commission sufficient social care for adults with assessed care and support needs), then we will not be doing everything we possibly can to prevent the death, injury or neglect of a child or vulnerable adult and consequential reputational damage.</p>	High	High	Red	David Howes / Angela Morgan	<p>&gt;Work with the Health Board to review the current level of partner financial contributions to the funding of integrated intermediate care services (inc maximising regional and national income opportunities) to ensure an effective service offer that reduces or delays recourse to long term managed care (within the Council's overall available financial resources)</p> <p>&gt;Monitor the effectiveness of safeguarding arrangements bi-monthly at the childrens and adults performance scrutiny panels, the corporate safeguarding board and the regional safeguarding board, quarterly at CMT and monthly at PFM and take appropriate remedial action</p> <p>&gt;Invest in the Council's direct care provision services to maximise capacity and reduce reliance on independently commissioned care services for adults (within the Council's</p>	<p>&gt;Directors annual report to Council</p> <p>&gt;Fortnightly meetings with Cabinet Members</p>	<p>&gt;Two dedicated Scrutiny Panels in place to scrutinise Social Services Work and Performance</p> <p>&gt;Safeguarding and tackling poverty corporate development committee</p> <p>&gt;Bi monthly performance reporting to CMT</p> <p>&gt;Monthly p&amp;fm</p>	<p>&gt; Corporate transformation board oversight</p> <p>&gt;Corporate Safeguarding Board</p> <p>&gt;Local authority designated officers for safeguarding within Social Services.</p> <p>&gt;Mandatory Corporate Safeguarding Training in place for Staff and Members.</p> <p>&gt;Corporate Priority plan</p> <p>&gt;Corporate Safeguarding Policy</p>	<p>&gt; Internal Audit of Safeguarding</p> <p>&gt;Internal audit of DBS</p>	<p>&gt;Regional safeguarding board</p> <p>&gt; CIW inspection regime</p> <p>&gt;Regional partnership board</p>	<p>&gt;Audit Wales</p>	<p>&gt;Currently included as part of standard rolling audit schedule, repeated based on audit risk score.</p>	<p>&gt;Safeguarding cross cutting audit</p>	Cross Cutting – Council Governance and Control – Safeguarding People from Harm
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<p><b>Risk ID</b> 159</p> <p><b>Risk Title</b> Financial Control - Budgetary Control, Annual Budget and MTFP Delivery</p> <p><b>Risk Level</b> Corporate</p>	<p>If we fail to deliver the Council's MTFP, budget and maintain sufficient in year budgetary financial control, and in particular do not ensure we contain service overspending, especially now inflation is embedded at levels far above the expectation of around 2%, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and pay and price pressures, potentially reopened equal pay risks across local government, and changing public expectations in both</p>	Very High	Very High	Red	Ben Smith / Jeff Dong	<p>&gt;As part of the quarterly Revenue and Capital Budget Monitoring Reports to Cabinet, continue to monitor and report on slippage in Capital schemes and the effects on Capital schemes of price inflation affecting supplies and materials, including mitigating actions such as agreeing cost increases through FPR7 procedures</p> <p>&gt;Identify uncontainable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet.</p> <p>&gt;Compliance within Financial Procedure rules so that spend remains within budget, including permitted Virements</p> <p>&gt;Services to ensure that inflation pressures are managed and contained within cash limits agreed at the time the budget and MFTP are set.</p> <p>&gt;Extant spending restrictions published to all staff and reviewed and many</p>	<p>&gt;Quarterly monitoring reports to Council and Cabinet</p> <p>&gt;Collaborative Officer/ Member budget setting process in place.</p> <p>&gt;Overspend and under delivery of savings openly and transparently escalated and reported to Cabinet and Council by S151 Officer.</p>	<p>&gt;Dedicated Scrutiny Service Improvement and Finance Performance Panel consider and scrutinise the budget on a quarterly basis.</p> <p>&gt; Corporate Services &amp; Financial Resilience Service Transformation Committee established with remit to develop and link all transformation co productions and medium term planning work together</p>	<p>&gt;Quarterly monitoring reports to Audit Committee</p> <p>&gt;Monthly PFM monitoring in place.</p> <p>Transform &amp; Future Council PDC.</p> <p>&gt; Many controls continue to be exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums.</p> <p>&gt;Budget holders required to monitor and report any budget variances to monthly P&amp;FM for review.</p> <p>&gt;Reshaping Board launched to challenge delivery/ non-delivery and accelerate timescales.