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			g	Overall RAG Status	Risk Owner / Updater		Oth	er <i>Internal</i> Assur	ance	Other I	ndependent A	Assurance	110000	Work	Audit Plan Area
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		ent	ent	ja Ja	ò		Cabinet			Audit	Bodies	Audit			Au
		Current Impact	Ē	Vel	isk										
		O	O	0	R										
Risk ID	If our					>Work with the Health	>Directors	>Two	> Corporate	> Internal	>Regional	>Audit	>Currently	>Safeguar	
153	safeguarding					Board to review the	annual report	dedicated	transformation	Audit of	safeguardi	Wales	included	ding cross	
Risk Title	arrangements					current level of partner financial contributions	to Council	Scrutiny	board	Safeguar-	ng board > CIW		as part of standard	cutting	
Safeguarding	are not sufficiently					to the funding of	>Fortnightly meetings with	Panels in place to	oversight >Corporate	ding >Internal	inspection		rolling	audit	
Saleguarding	robust					integrated	Cabinet	scrutinise	Safeguarding	audit of	regime		audit		
Risk Level	(particularly					intermediate care	Members	Social	Board	DBS	>Regional		schedule,		E
Corporate	with regards					services (inc		Services Work	>Local		partnershi		repeated		Cutting – Council Governance and Control – Safeguarding People from Harm
	being able to					maximising regional		and	authority		p board		based on		E
	fund, recruit					and national income		Performance	designated				audit risk		fro
	and retain					opportunities) to		>Safeguarding	officers for				score.		ple
	sufficient qualified					ensure an effective service offer that		and tackling poverty	safeguarding within Social						960
	social					reduces or delays		corporate	Services.						g
	workers;					recourse to long term		development	>Mandatory						din
	ensure					managed care (within		committee	Corporate						uar
	placement					the Council¿s		>Bi monthly	Safeguarding						eg
	sufficiency for					overall available		performance	Training in						Saf
	looked after					financial resources) >Monitor the		reporting to CMT	place for Staff and Members.						1
	children and be able to					effectiveness of		>Monthly	>Corporate						tro
	provide or					safeguarding		p&fm	Priority						lo
	commission					arrangements bi-		Pain	>Corporate						Οp
	sufficient					monthly at the			plan						an
	social care for					childrens and adults			>Corporate						ce
	adults with					performance			Safeguarding						nar
	assessed					scrutiny panels, the			Policy						/er
	care and support					corporate safeguarding board									30
	needs), then					and the regional									<u>ii</u>
	we will not be					safeguarding board,									ū
	doing				an	quarterly at CMT									ပိ
	everything we				or g	and monthly at PFM									1
	possibly can				ž	and take appropriate									ting
	to prevent the				ela	remedial action									Cut
	death, injury or neglect of a				Angela Morgan	>Invest in the Council's direct care									ss (
	child or					provision services to									Cross
	vulnerable				es	maximise capacity and									
	adult and				Š	reduce reliance on									
	consequential				Ĭ	independently									
	reputational	۲	ď,	ъ	David Howes /	commissioned care									
	damage.	High	High	Red	Da	services for adults (within the Council's									
						(within the Council's									

			Level and Source of Assurance										ndix 4	
								Internal	Planned					
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Business Risk		Current Likelihood	Overall RAG Status	Risk Owner / Updater		Othe	n <u>iiileiiiai</u> Assura	ince	Other <u>II</u>	<u>idependent</u> A	SSUIdille		WOIK	Audit Plan Area
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		ı			overall available					1				_
					financial									
					resources)									
					>Provide specific									
					advice to Welsh									
					Government as to how									
					they can safely									
					implement the									
					eliminate profit from									
					children services									
					policy commitment									
					(including supporting the growth of not for									
					profit looked after									
					children									
					care provision) to									
					avoid inadvertently									
					exacerbating the									
					current lack of									
					placement sufficiency									
					for looked after									
					children									
					>Implement new									
					models for the									
					commissioning local									
					independent domiciliary care									
					provision to build									
					capacity inc. by									
					supporting providers									
					to provide a fair and									
					competitive wage to									
					their staff (within the									
					Council's									
					overall available									
					financial resources)									
					>Invest in increasing									
					the number of Foster									
					Wales Swansea foster carers and the number									
					of in-house									
					residential care beds									
					for children (both									
					locally and regionally)									

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		1			Ludeilat da ana a sin n	I						T	1	_
					whilst decreasing									
					reliance on independently									
					commissioned foster									
					and residential care									
					placements (within the									
					Council's overall									
					available financial									
					resources)									
					>Implement effective									
					recruitment processes									
					both within the									
					Directorate and the									
					corporate centre									
					(including maintaining									
					a sufficient workforce									
					infrastructure) to									
					ensure that there are									
					no avoidable delays in									
					recruiting to essential									
					posts determined as									
					necessary to maintain									
					a safe and effective									
					social services									
					function (within the									
					Council's overall									
					available financial									
					resources)									
					>Implement a weekly									
					Directorate workforce									
					planning meeting to									
					consider and prioritise									
					all new recruitment									
					requests to ensure									
					that new recruitment is									
					focussed on the									
					maintenance of a safe									
					and effective service									
					and complies with									
					current spending									
					restrictions and									
					supports delivery of									
					the Council's MTFP									

