



## Report of the Head of Communications & Marketing

Governance and Audit Committee – 8 February 2022

### Corporate Risk Overview - Quarter 3 2021/22

**Purpose:** The report presents an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.

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#### For Information

#### 1. Background

1.1 This report provides an overview of the status of Corporate risks in the Council to give assurance that key risks are being managed and risk management process is being followed.

#### 2. Corporate Risk: Quarter 3 2021/22

2.1 The following summarises the status of risks recorded in the Corporate Risk Register as at Quarter 3 2021/22

2.2 There were 9 Red status risks in the Corporate Risk Register as at the end of Q3 2021/22:

- Risk ID 153. Safeguarding.
- Risk ID 159. Financial Control: MTFP aspects of Sustainable Swansea.
- Risk ID 221 Availability of Domiciliary Care.
- Risk ID 222. Digital, Data and Cybersecurity.
- Risk ID 264. COVID-19.
- Risk ID 269. Local economy and infrastructure.

- Risk ID 274. COVID-19 Social Services.
  - Risk ID 306. WCCIS (Welsh Community Care Information System).
  - Risk ID 309. Oracle Fusion.
- All of the Corporate risks were recorded as having been reviewed at least once during Q3.
- 2 new risks were added to the Corporate Risk Register:
    - Risk ID 306. WCCIS (Welsh Community Care Information System).
    - Risk ID 309. Oracle Fusion.
- 2 Corporate risks were deactivated:
    - Risk ID 223. Sustainable Swansea Transformation Programme Delivery.
    - Risk ID 296. Supply of Construction Materials.
- 1 risk was escalated from the Social Services Directorate Risk Register to the Corporate Risk register:
    - Risk ID 221. Availability of Domiciliary Care.
- 1 Corporate Risk was de-escalated to the Resources Directorate Risk Register:
    - Risk ID 155. Tax Evasion.

2.3 The report at Appendix A includes the risks as at 04/01/22 recorded within the Council's Corporate Risk Register. The reports for each risk include the following information:

- *Risk title and description*...to summarize and describe the risk.
- *Risk Identification (ID) number*...to identify and search for the risk in the register.
- *Risk level*...Corporate level risks.
- *Responsible Officer*...the officer responsible for managing the risk.
- *Councillor*...the Councillor whose portfolio the risk relates to.
- *Last update*...when the risk was last updated in the risk register.
- *Historical RAG*...the level of risk assigned historically each month over a 12 month period (Red – High; Amber – Medium; Green – Low).
- *Current Control Measures*...live actions assigned to control or mitigate the level of risk. *Last update*...the date of the last time the Control Measure was updated in the risk register. *Risk response*...how the risk is controlled. *Projected Completion*...the date the Control Measure is expected to be implemented.
- *Closed Control Measures*...Control Measures that have been finalised, e.g. because they have been implemented. *Closure date*...date that Control Measures were closed.

- *Historical impact*...monthly assessment on the level of impact (1 = low; 5 = very high) should the risk come into effect. The graph shows the historical level of impact assigned each month over a 12 month period.
- *Historical likelihood*...monthly assessment on how likely the risk is to come into effect (1 = low; 5 = very high). The graph shows the historical level of likelihood assigned each month over a 12 month period.

### **3.0 Control Measures**

- 3.1 Training specifically on Control Measures took place at Leadership Team (Directors, Heads of Service and some other senior managers) as planned on 25 May 2021.
- 3.2 A video based on this was created and uploaded, which is now directly accessible through the risk register along with all other videos provided on risk management and on using the risk register.
- 3.3 The video has also been signposted to all Directors, Heads of Service and responsible officers and reminders to review and revise control measures in line with the training and video have also been issued each month since June 2021.
- 3.4 The need for responsible officers to review their Control Measures was discussed and reinforced at Corporate Management Team in August and followed-up again in October 2021. Control Measures and changes to Control Measures in the Corporate Risks are being reviewed and feedback / advice on improving them is being provided to responsible officers.

### **4.0 Internal Control Environment and Risk Reporting**

- 4.1 The Governance & Audit Committee Chair had requested that Directors attend each quarter on a rotational basis and provide the Committee with presentations regarding the internal control environment, including risk management; this report providing a Corporate Risk overview will coincide with Director's attendance each quarter.

### **5.0 Integrated Assessment Implications**

- 5.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:
  - Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
  - Advance equality of opportunity between people who share a protected characteristic and those who do not.

- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

5.1.1 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

5.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

5.1.3 This report is a 'for information' report and so is not relevant for an IIA.

## **6.0 Legal Implications**

6.1 There are no legal implications.

## **7.0 Financial Implications**

7.1 There are no financial implications.

## **For Information**

**Background papers:** *None*

**Appendices:** Appendix A – Corporate Risks as at 04/01/22.