</p>	<p>&gt;Audit Committee provide challenge, oversight and assurance</p> <p>&gt;Periodic budget monitoring reports go to Audit Committee included in the 2022/23 workplan for Audit Committee</p>	<p>&gt;WAO review currently underway in relation to the MTFP aspects of Sustain. Swansea.</p> <p>&gt;AW recently published financial resilience national report and showed clearly Swansea position had strengthened considerably boosted by the £17m addition to reserves in 19-20 outturn.</p> <p>&gt;Risks in current year managed temporarily by drawing down from those increased reserves.</p> <p>&gt; AW about to update financial resilience scores in January</p>	<p>&gt;Saving and other budget mgt to be included as part of the Transformation Plans</p> <p>&gt;Fundamental audits included in the plan</p>	Service Specific / Fundamental Audits - Section 151 Officer Assurance
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	current and future years.				controls continue to be directly exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums >Agreed and well established quarterly reporting plan in place to document and record at Cabinet all actions or non actions in services to contain spending >PFM (Performance and Financial Management/Monitoring) process monthly is well established and understood by all officers with appropriate escalation mechanism to S151 Officer, Chief Executive and Cabinet if non compliance >Agree modest virements in conjunction with the S151 Officer and report more sizeable issues for decision through Cabinet on S151 Officer advice around releases from central inflation provision (£4m) and contingency (£3.5m) in year						2024 for 22-23 accounts data and will doing refreshed inspection work on financial resilience locally in 2024		
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<p><b>Risk ID</b> 222</p> <p><b>Risk Title</b> Digital, data and digital security</p> <p><b>Risk Level</b> Corporate</p>	<p>If the council does not have robust cyber, data and digital security measures and behaviours in place, embedded and working as best as they can be then it will not be protected from cyber threats, disruption to service delivery, possible loss of information including confidential information and associated fines and reputational damage.</p>	Very High	Medium	Red	<p>Sarah Lackenby / Jo Harley</p>	<ul style="list-style-type: none"> <li>&gt;Communication to users to keep up awareness</li> <li>&gt;Constant monitoring and surveillance of cyber risks by Security Office using system and tools in place. Situation reported monthly to Digital Services Board and Information Governance Board chaired by SIRO</li> <li>&gt;DR test training completed for Digital Services team.</li> <li>&gt;Simulated test of a cyber attack. Training to be provided to HoS and CMT</li> <li>&gt;Simulated cyber-attacks on staff carried out periodically to measure their actions, identify weaknesses and improve knowledge</li> <li>&gt;Cyber security guidance and cyber scams staffnet page</li> <li>&gt;Cyber security strategy in place</li> <li>&gt;Digital services continually working with internal audit and emergency planning to further improve the ICT disaster recovery plan</li> <li>&gt;LRF Cyber exercise</li> <li>&gt;SIRO training</li> </ul>			<ul style="list-style-type: none"> <li>&gt;Member of the Cyber Security Information Sharing Partnership which is a joint industry and government initiative to exchange cyber threat information</li> <li>&gt;Part of Wales Warning Advice and Reporting Point to share cyber threats and defences with other public bodies</li> <li>&gt;New regional multi-agency cyber cell meetings being attended to share intelligence and actions</li> <li>&gt;PSN Certification Achieved</li> <li>&gt;Cyber essential accreditation achieved</li> <li>&gt;Member of Wales WARP &amp; CISP sharing knowledge of threats.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Various IT / System audits in Audit Plan.</li> <li>&gt;GDPR audits.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Public Services Network (PSN) compliance certificate – tested annually.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;WAO review undertake an IT audit each year as part of reviewing financial accounts</li> <li>&gt;WAO undertook an all Wales review last year and the findings were shared in closed sessions with G&amp;AC and Cabinet / CMT</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Range of IT audits in the plan to be completed as part of the rolling audit schedule.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;IT audits included in the 2024/25 plan as per the rolling programme and additional ICT reviews as a result of the annual consultation exercise and review of risk registers.</li> </ul>	Service Specific – Digital & Customer Services and IT Audits – Transformation and Future Council