					Level and Source of Assurance									ndix 4	
								Internal	Planned						
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	Business Risk		Current Likelihood	Overall RAG Status	Risk Owner / Updater		Othe	er <u>Internal</u> Assura	ince	Other <u>Ir</u>	<u>idependent</u> A	ssurance		Work	Audit Plan Area
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Γ						>Prioritise and target									
						resources at									
						maintaining care and									
						support for those									
						individuals in most									
						critical need or									
						at risk of suffering									
						harm as part of the									
						emergency planning									
						infrastructure and re-									
						prioritisation of the									
						Councils COVID-19									
						Recovery Plan									
						>Remodel the									
						workforce									
						infrastructure for social									
						services including									
						investment in capacity									
						of alternatively									
						qualified staff (both									
						frontline and back-									
						office staff) to take on									
						functions that can be									
						safely delivered by a									
						non-registrant									
						workforce (within the									
						Council's overall									
						financial resources)									
						>Recruit agency social									
						workers to cover									
						critical gaps in social									
						work capacity									
						>Prioritise maintaining									
						investment in and									
						maximising income for									
						the funding of									
						prevention and									
						wellbeing services that									
						reduce or delay									
						recourse to statutory									
						services and managed									
						care and support for									
L						children and									

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	Business Risk	1	Current Likelihood	Overall RAG Status	Risk Owner / Updater		Othe	i <u>iiiteiliai</u> Assult	ance	Other <u>n</u>	<u>luepelluelli.</u> A	ssurance		Work	Audit Plan Area
		Current Impact	eil	0	1 7	Management									Jai
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		0	O	0	22										
						adults who would									
						otherwise develop									
						care and support									
						needs (within the									
						Council's overall available financial									
						resources)									
						>Implement a `grow									
						your own' strategy to									
						support an increase in									
						the number of internal									
						staff to pursue the									
						social work									
						qualification									
						>Prioritise a sufficient									
						budget allocation (within the Council's									
						overall available									
						financial resources) to									
						maintain the Council									
						meeting at least the									
						minimum level of									
						statutory service									
						across children's and adults services									
						>Implement a social									
						work academy in									
						children services to									
						support newly									
						qualified staff to gain									
						the skills and									
						experience to become									
						competent child									
						protection practitioners >Work with NPT									
						Council and the									
						Swansea Bay Health									
						Board to implement a									
						recruitment strategy									
						for overseas staff to fill									
						critical workforce									
						shortages across health and social care									
						nealth and Social cale									
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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID	If we fail to		1		1	>As part of the	>Quarterly	>Dedicated	>Quarterly	>Audit		>WAO		>Saving	
Risk Title Financial Control - Budgetary Control, Annual Budget and MTFP Delivery  Risk Level Corporate	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	Very High	Very High	Red	Ben Smith / Jeff Dong	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 >Identify uncontainable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet. >Compliance within Financial Procedure rules so that spend remains within budget, including permitted Virements >Services to ensure that inflation pressures are managed and contained within cash limits agreed at the time the budget and MFTP are set. >Extant spending restrictions published to all staff and reviewed and many	monitoring reports to Council and Cabinet >Collaborative Officer/ Member budget setting process in place. >Overspend and under delivery of savings openly and transparently escalated and reported to Cabinet and Council by S151 Officer.	Scrutiny Service Improvement and Finance Performance Panel consider and scrutinise the budget on a quarterly basis. > Corporate Services & Financial Resilience Service Transformatio n Committee established with remit to develop and link all transformation co productions and medium term planning work together	monitoring reports to Audit Committee >Monthly PFM monitoring in place. Transform & Future Council PDC. > Many controls continue to be exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums. >Budget holders required to monitor and report any budget variances to monthly P&FM for review. >Reshaping Board launched to challenge delivery/ non-delivery and accelerate timescales.	Committee provide challenge, oversight and assurance > Periodic budget monitoring reports go to Audit Committee > Budget reports included in the 2022/23 workplan for Audit Committee		review currently underway in relation to the MTFP aspects of Sustain. Swansea. >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. >Risks in current year managed temporarily by drawing down from those increased reserves. > AW about to update financial resilience scores in January		and other budget mgt to be included as part of the Transform ation Plans >Fundame ntal audits included in the plan	Service Specific / Fundamental Audits - Section 151 Officer Assurance

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current and					controls continue to be					I	2024 for 22-	I		Π_
future years.					directly						23 accounts			
ididic years.					exercised by CMT in						data and			
					relation to filling						will doing			
					vacant posts,						refreshed			
					restructures, regrades						inspection			
					and committing						work on			
					contract sums						financial			
					>Agreed and well						resilience			
					established quarterly						locally in			
					reporting plan in place						2024			
					to document and									
					record at Cabinet all									
					actions									
					or non actions in									
					services to contain									
					spending >PFM (Performance									
					and Financial									
					Management/Monitori									
					ng) 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									
				L	year									

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	) j	Jn C	Š	Risk										
					>The S151 Officer to									
					issue forthright and									
					formal advice on the									
					adequacy of budgets									
					as part of budget									
					setting,									
					including the central									
					inflation provision and									
					contingency over the									
					medium term taking into account all known									
					pressures including									
					prices.									
					>Further development									
					work to progress on									
					transformation agenda									
					over medium term									
					through Achieving									
					Better Together									
					reshaping programme.									

