Audit Committee

Summary of the overall status of risk within the Council – Quarter 3 2019/20

The following report summarises the overall status of risk within Swansea Council.

Overall Risk Status – Quarter 3 2019/20

The table below contrasts the overall risk status* as at Quarter 2 with Quarter 3 2019/20.

	Low Risk	Medium Risk	High Risk
Quarter 2 19/20	19	132	28
Quarter 3 19/20	9	122	43
+ - change	-10	-10	+15**

*One risk (# 91 - School Cloud Oracle Access) on the new Risk Register has not yet been allocated a RAG status.
** Correct application of the corporate risk framework has resulted in an increase in the risk level for a number of risks.

Summary –
Risk Register Migration
- Place, Education, Social Services and parts of Resources have been migrated onto the new Register **(total 145 risks)**. Migration of the **remaining 18 risks** in Resources will be complete by 31st January 2020.
- Access to the old Risk Register for Updaters will be terminated on the same date.
- All officers attending training have been informed that **all risks must be fully reviewed and appropriate Control Measures** added by 31st March 2020.

Changes to the Risk Registers

- **100%** of the risks that were in place as at Quarter 2 2019/20 were recorded as having been reviewed in Quarter 3. However, many of these reviews were for the purpose of migration on to the new Risk Register.
- This is an improvement from the position at Quarter 2 2019/20 where 97.2% of risks had been reviewed since Quarter 1.

- 7 new risks were added to the registers.

Low Risk	Medium Risk	High Risk	No RAG Allocated
0	3	3	1

- 11 risks were closed.

Low Risk	Medium Risk	High Risk
3	6	2

- **11** out of the **11** risks **(100%)** that were closed had reasons/comments for doing so recorded, compared to **50%** in Quarter 2 2018/19. Reasons for closure displayed in the chart below:

Reasons for Risks Closure - Q3
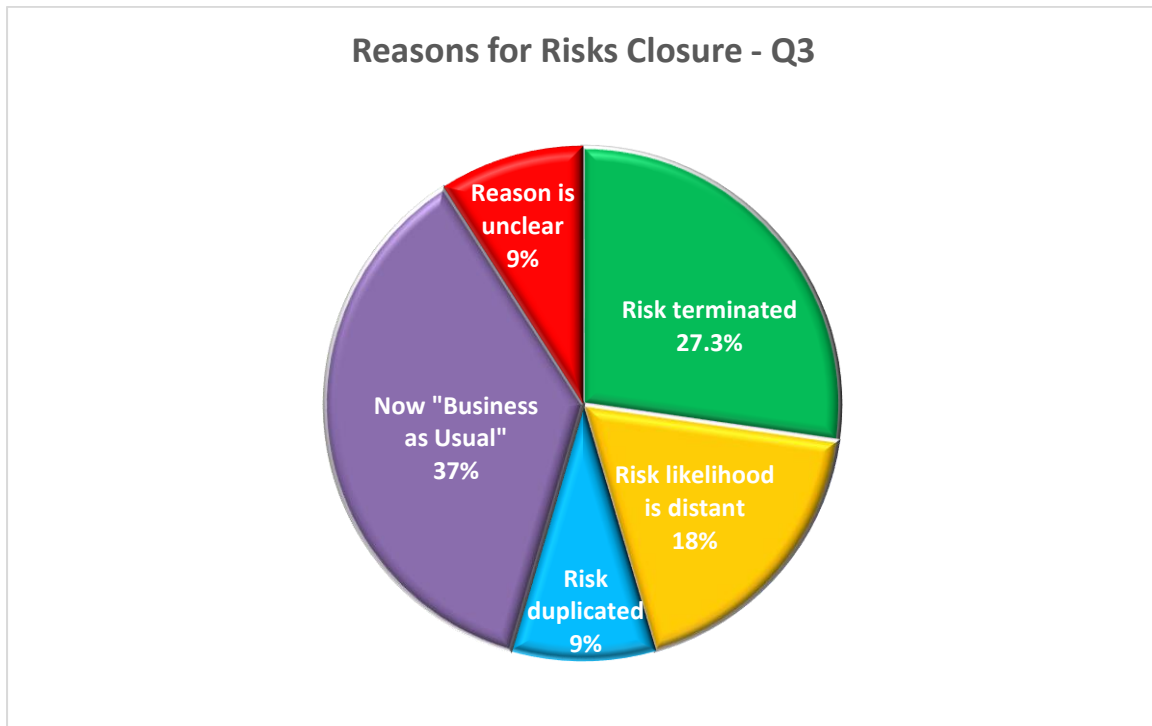
- **No** risk was escalated in Q3 whereas **1** risk was escalated in Quarter 2.
- The overall RAG status of **27** risks were changed.
- Of these **3** showed a reduction in risk level and **24** showed an increase.

Other observations

- Controls and actions are in place for all risks on the registers.
- CMT are reviewing the Corporate Risks each month.
- Roll out of the new risk register application and training / reference resources is nearing completion and work will now shift to embedding and maturing the use and implementation of the new application. ICT are currently working on the reporting capability of the new risk application.

Corporate & Directorate Risk Registers

- The Corporate Risk Register and Directorate Risk Registers dated 23/01/20 are attached at **Appendix B**.