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					<ul style="list-style-type: none"> <li>&gt;Comms. Issued to staff and members detailing impact of cyber attack at other councils.</li> <li>&gt;Software purchased to protect against malware attacks</li> <li>&gt;More use of secure cloud storage.</li> </ul>			<ul style="list-style-type: none"> <li>&gt;Discussed at IG Board – standing agenda item</li> </ul>						
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<b>Risk ID</b> 235	If we do not have sufficient emergency planning, resilience and business continuity arrangements in place, then we will not be able to respond effectively in an emergency, provide the necessary civic leadership or continue to run vital services and ensure compliance with the legal requirements of the Civic Contingencies Act 2004 as a Category 1 Responder, which may lead to reputational damage, a loss of political and community confidence, increased potential for loss of life, prolonged	Medium	Medium	<b>Amber</b>	<b>Ness Young / Craig Gimblett</b>	As a Category 1 responder under the Civil Contingencies Act, Swansea Council has a legal requirement to plan for and respond to emergencies, to do this the following will be maintained and monitored by the CHSEMWS manager, with any gap or area of concern escalated to the CX. >The authorities Major Incident Plan will be reviewed annually, and tested on a 3 yearly basis unless activated, after which a review of the response will be provided to CMT, including any areas for improvement or additional resources needed to ensure we meet all legal obligations and can effectively respond to an emergency. >An annual delivery plan which clearly identifies priorities to address any gaps, or coming statutory needs, will be developed and delivered by the Emergency Management Service,	>EMS Manager briefs leader/cabinet as required. >CMT receives regular updates on key planning and agreement as required from EMS manager. >EMS manager meets monthly with the portfolio holder for political oversight and visibility. EMS Manager represents Swansea Council at Strategic level within SWLRF and Pan Wales Forums.	>EMS have been called to several Scrutiny panels, with none currently in the calendar.	>Multi agency exercising and training >Internal development/ training of new officers including newly created assistants post. >Joint work programs and information sharing with Welsh Civil Contingencies managers and South Wales Resilience Team. >Service Manager part of the National and Regional PSPG group and CONTEST Group with local PSPG arrangements in-place. >EMS is embedded within the SWLRF at Executive, Strategic and Tactical levels BC plans in-place with each HoS.	>EMS were audited in Nov 22 with an outcome of High assurance rating.	>EMS have been part of the consultation group for Welsh Governments Civil Contingencies review this will lead to independent external audit of Civil Contingencies when final structures are established in 2023. > The Protect Act, which places responsibility for CT planning based on organisational risk, as part of this a new Regulator will be appointed to enforce compliance/breaches and audit	>Independent external Audits will be conducted through Welsh Government and the new regulator appointed to enforce the Protect Duty in 2023/24 to establish maturity and mitigation.	>Standard audits in the plan cover this area on rolling basis.	>Audits in the plan to be completed in as part of the rolling programme include disaster recovery & Business Continuity, Emergency Planning & Business Continuity	Service Specific Audits – Communications / ICT / Council wide assurance
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	recovery following a major/business continuity incident which will deny service to the public and increase operating costs.				to ensure compliance and maintenance of our ability to effectively respond and protect the organisation and communities . >Maintain and review on an annual basis all subordinate plans, including Mass Fatalities, Flood, Offsite COMAH Plan, Rest Centre Plan. with exercising as appropriate >Deliver a duty officer rota to effectively respond to emergencies available 24 hours per day, 365 days per year, this will be shared with all key external and internal partners including CMT to ensure a timely response can be achieved. >Annually review all identified risks, with relevant partner agencies that are present within the borders of Swansea Council to ensure control measures remain relevant and proportionate. >Ensure that all HoS review their business			>Plans and Action cards reviewed annually and EMS audited in 2022. >Collaborative working with SWP on call out protocols in-place and reviewed. >ACT App and free training promoted across Authority. Local Partner CT comms strategy and alerts system established.		arrangements.			