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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID	If the council					>Communication to			>Member of	>Various	>Public	>WAO	>Range of	>IT audits	
Risk Title Digital, data and digital security  Risk Level Corporate	does not have robust cyber, data and digital security measures and systems and behaviours in place, embedded and working as best as they can be then it will not be protected from cyber threats, disruption to service delivery, possible loss of information including confidential information and associated fines and reputational damage.	Very High	Medium	Red	Sarah Lackenby / Jo Harley	users to keep up awareness  >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  >DR test training completed for Digital Services team.  >Simulated test of a cyber attack. Training to be provided to HoS and CMT  >Simulated cyberattacks on staff carried out periodically to measure their actions, identify weaknesses and improve knowledge  >Cyber security guidance and cyber scams staffnet page >Cyber security strategy in place >Digital services continually working with internal audit and emergency planning to further improve the ICT disaster recovery plan  >IRF Cyber exercise >SIRO training			the Cyber Security Information Sharing Partnership which is a joint industry and government initiative to exchange cyber threat information >Part of Wales Warning Advice and Reporting Point to share cyber threats and defences with other public bodies >New regional multi-agency cyber cell meetings being attended to share intelligence and actions >PSN Certification Achieved >Cyber essential accreditation achieved >Member of Wales WARP & CISP sharing knowledge of threats.	IT / System audits in Audit Plan. >GDPR audits.	Services Network (PSN) complianc e certificate – tested annually.	review undertake an IT audit each year as part of reviewing financial accounts >WAO undertook an all Wales review last year and the findings were shared in closed sessions with G&AC and Cabinet / CMT	IT audits in the plan to be completed as part of the rolling audit schedule.	included in the 2024/25 plan as per the rolling programm e and additional ICT reviews as a result of the annual consultation exercise and review of risk registers.	Service Specific - Digital & Customer Services and IT Audits - Transformation and Future Council

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Γ						>Comms. Issued to			>Discussed at						
						staff and members			IG Board –						
						detailing impact of			standing						
						cyber attack at other			agenda item						
						councils.									
						>Software purchased									
						to protect against									
						malware attacks									
						>More use of secure									
L						cloud storage.									

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Risk ID 235	If we do not have					As a Category 1 responder under the	>EMS Manager	>EMS have been called to	>Multi agency exercising and	>EMS	>EMS have been	>Independe nt external	>Standard audits in	>Audits in the plan to	
233	sufficient					Civil Contingencies	briefs	several	training	were audited in	part of the	Audits will	the plan	be	
Risk Title	emergency					Act, Swansea Council	leader/cabinet	Scrutiny	>Internal	Nov 22	consultatio	by	cover this	completed	
Emergency	planning,					has a legal	as required.	panels, with	development/	with an	n group for	conducted	area on	in as part	
Planning,	resilience and					requirement to	.>CMT	none currently	training of new	outcome	Welsh	through	rolling	of the	
Resilience and	business					plan for and respond	receives	in the	officers	of High	Governme	Welsh	basis.	rolling	
Business	continuity					to emergencies, to do	regular	calendar.	including	assurance	nts Civil	Government		programm	40
Continuity	arrangements					this the following will	updates on		newly created	rating.	Contingen	and the new		e include	nœ
District soul	in place, then					be maintained and	key planning		assistants	raing.	cies	regulator		disaster	assurance
Risk Level	we will not be					monitored by the	and		post.		review this	appointed to enforce the		recovery & Business	SSI
Corporate	able to respond					CHSEMWS manager,	agreement as required from		>Joint work		will lead to independe	Protect Duty		Continuity,	
	effectively in					with any gap or area of concern escalated	EMS		programs and information		nt external	in 2023/24		Emergenc	Communications / ICT / Council wide
	an					to the CX.	manager.		sharing with		audit of	to establish		y Planning	<u> </u>
	emergency,					>The authorities Major	>EMS		Welsh Civil		Civil	maturity and		&	
	provide the					Incident Plan will be	manager		Contingencies		Contingen	mitigation.		Business	Š
	necessary					reviewed annually,	meets monthly		managers and		cies when			Continuity	
	civic					and tested on a 3	with the		South Wales		final				[ [ ]
	leadership or					yearly basis unless	portfolio holder		Resilience		structures				s ·
	continue to					activated, after which	for political		Team.		are				o
	run vital					a review of the	oversight and		>Service		establishe d in 2023.				äti
	services and ensure					response will be provided to CMT,	visibility. EMS Manager		Manager part of the National		> The				ij
	compliance					including any areas for	represents		and Regional		Protect				l ≝ l
	with the legal					improvement or	Swansea		PSPG group		Act, which				E I
	requirements					additional resources	Council at		and		places				익
	of the Civic					needed to ensure we	Strategic level		CONTEST		responsibil				ġ
	Contingencies					meet all legal	within SWLRF		Group with		ity for CT				혈
	Act 2004 as a					obligations and can	and Pan		local PSPG		planning				Α̈́
	Category 1					effectively	Wales		arrangements		based on				≝
	Responder,				Ħ	respond to an	Forums.		in-place.		organisati				) be
	which may lead to				ple	emergency.			>EMS is		onal risk,				S
	reputational				Gimblett	>An annual delivery plan which clearly			embedded within the		as part of this a new				ervice Specific Audits
	damage, a					identifies priorities to			SWLRF at		Regulator				e L
	loss of				Craig	address any gaps, or			Executive,		will be				Š
	political and				ပ်	coming statutory			Strategic and		appointed				
	community				ng /	needs,			Tactical levels		to enforce				
	confidence,				Ĕ	will be developed and			BC plans in-		complianc				
	increased	ੂ	₹	_	You	delivered by the			place with		e/breache				
	potential for	] Gei	dib.	Amber	SS	Emergency			each HoS.		s and				
	loss of life,	Medium	Medium	An	Ness	Management Service,					audit				
	prolonged								<u> </u>		1	<u>i</u>			

					Level and Source of Assurance								Internal	NOIX 4 Planned	
					Level 1 Level 2						Level 3		Audit	Internal	
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_			8	Overall RAG Status	Risk Owner / Updater		Othe	er <u>Internal</u> Assur	ance	Other I	<u>ndependent</u> A	ssurance		Work	Audit Plan Area
В	Business Risk	t	Current Likelihood	Ste	ŋ										an /
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		le L	ren	<u>la</u>	Ô		Cabinet			Audit	Dodles	Addit			¥
		Current Impact	Į į	) e	Sis										
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	recovery					to ensure compliance			>Plans and		arrangeme				
	following a major/busines					and maintenance of our			Action cards reviewed		nts.				
	s continuity					ability to effectively			annually and						
	incident which					respond and protect			EMS audited						
	will deny					the organisation and			in 2022.						
	service to the					communities .			>Collaborative						
	public and					>Maintain and review			working with						
	increase					on an annual basis all			SWP on call						
	operating					subordinate plans,			out protocols						
	costs.					including Mass Fatalities, Flood,			in-place and reviewed.						
						Offsite			>ACT App and						
						COMAH Plan, Rest			free training						
						Centre Plan. with			promoted						
						exercising as			across						
						appropriate			Authority.						
						>Deliver a duty officer			Local Partner						
						rota to effectively			CT comms						
						respond to			strategy and						
						emergencies available			alerts system established.						
						24 hours per day, 365 days per			established.						
						year, this will be									
						shared with all key									
						external and internal									
						partners including									
						CMT to ensure a									
						timely									
						response can be acheived.									
						>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									

							Level and Source	ce of Assurance				Internal	endix 4 Planned	
				<u>.</u>	Level 1		Level 2			Level 3		Audit Needs	Internal Audit	
Business Risk	#	poor	Status	Update		Oth	er <u>Internal</u> Assura	ance	Other <u>Ir</u>	ndependent A	ssurance	Needs	Work	n Area
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					continuity Plans on an annual basis, with a confirmation provided to ensure governance is in-place via reporting to CMT for compliance >Review each year for all significant risks the Emergency Management Service (EMS) guidance, procedures and action cards. >Arrange for appropriate Strategic & Tactical Officer to be delivered by SWLRF, to ensure ongoing competence within key officers, this will be augmented by internal training and exercise participation to protect the organisation, and maintain our ability to									

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						114			ce of Assurance		110		Internal	Planned Internal	
					<u>.</u>	Level 1		Level 2			Level 3		Audit Needs	Audit	_
Busines	ss Risk	#	poor	Status	Update		Oth	er <u>Internal</u> Assur	ance	Other <u>//</u>	<u>ndependent</u> A	ssurance	110000	Work	n Area
		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID	If the		1			To ensure the	>H&S	>H&S	>Member of	>H&S	> H&S		>Standard	>Health,	
Risk ID 236  Risk Title Health & Safety  Risk Level Corporate	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	Гом	Amber	Ness Young / Craig Gimblett	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.	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.	Manager has provided updates to numerous scrutiny panels, none currently in diary. >Service has been fully audited internally in 2019.	Pritish Association of Counsellors and Psychotherapi sts (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	Audit Plan	Manager represents Swansea on a Pan Wales/regi onal basis as part of the Managers forum to share best practise and coproduce where appropriat e.		audits in the plan already cover this area.	Saftey & Wellbeing audit on the rolling programm e	Service Specific Audits – Communications / ICT / Council wide assurance