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<b>Risk ID</b> 236	If the Authority does not have a robust framework of Health & Safety Policies and procedures that are reviewed regularly, or in the event of significant change, it may lead to legal non-compliance, the realisation of adverse events including reputational damage, injury, financial loss and litigation by regulators.	High	Low	<b>Amber</b>	<b>Ness Young / Craig Gimblett</b>	To ensure the Authority meets it's legal responsibilities the following will be implemented and monitored. >Review the statutory Corporate H&S Policy and arrangements under full consultation with the organisation and TU's on a 3 yearly cycle, or when there is significant statute change or on the appointment of a new CX or Leader. Communicate changes to the Corporate H&S Policy to the organisation via H&S Alert and published on Staffnet. >HR to provide a copy of the Corporate H&S Policy to all new starters prior to commencement of employment, and be covered during induction, and completion of Mandatory H&S training to meet legal compliance, clarify roles and responsibilities and avoid accidents, ill health, reputational damage and the potential for legal/financial penalties.	>H&S Manager provides regular updates, reports, presentations, and statistics. to CMT. >H&S Manager meets monthly with portfolio holder to provide briefing and political oversight and awareness. >Accident Statistics and investigations finding provided to all H&S Committees' and sub groups.	>H&S Manager has provided updates to numerous scrutiny panels, none currently in diary. >Service has been fully audited internally in 2019.	>Member of British Association of Counsellors and Psychotherapists (Bacp). >Directors H&S Committees & Sub Safety Groups >Increased accessibility to H&S training via teams and online. >Policy development and review plan in-place under full consultation. >Officer representation at trade union meetings. >Additional resources placed in Occupational Health (31/03/230 & Stress Management and Counselling, with extension of Psychological Support project until 31/03/23	>H&S Audit Plan	> H&S Manager represents Swansea on a Pan Wales/regional basis as part of the Managers forum to share best practise and coproduce where appropriate.	>Standard audits in the plan already cover this area.	>Health, Safety & Wellbeing audit on the rolling programme	Service Specific Audits – Communications / ICT / Council wide assurance
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					<p>&gt;Each Director or their delegated HoS to ensure a minimum of a Bi-annual H&amp;S Committee, which will receive all minutes of lower level H&amp;S Groups, statistics and information from the CHSEMWS, including any regulatory activity from the HSE/M&amp;WWFRS and agree actions to resolve any unaddressed risks, with an agreed timeframe for completion.</p> <p>&gt;Review all H&amp;S policies and guidance under full consultation every 3 years, in the case of significant change through legislation or if an adverse incident identifies the need for review. Monitor and report as part of the Corporate HSW action plan, which will be updated on-line quarterly, with reports on progress submitted to each Directors H&amp;S committee with a formal update on an annual basis to CMT.</p> <p>&gt;Publish a Health, Safety &amp; Wellbeing Action plan on a rolling</p>			<p>&gt; New CORITY OH management software management package due for implementation March 2023.</p> <p>&gt; SEQOHS accreditation submission and assessment due March 2023.</p> <p>&gt; Application for evaluation for Welsh Government Gold Corporate Health Standard October 2023.</p>					
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<p><b>Risk ID</b> 269</p> <p><b>Risk Title</b> Delivering the Regeneration Programme</p> <p><b>Risk Level</b> Corporate</p>	<p>If the local economy and infrastructure is not transformed and supported to be resilient to economic challenges and changes to government policy on climate change, including flood risk and associated regulatory restrictions, and does not take advantage of opportunities to attract new development and investment, then it will not fulfil its potential as a regional centre to raise aspirations, improve services, lift skills, improve connectivity, create well-paid employment opportunities and improve</p>	Medium	Medium	Amber	Mark Wade / Phillip Holmes	<p>&gt;Work with partners to deliver the Swansea Bay City Deal to attract investment across the region to deliver highly skilled and well-paid jobs, with outcomes and programme achieved in line with the City Deal Funding Agreement.</p> <p>&gt;Continue dialogue with Welsh Government on viability funding to support Urban Splash investment</p> <p>&gt;Preparations required to ensure completion of Copr Bay project following contractor entering administration</p> <p>&gt;Urban Splash now appointed as long-term investment partner to deliver future phases of investment and to capitalise on the progress made via city deal projects. Initial design phases underway.