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								ce of Assurance				Internal	Planned	
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					>Each Director or their			> New						
					delegated HoS to			CORITY OH						
					ensure a minimum of			management						
					a Bi-annual H&S			software						
					Committee, which will			management						
					receive all minutes of			package due						
					lower level H&S			for						
					Groups, statistics and			implementatio						
					information from the			n March 2023.						
					CHSEMWS, including			> SEQOHS						
					any regulatory activity			accreditation						
					from the			submission						
					HSE/M&WWFRS and			and						
					agree actions to			assessment						
					resolve any			due March						
					unaddressed risks,			2023.						
					with an agreed			> Application						
					timeframe for			for evaluation						
					completion. >Review all H&S			for Welsh						
								Government						
					policies and guidance			Gold						
					under full consultation			Corporate						
					every 3 years, in the			Health Standard						
					case of significant			October 2023.						
					change through			October 2023.						
					legislation or if an adverse incident									
					identifies the need for									
					review. Monitor and									
					report as part of the Corporate HSW action									
					plan, which will be									
					updated on-line									
					quarterly, with reports on progress									
					submitted to each									
					Directors H&S									
					committee with a									
					formal update on an									
					annual basis to CMT.									
					>Publish a Health,									
					Safety & Wellbeing									
					Action plan on a rolling									

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							Level and Source	e of Assurance				Internal	Planned	
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					2-year basis, which									
					will be ratified by the									
					CX. This will set out its									
					priorities, setting clear									
					targets for actions									
					such as training and									
					development to									
					maintain competence,									
					improvements and									
					KPI's. This will be									
					monitored by the									
					CHSEMWS Manager									
					with non-compliance									
					or areas of concern									
					escalated to CMT who									
					will receive an annual									
					update.									
					A planned schedule									
					of H&S Audits and									
					Inspections, including									
					Fire Safety will be									
					carried out across the									
					authority based on									
		1			Risk. This will result in							1	1	
		1			a report submitted to									
		1			the manager/HoS									
		1			identifying best									
		1			practise									
					and any areas for									
		1			improvement,									
		1			including action plans									
					where required. This									
		1			will be monitored by									
		1			the CHSEMWS									
					Manager and fed into									
		1			the Departmental H&S									
					& Directors H&S									
		1			Committees to ensure									
					action.									
		1			>An annual programme of H&S							1	1	
		1												
		1			training will be									
		1			delivered to ensure							1	1	

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							Level and Source	e of Assurance				Internal	Planned	
					Level 1		Level 2			Level 3		Audit Needs	Internal Audit	
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Business Risk		Current Likelihood	Overall RAG Status	Risk Owner / Updater		Othe	n <u>iiileiiiai</u> Assura	ince	Other <u>II</u>	<u>idependent</u> A	SSUIdilice		WOIK	Audit Plan Area
	Current Impact	l∺	ט	٦,	Management									la
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					staff are trained, and									Τ
					to maintain									
					competence as a legal									
					requirement all Health,									
					Safety & Wellbeing									
					Training delivered by									
					the service will be									
					corporately. All HoS									
					are required to annually review									
					mandatory, statutory									
					and role specific									
					training for their									
					23/11/2023 Tolerate									
					31/03/2024									
					Current Control									
					Measures Last Update									
					Projected									
					Risk Response Completion									
					areas, and ensure all									
					locally arranged and									
					delivered training is									
					recorded.									
					>All accidents/near									
					misses will be									
					reported to the									
					CHSEMWS, with initial									
					investigation by the service area.									
					All RIDDOR reportable									
					incidents will be									
					reported to HSE,									
					investigated, with a									
					formal accident report									
					and action plan as									
					required. This									
					information will be									
					provided to H&S committees to prevent									
					reoccurrence which									
					could lead to injury,									
					loss and legal									
					penalties. An annual									

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							Level and Source	ce of Assurance				Internal	Planned	
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		1			accident report	<u> </u>				I		1		_
					complete with trend									
					analysis will be									
					submitted to CMT,									
					with any identified									
					gaps (i.e. Training									
					agreed as priority									
					areas for development									
					in the following year,									
					or sooner if required).									
					>The Authority is required by law to									
					Have a Corporate									
					H&S Policy and									
					arrangements in-									
					place, signed by									
					the Chief Executive &									
					Leader. This will be									
					reviewed under full									
					consultation with the									
					organisation and TU's									
					on a 3 yearly cycle,									
					significant statute change or on the									
					appointment of a new									
					CX or Leader, this will									
					be communicated to									
					the organisation via									
					H&S Alert, and									
					published on Staffnet.									
					> A copy of the									
					Corporate H&S Policy									
					will be provided by HR									
					to all new starters prior									
					to commencement of employment, and be									
					covered during									
					induction, and									
					completion of									'
					Mandatory H&S									'
					training to meet legal									'
					compliance, clarify									'
					roles and									
					responsibilities and									

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							Level and Source	ce of Assurance				Internal	Planned	
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				_	avoid accidents, ill									
					health, reputational damage and the									
					potential for									
					legal/financial									
					penalties.									
					> Each Director or									
					their delegated HoS is									
					responsible for ensuring a minimum of									
					a Bi-annual H&S									
					Committee, this will									
					receive all minutes of									
					lower level H&S									
					Groups, statistics and									
					information from the CHSEMWS, including									
					any regulatory activity									
					from the HSE/M&									