</p>	<p>&gt; Cabinet considered economic recovery plan</p> <p>&gt;Cabinet considered FPR7 where appropriate</p> <p>&gt;Quarterly PI reporting via DART.</p>	<p>&gt; Regular scrutiny undertaken on post Covid economic recovery and specifically on phase 1 arena/digital district project</p> <p>&gt;Regeneration Dashboard regularly reported to Scrutiny</p>	<p>&gt; Regional directors and regional transport forum improved regional and joint working as a precursor to the formation of the CJC</p> <p>&gt; Deliver Covid Economic Recovery Plan in collaboration with Regeneration Swansea partners.</p>	<p>&gt;Collaborate With Welsh Government On Regional Economic Framework</p> <p>&gt;Gateway Review for City Deal projects undertaken by independent panel</p> <p>&gt;Independent evaluation undertaken of Kingsway project.</p> <p>&gt;City Deal Regional Scrutiny Panel overview of progress on Swansea Waterfront City project</p> <p>&gt;Reporting of programme outputs to funding bodies, WG,</p>	<p>&gt;Independent external Audits will be conducted through Welsh Government's Transforming Towns funding, and UK Government's SPF programme as per their grant funding audit requirements</p>	<p>&gt;Number of Regen and Planning audits included on the audit plan to be completed on a rolling basis.</p>	<p>&gt; Regen and Planning audits included on the 24/25 audit plan</p>	Service Specific Audits – Planning & City Regeneration / Transformation & Infrastructure
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	the well-being of Swansea citizens.									WEFO HLF etc.				

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<b>Risk ID</b> 290	If there is increased demand on Council services due to an increased number of residents experiencing the impact of poverty due to the pandemic and cost of living pressures. Then the impact includes increased debt, reduction in household income and negative impact on health and well-being.	Medium	Medium	Amber	Amy Hawkins / Diane Rowden	<p>&gt;Provide targeted advice on financial inclusion to people who are struggling with accessing the support to manage their debts, to address their needs in a timely, effective manner.</p> <p>&gt;Provide weekly access to Welfare Rights Advice helpline for frontline social care staff to improve their knowledge on benefit entitlements and directly apply this to the people they support in order to increase take-up of benefits.</p> <p>&gt;Support people to gain employment through referrals into mentoring and development of employability skills as part of an agreed personal development plan, to improve the number of people increasing their household income through employment.</p> <p>&gt;Directly support people through Local Area Co-ordination to access the support they require in a place and time that meets their needs, to address the impacts of poverty and</p>	>Cabinet Member briefings, Cabinet reports where applicable	>Part of annual scrutiny programme looking at the corporate priority of Tackling Poverty >Part of Adult Services Performance Scrutiny quarterly performance reports	>Reports to CMT on progress and actions required, >Reports to Audit Committee following WAO report on Tackling Poverty and associated action plan. >Included in the corporate Transformation Plan projects focused on Tackling Poverty and Enabling Communities, reports via Transformation Board >Internal cross directorate Poverty Forum	>Part of Poverty Partnership Forum, multi-agency forum.	>WAO reviews (x3) on the challenges of alleviating and tackling poverty.	>Standard rolling audit schedule, repeated based on audit risk score.	>Audits included in the 'Poverty' area of the audit plan as a result of consultation to be completed in rotation.	Service Specific Audits – Commissioning & Tackling Poverty Safeguarding & Poverty
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<b>Risk ID</b> 334  <b>Risk Title</b> Cost of Living Crisis  <b>Risk Level</b> Corporate	<p>If the cost of living crisis continues or gets worse, then it will lead to greater pressure on housing supply, increased housing costs, higher levels of homelessness and increased demand on housing, tenancy support, homelessness and other Council services.</p>	Very High	Very High	Red	Carol Morgan / Peter Williams	<p>&gt;increase supply of social housing via the More Homes Programme, Planning policy and indirectly through the allocation of social Housing Grant to Registered Social Landlords. &gt;Lobby Welsh Government to supply more financial resources to Local Authorities to tackle the cost of living crisis. &gt;Provide individuals with help and advice regarding homelessness issues, housing benefit and rent arrears</p>	<p>&gt;Homelessness and Housing Support Programme Strategy approved by Cabinet. Revised Allocation Policy will require Council approval.</p>	<p>&gt;Scrutiny Programme Committee examination of the development and implementation of Homelessness and Housing Support Programme Strategy. &gt; Service Improvement &amp; Finance Improvement Panel has regularly examined progress towards improving and increasing housing stock</p>	<p>Briefing to Cabinet and Chairs meeting on homelessness pressures  Report on More Homes delivery programme to Economy and Infrastructure Service Transformation Committee STC in Feb 2024.</p>	<p>&gt;Housing Options service and assessment features on internal Audit Programme. Recent audit completed in Jan 2024. Assurance level was high.</p>	<p>&gt;Homelessness services subject to scrutiny and challenge by 3<sup>rd</sup> Sector orgs e.g. Shelter. &gt;Welsh government data returns submitted quarterly &gt;Weekly monitoring meetings with WG homelessness relationship manager.</p>	Currently included in standard rolling audit schedule. Last audit completed Jan 2024.	TBC	TBC
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<b>Risk ID</b> 335	If the Council is not able to recruit and retain the right staff, then there may be reduced workforce capacity and capability, leading to lower staff morale and productivity, poor work quality, increased staff costs and reduced staff well-being / higher sickness rates.	Medium	Low	<b>Amber</b>	<b>Rachael Davies / Rachael Davies</b>	>Review the existing recruitment policy and assess weaknesses in application processes and selection processes for improvement by April 2023, to ensure the most appropriate application and selection techniques are being used to hire talent into the organisation. >Quarterly reporting provided to Directorates for PFM to highlight areas of concern and consider targeted approaches accordingly	>Cabinet Member briefings, Cabinet reports where applicable	>Regular reporting to Scrutiny Working Group - Regular reporting to Organisational Development CDC	>Quarterly reporting provided to Directorates for PFM to highlight areas of concern and consider targeted approaches accordingly. Quarterly reporting to Workforce Transformation Programme Board	>Internal audit of recruitment procedures			>Standard rolling audit schedule, repeated based on audit risk score.	>Audits included on rolling programme in HR & OD / Service Centre. Includes Recruitment and Staff Contracts	Service Specific Audits – HR & OD, Service Centre /
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Appendix 4

Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance							Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area
					Level 1	Level 2			Level 3					
					Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
						Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			

<b>Risk ID</b> 336	If the Council does not implement, monitor and ensure the completion of mandatory training, then the Council may not fulfil its statutory and regulatory obligations or ensure the safe and effective operation and delivery of services.	Low	Low	<b>Amber</b>	Ness Young / Rachael Davies	>Regular Quarterly and annual reports to CMT on compliance levels by Directorate.	>Cabinet Member briefings, Cabinet reports where applicable	>Scrutiny Panels in place to scrutinise Social Services Work and Performance, of which safeguarding training is included; Scrutiny Working Group – Workforce in place	>Mandatory Corporate Training available for all Staff and Members. Reports to CMT on progress and actions required	>Internal Audit of mandatory training compliance Governance and Audit Committee reporting	>HSE where applicable CIW/EWC where applicable	>Standard rolling audit schedule, repeated based on audit risk score.	>Safeguarding cross cutting audit is included in rolling programme >Corporate Learning & Development team audit due for 2024/25 following Fusion implementation linked to training records	Service Specific Audits – HR & OD, Service Centre /
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Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
					Level 1	Level 2			Level 3					
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						Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies				External Audit

<b>Risk ID</b> 337	If we do not manage to continue to improve community involvement and break down barriers amongst people in terms of economic disparities, encourage tolerance to avoid social discord and strengthen community development throughout all ages, then we could see increasing community tensions, disorder and civic unrest exacerbated by the cost of living crisis and perceived differences and people not feeling heard or listened to.	