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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Pick ID	If the local		1			>Work with partners to	> Cahinet	> Regular	> Regional	T	>Collabor	Sindepende	Number	> Pegen	1 1
Risk ID 269  Risk Title Delivering the Regeneration Programme  Risk Level Corporate	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 wellpaid employment opportunities and improve	Medium	Medium	Amber	Mark Wade / Phillip Holmes	>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. >Continue dialogue with Welsh Government on viability funding to support Urban Splash investment >Preparations required to ensure completion of Copr Bay project following contractor entering administration >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.	> Cabinet considered economic recovery plan > Cabinet considered FPR7 where appropriate > Quarterly PI reporting via DART.	> Regular scrutiny undertaken on post Covid economic recovery and specifically on phase 1 arena/digital district project > Regeneration Dashboard regularly reported to Scrutiny	> Regional directors and regional transport forum improved regional and joint working as a precursor to the formation of the CJC > Deliver Covid Economic Recovery Plan in collaboration with Regeneration Swansea partners.		>Collabor ate With Welsh Governme nt On Regional Economic Framewor k >Gateway Review for City Deal projects undertake n by independe nt panel >Independ ent evaluation undertake n of Kingsway project. >City Deal Regional Scrutiny Panel overview of progress on Swansea Waterfront City project >Reportin g of programm e outputs to funding bodies, WG,	>Independe nt external Audits will by conducted through Welsh Government' s Transfrming Towns funding, and UK Government' s SPF programme as per their grant funding audit requirement s	>Number of Regen and Planning audits included on the audit plan to be completed on a rolling basis.	> Regen and Planning audits included on the 24/25 audit plan	Service Specific Audits - Planning & City Regeneration /Transformation & Infrastructure

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		B	Status	Risk Owner / Updater		Oth	er <u>Internal</u> Assura	ance	Other <u>II</u>	<u>ndependent</u> A	ssurance		Work	Area
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Risk ID 290	If there is increased					>Provide targeted advice on financial	>Cabinet Member	>Part of annual	>Reports to CMT on		>Part of Poverty	>WAO reviews (x3)	>Standard rolling	>Audits included in	
200	demand on					inclusion to people	briefings,	scrutiny	progress and		Partnershi	on the	audit	the	
Risk Title	Council					who are struggling	Cabinet	programme	actions		p Forum,	challenges	schedule,	'Poverty'	
Impact of	services due					with accessing the	reports where	looking at the	required,		multi-	of alleviating	repeated	area of the	
Poverty	to an					support to	applicable	corporate	>Reports to		agency	and tackling	based on	audit plan	≥
Dieleland	increased					manage their debts, to		priority of	Audit		forum.	poverty.	audit risk	as a result	/er
Risk Level Corporate	number of residents					address their needs in a timely, effective		Tackling Poverty	Committee following WAO				score.	of consultatio	Po
Corporate	experiencing					manner.		>Part of Adult	report on					n to be	⋖
	the impact of					>Provide weekly		Services	Tackling					compelete	ing
	poverty due to					access to Welfare		Performance	Poverty and					d in	ard
	the pandemic					Rights Advice helpline		Scrutiny	associated					rotation.	ng
	and cost of					for frontline social care		quarterly	action plan.						afe
	living pressures.					staff to improve their knowledge on benefit		performance reports	>Included in the corporate						S
	Then the					entitlements and		Теропіз	Transformatio						/ert
	impact					directly apply this to			n Plan projects						Po
	includes					the people they			focused on						DC
	increased					support in order to			Tackling						粪
	debt,					increase			Poverty and						Тас
	reduction in household					take-up of benefits. >Support people to			Enabling Communities,						∞ ∞
	income and					gain employment			reports via						ing
	negative					through referrals into			Transformatio						ion
	impact on					mentoring and			n Board						iss
	health and					development of			>Internal cross						шщ
	well-being.					employability skills			directorate						Ö
						as part of an agreed personal development			Poverty Forum						1
						plan, to improve the									dits
					eu	number of people									Specific Audits – Commissioning & Tackling Poverty Safeguarding & Poverty
					e Rowden	increasing their									ĮС
					R <sub>O</sub>	household income									eci
						through employment.									
					/ Dian	>Directly support people through Local									Service
					7	Area Co-ordination to									erv
					ins	access the support									S
					×	they require in a place									
		트	트	-	На	and									
		Medium	Medium	Amber	Amy Hawkins	time that meets their									
		ĭĕ	M	Ā	٩	needs, to address the impacts of poverty and									
			1			impacts of poverty and		1	1						

							Level and Source	a of Assurance				Internal	ndix 4 Planned	
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	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					its effects on their									
					health and well-being >Increased demand on council services due to an increased number of residents experiencing the impact of poverty due to the cost of living crisis and the ongoing impact of the pandemic. The impact includes increased debt, reduction in household income and negative impact on health and well-being. The cost of living payments have been automatically been									
					paid to those who we have details for other's the online application is open. Additional funding has been allocated for energy crisis payments which residents are accessing. Further funding has been allocated to community and voluntary organisations for addressing food poverty and addressing period poverty, along with new 'holiday food' schemes for Summer 2023.									

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							Level and Source	ce of Assurance				Internal	Planned	
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Business Risk	t	pood	Status	Update		Oth	er <u>Internal</u> Assura	ance	Other <u>Ir</u>	ndependent A	ssurance	Neeus	Work	an Area
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					>The provision of Employability support, Debt and Benefit advice and guidance commissioned and in- house, increase take up of benefit entitlements, skills support and administration of Covid Self isolation payments. Work across the Authority through the Poverty Forum and with external partners through the Poverty Partnership Forum to identify risk management strategies to mitigate the impact >Co-ordinate targeted and time-bound grant schemes for helping people with Cost of Living challenges (e.g. fuel poverty) to reduce the impact of poverty on people and businesses.									