Medium	Low	<b>Amber</b>	<b>David Howes / Jane Whitmore</b>	>Engagement and involvement with minority communities to understand what matters and promote community cohesion and mitigate tensions, through the Partnership & Involvement Team. Project initiated and ongoing - update expected in new year >Whole Council training and capacity building to implement the Public Sector Equality Duty and the Human Rights Approach, through Strategic Equalities and Future Generations Board Update meeting planned Nov 23 >Ensure effective partnership working arrangements to develop supportive networks together through PSB and other key partnership arrangements transpiring out of the new newly developed Wellbeing Plan >Utilise opportunities through the Shared Prosperity fund to join up and embed community engagement and	>Cabinet Member briefings, Cabinet reports where applicable	>Scrutiny Panel in place to scrutinise Councils response to ASB, which a lack of social cohesion can lead to an increase >Part of annual scrutiny programme to review progress of Swansea's Community Safety Partnership	>Reports to CMT on progress and actions required		>Part of Safer Swansea Community Safety Partnership, which is multi-agency and reports into Public Service Board	>Standard rolling audit schedule, repeated based on audit risk score.	>Partnership cross cutting audit carried out in 21/22 audit schedule >Further audits to be added following consultation as required >Community Safety standard audit on the rolling programme	Cross Cutting Audits –Safeguarding / Council Governance & Control
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Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
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Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

<b>Risk ID</b> 338	If we do not transform the Council to meet the collective net zero commitments asked of public bodies by Welsh Government at sufficient pace and scale, then there is a possibility that the net zero target will not be met by 2030.	High	High	Red	Mark Wade / Rachel Lewis	<p>&gt;Implement the Councils 2030 Net Zero delivery plan, with specific focus on carbon reductions in the Buildings and Energy and Fleet &amp; Mobile Equipment categories. Measure success annually through WG emissions reporting figures.</p> <p>&gt;Develop a suite of actions to offset the emissions balance as unlikely to deliver zero emissions by 2030. Actions to be monitored and reported annually as part of overall WG reporting.</p> <p>&gt;Source external funding to deliver sizable reductions in emissions. Monitor funding received through annual reporting of delivery plan and respective emission reductions to be reported in annual welsh government submission.</p>	<p>&gt;Two Cabinet members on CC&amp;NR steering group, running bi monthly with key officers as part of the CC&amp;NR governance.</p> <p>&gt;CC&amp;NR CDC established – running monthly to support the development of action plan and respective policy in regard of the 2030 target.</p>	<p>&gt;CC&amp;NR scrutiny establish to challenge SC activity on the 2030 activity.</p>	<p>&gt;Programme Board and Emissions reporting groups established, the latter to collate the required data for annual reporting of data to Welsh Government.</p>	<p>&gt;CCS reports emissions data for review annually to Welsh Government.</p>	<p>&gt;WAO recently conducted interviews with staff and set out five proposals for improvements on this agenda across Wales. CCS has responded to all, being the first welsh authority to meet one specific ask and produce a costed delivery plan. (Dec 15<sup>th</sup> 2022 Cabinet Report)</p>	<p>&gt;Net Zero 2030 audit added for 2023/24 plan following Risk Register review and consultation</p>	Cross Cutting Audits/Miscellaneous – Council Governance & Control
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Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

<b>Risk ID</b> 371	If children do not receive a suitable education offer that provides them with the right employment skills and qualifications (including digital and vocational), then they will not be able to access the opportunities that arise from the City Deal and other development opportunities that come to Swansea.	Medium	Medium	Amber	Rhodri Jones / Rhodri Jones	<p>&gt;Develop and build upon collaborative partnerships between employers and schools as well as widening vocational and curriculum opportunities for learners across Swansea schools via delivery of the Swansea Skills Partnership key work stream action plans.</p> <p>&gt;Develop and deliver the Welsh Language Skills Strategy to ensure that schools are supported to develop learners skills, so they can speak Welsh with confidence when they leave school and access employment opportunities.</p> <p>&gt;Deliver against the Literacy, Numeracy and Digital strategies to ensure that learners can fully access the curriculum and the world of employment</p> <p>&gt;Assurance regarding the quality of the education offer via the following methods: - School Improvement Visits (between 1 and 3 visits per school per year) and areas for improvement</p>					<p>&gt;Assurance regarding the quality of the education offer via the following methods: - Estyn reports providing assurance around the educational offer in all our schools with support being put in place as and when required.</p>		<p>&gt;School and other Education / thematic audits due in 2024/25 and beyond</p>	Service Specific - Education – Improving Education and Skills
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Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								
					identified and supported									

Last Updated: 07/02/24