								Lovel and Sour	ce of Assurance				Internal	Planned	
					er	Level 1		Level 2	ce of Assurance		Level 3		Audit Needs	Internal Audit	, m
	Business Risk	#	poor	Status	Updat		Oth	er <u>Internal</u> Assur	ance	Other <u>I</u>	ndependent A	ssurance		Work	ın Are
		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 334 Risk Titl Cost of L Crisis Risk Lev Corporat	then it will lead to greater pressure on	3	Very High		Carol Morgan / Peter Williams	>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. >Lobby Welsh Government to supply more financial resources to Local Authorities to tackle the cost of living crisis. >Provide individuals with help and advice regarding homelessness issues, housing benefit and rent arrears	>Homelessne ss and Housing Support Programme Strategy approved by Cabinet. Revised Allocation Policy will require Council approval.	>Scrutiny Programme Committee examination of the development and implementatio n of Homelessness and Housing Support Programme Strategy. > Service Improvement & Finance Improvement Panel has regularly examined progress towards improving and increasing housing stock	Briefing to Cabinet and Chairs meeting on homelessness pressures  Report on More Homes delivery programme to Economy and Infrastructure Service Transformatio n Committee STC in Feb 2024.	>Housing Options service and assessme nt features on internal Audit Programm e. Recent audit completedi n Jan 2024. Assurance level was high.	>Homeles sness services subject to scrutiny and challenge by 3rd Sector orgs e.g. Shelter. >Welsh governme nt data returns submitted quarterly >Weekly monitoring meetings with WG homelessn ess relationshi p manager.		Currently included in standard rolling audit schedule. Last audit completed Jan 2024.	TBC	TBC

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									ce of Assurance				Internal	Planned	
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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 335  Risk Title Workforce recruitment and retention  Risk Level Corporate	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 wellbeing / higher	Medium	Гом	Amber	Rachael Davies / Rachael Davies	>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 Transformatio n Programme Board	>Internal audit of recruitment procedures			>Standard rolling audit schedule, repeated based on audit risk score.	>Audits included on rolling programm e in HR & OD / Service Centre. Includes Recruitme nt and Staff Contracts	Service Specific Audits - HR & OD, Service Centre /

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						114			ce of Assurance		110		Internal Audit	Planned Internal	
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					el 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	>Mandatory Corporate Training available for all Staff and Members. Reports to CMT on progress and actions required	>Internal Audit of mandatory training complianc e Governan ce and Audit Committee reporting	>HSE where applicable CIW/EWC where applicable		>Standard rolling audit schedule, repeated based on audit risk score.	>Safeguar ding cross cutting audit is included in rolling programm e >Corporat e Learning & Developm ent team audit due	its - HR & OD, Service Centre /
	ensure the safe and effective operation and delivery of services.	Low	Low	Amber	Ness Young / Rachael Davies			Group – Workforce in place						for 2024/25 following Fusion implement ation linked to training records	Service Specific Audits

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		Current Impact	<u>I</u>	era	×										4
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Risk ID	If we do not					>Engagement and	>Cabinet	>Scrutiny	>Reports to		>Part of		>Standard	>Partners	
337	manage to					involvement with	Member	Panel in place	CMT on		Safer		rolling	hip cross	
	continue to					minority communities	briefings,	to scrutinise	progress and		Swansea		audit	cutting	
Risk Title	improve					to understand what	Cabinet	Councils	actions		Communit		schedule,	audit	
Social Cohesion	community involvement					matters and promote community cohesion	reports where applicable	response to ASB, which a	required		y Safety Partnershi		repeated based on	carried out in 21/22	
Risk Level	and break					and mitigate tensions,	applicable	lack of social			p, which is		audit risk	audit	
Corporate	down barriers					through the		cohesion can			multi-		score.	schedule	
·	amongst					Partnership &		lead to an			agency			>Further	<u>_</u>
	people in					Involvement Team.		increase			and			audits to	ntr
	terms of					Project initiated and		>Part of			reports			be added	ပိ
	economic disparities,					ongoing - update expected in new year		annual scrutiny			into Public Service			following consulatio	∞ 0
	encourage					>Whole Council		programme to			Board			n as	ü
	tolerance to					training and capacity		review						required	Lua
	avoid social					building to implement		progress of						>Commun	) ve
	discord and					the Public Sector		Swansea's						ity Safety	Ö
	strengthen					Equality Duty and the		Community Safety						standard audit on	ncil
	community development					Human Rights Approach,		Partnership						the rolling	no
	throughout all					through Strategic		1 draioionip						programm	0/
	ages, then we					Equalities and Future								e	ing
	could see					Generations Board									ard
	increasing					Update meeting									gng
	community					planned Nov 23									afe
	tensions, disorder and					>Ensure effective partnership working									တ
	civic unrest					arrangements to									Cross Cutting Audits –Safeguarding / Council Governance & Control
	exacerbated					develop supportive									δuc
	by the cost of				_	networks together									) gc
	living crisis				ore	through PSB									ij
	and perceived differences				ţ	and other key partnership									ı ق
	and people				Ā	arrangements									SSO
	not feeling				ē	transpiring out of the									ت
	heard or				Jan	new newly developed									
	listened to.				,	Wellbeing Plan									
					Ves	>Utilise opportunities									
		_			é	through the Shared Prosperity fund to join									
		iun		Der	Β̈́	up and embed									
		Medium	Low	Amber	David Howes / Jane Whitmore	community									
		2	_	٩	٥	engagement and									

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	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					involvement with all ages and all communities to develop shared values and empowered communities, Fund now launched and activity underway. Project and grant scheme developed and being launched in Nov 23 >Commission a research project to ensure complimentary and inclusive policy and decision-making to ensure social cohesion issues are considered in the development of plans and strategies across the council.									
					Joint working with Swansea Unit project has been initiated and likely to start in the next month - will be reviewed again in 3 months									

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Risk ID 338 Risk Title Net Zero 2030 target Risk Level Corporate	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					>Implement the Councils 2030 Net Zero delivery plan, with specific focus on carbon reductions in the Buildings and Energy and Fleet & Mobile Equipment categories. Measure success annually through WG emissions reporting figures. >Develop a suite of actions to offset the emissions balance as unlikely to deliver zero	>Two Cabinet members on CC&NR steering group, running bi monthly with key officers as part of the CC&NR governance. >CC&NR CDC established – running monthly to support the development of action plan	>CC&NR scrutiny establish to challenge SC activity on the 2030 activity.	>Programme Board and Emissions reporting groups established, the latter to collate the required data for annual reporting of data to Welsh Government.		>CCS reports emissions data for review annually to Welsh Governme nt.	>WAO recently conducted interviews with staff and set out five proposals for improvemen ts on this agenda across Wales. CCS has responded to all, being		>Net Zero 2030 audit added for 2023/24 plan following Risk Register review and consultaito n	Council Governance & Controll
	target will not be met by 2030.	High	High	Red	Mark Wade / Rachel Lewis	emissions by 2030. Actions to be monitored and reported annually as part of overall WG reporting. >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.	and respective policy in regard of the 2030 target.					the first welsh authority to meet one specific ask and produce a costed delivery plan. (Dec 15th 2022 Cabinet Report)			Cross Cutting Audits/Miscellaneous – Council Governance &

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Risk ID	If the council					> Transformation									
350	does not					Delivery Board to									l _
Diele Title	successfully					receive quarterly									lo:
Risk Title Successful and	deliver the Successful					progress reports on all									Council
Sustainable	and					programmes within the CTP to monitor									Ö
Swansea	Sustainable					progress and address									S
Corporate	Swansea					any performance									l o
Transformation	Corporate					issues should they									l e
Plan	Transformatio					arise.									8
i idii	n Plan it will				_	> Ensure effective									SC
Risk Level	struggle to				ug	governance									Į
Corporate	deliver its				Young	arrangements are in									ij.
	wellbeing				\ \	place and maintained									D)
	objectives				esse	to oversee									g
	and to				Ž	implementation of the									ij.
	respond				g	CTP and undertake									ΙĦ
	effectively to				Ness Young / Ness	annual review of									Cross Cutting Audits/Miscellaneous
	the external			_	%	arrangements in									l So
	challenges it	٦	>	Amber	SS	March each year to									Ö
	is facing up to	High	Low	Ę	ě	ensure ongoing									
	2028.	-		1	_	suitability.								ĺ	

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Risk ID	If the					> Develop Action Plan	> Weekly	> Regular	>Presentation						
360	development of a new					and programme > Transformation	meetings with Cabinet	involvement of Climate	s to CMT awat days on						
Risk Title	Waste					Delivery Board to	Members at	Change &	progress and						₹
Development of	Strategy is					receive quarterly	which any	Nature	actions						1 T
New Waste	not					progress reports on all	relevany	Recovery	required						ا د
Strategy	adequately					programmes within the	issues are	Service	required						0
Ollalogy	resourced,					CTP to monitor	discussed	Transformatio							a
Risk Level	with timely					progress and address	>Finalised	n Committee							2
Corporate	decision					any performance	draft Policy to	in considering							Į į
Corporato	making, then					issues should they	be approved	relevant							8
	there is a risk					arise.	by Cabinet	issues							Ċ
	of the new						and Council								<u> </u>
	strategy being														=
	ineffective														Ç
	and its														"
	implementatio														l
	n being														٩
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	recycling				-										1 =
	targets or				Chris Howell / Matthew Perkins								1		C
	benefitting				Š										30
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Risk ID 371  Risk Title Education Offer  Risk Level Corporate	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	>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. >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. >Deliver against the Literacy, Numeracy and Digital strategies to ensure that learners can fully access the curriculum and the world of employment >Assurance regarding the quality of the education offer via the following methods: - School Improvement Visits (between 1 and 3 visits per school per					>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.			>School and other Education / thematic audits due in 2024/25 and beyond	Service Specific - Education - Improving Education and Skills

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Last Updated: 07/02/24