

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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<b>Risk ID</b> 94	If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and to contribute effectively to the economic prosperity of the city.	Medium	Medium	<b>Amber</b>	<b>Helen Morgan-Rees / Kate Phillips</b>	<p>&gt;Covid-19 – Safe Return to School Plan in place, 88% attendance first three weeks of Sept. Continuity of Learning Plan and Policy in place – Schools developing remote/ blended learning opportunities.</p> <p>&gt;Support for pupils to return safely in Sept. through Health, Welfare &amp; Community Education Stream of Covid-19 Recovery Plan.</p> <p>&gt;Childcare in schools offer for key workers and most vulnerable children during pandemic.</p> <p>&gt;Pupils eligible for FSM receive fortnightly BACS payment or food parcels during pandemic.</p> <p>&gt;Check-in, Catch-up and prepare sessions for safe return for learners.</p> <p>&gt;Further enhancement of the Continuity of Learning Programme.</p> <p>&gt;Challenge adviser monitoring visits.</p> <p>&gt;Budget proposals for 2021-22 continue to prioritise the delegated schools budget and areas of pupil specific support and the</p>	<p>&gt;Positive engagement and support from Cabinet and Council.</p> <p>&gt; Recovery plan has work streams looking at continuity of learning, wellbeing of school workforce.</p> <p>&gt;Two policy development work streams looking at skills and training as well as continuity of learning. Achieving Better Together Recovery Plan has oversight of education and skills work streams</p> <p>Cabinet oversight of key delivery partnership for improving practitioners and leaders in schools</p>	<p>&gt;Dedicated Scrutiny Panel to scrutinise education work and performance. Scrutiny covers barriers to learning, access to support, school improvement activity, key delivery partners, vocational opportunities and Swansea Skills Partnership, key delivery partnership in <i>Partneriaeth</i> and curriculum reform readiness.</p>	<p>Additional Learning Needs Board receives delivery highlight report of transformational plan. Improving Education &amp; Skills PDC.</p> <p>&gt;Education Skills Co-ordinator appointed.</p> <p>&gt;PSOs/ Accountancy provide support and oversight of school finance. Attendance and exclusion analysis and reports.</p>	<p>&gt;Various Edu. Audits in the Audit Plan.</p> <p>&gt;ESTYN reports review during school audits for finance / mgt. control.</p>	<p>&gt;ESTYN prog.of external school inspection has been paused in 2020-2021 and until after Easter 2022</p> <p>&gt;Local authority link inspectors have conducted thematic review on continuity of learning and support for vulnerable learners. Estyn undertake engagement visits with schools for curriculum readiness and ALN reform readiness. Link inspectors visit on a termly basis to evaluate objectives.</p>	<p>&gt;Audit Wales &amp; CIW.</p> <p>&gt; HSE audit of schools as Covid safe environments to allow education to continue.</p> <p>&gt;Welsh government returns, for example. Accelerated learning programme.</p>	<p>&gt;Range of Education audits in the plan to be completed as part of the rolling audit schedule.</p>	<p>&gt;School and other Education / thematic audits due in 2022/23</p>	Service Specific - Education – Improving Education and Skills
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<b>Risk ID</b> 153	If our safeguarding arrangements are not sufficiently robust, 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.	High	High	Red	David Howes / Angela Morgan	<ul style="list-style-type: none"> <li>&gt;Covid-19 – Safeguarding Arrangements and resources remodelled to ensure this is a key priority function within social services and services can continue to be safely delivered despite Covid-19 restrictions.</li> <li>&gt;Planned implementation of multi-agency safeguarding hub progressed despite Covid-19 restrictions. The required dedicated Safeguarding Team for Adults included in the modified restructure of Adult Services required as a result of Covid-19</li> <li>&gt;Support and Shield vulnerable people in the community during Covid-19</li> <li>&gt;Provide emotional and well-being support to children and young people during Covid-19.</li> <li>&gt;Provide support to people at greater risk from domestic violence during Covid-19.</li> <li>&gt;Provide frontline social care staff with PPE during Covid-19</li> <li>&gt;Prioritise workload to focus on most</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Director of Social Services to advise Cabinet and CMT on options to bolster resilience of the workforce in frontline child protection teams.</li> <li>&gt;Positive engagement and support from Cabinet and Council.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Two dedicated Scrutiny Panels in place to scrutinise Social Services Work and Performance.</li> <li>&gt;People PDC in place.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Establish and maintain a regional protocol to provide secure Covid-19 care home provision including increased capacity in in-house care homes.</li> <li>&gt;Council Covid-19 Recovery Plan to recover services and deal with emerging risks</li> <li>&gt;Corporate Safeguarding Board</li> <li>&gt;Principal Officers for safeguarding within Social Services.</li> <li>&gt;Corporate Safeguarding Policy and Group</li> <li>&gt;Mandatory Corporate Safeguarding Training in place for Staff and Members.</li> <li>&gt;Corporate Priority</li> <li>&gt;New Safeguarding Policy following</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Internal Audit of Safeguarding</li> <li>&gt;Internal audit of DBS</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Regional and multi-agency safeguarding partnerships</li> <li>&gt; CIW</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Audit Wales</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Currently included as part of standard rolling audit schedule, repeated based on audit risk score.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Safeguarding cross cutting audit is included in the 22/23 audit plan</li> </ul>	Cross Cutting – Council Governance and Control – Safeguarding People from Harm
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					<p>vulnerable and prioritise services and contact with those during Covid-19 response.</p> <ul style="list-style-type: none"> <li>&gt;Children Services to further enhance the multi-agency Front Door Team with a dedicated safeguarding hub.</li> <li>&gt;Action plan being developed in response to recent audit on DBS compliance in schools.</li> <li>&gt;Corporate Safeguarding Board reviewing additional safeguards to be implemented by HR Transactions Team.</li> <li>&gt;Sufficient numbers of trained Adult and Child Services staff.</li> <li>&gt;String performance monitoring and reporting arrangements.</li> <li>&gt;String commitment to invest in Social Care</li> <li>&gt;Safeguarding Leads identified across all Council services.</li> <li>&gt;Separate safeguarding arrangements in place in schools and Central Education</li> <li>Safeguarding Officer in main directorate.</li> <li>&gt;As part of a wider restructuring of Adult Services there is still a plan to re-establish a</li> </ul>			<p>review by PDDC in 2019</p> <ul style="list-style-type: none"> <li>&gt;CMT approved action plan to stabilise recruitment and retention of frontline Children Services staff</li> </ul>					
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<b>Risk ID</b> 159	If we fail to deliver Sustainable Swansea and maintain sufficient financial control, and in particular do not ensure we contain service overspending, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and changing public expectations.	Very High	Very High	Red	Ben Smith / Jeff Dong	<p>&gt;Covid-19 – Recovery Plan: Future Council – Finance new MTFP.</p> <p>&gt;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.</p> <p>&gt;PFM 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</p> <p>&gt;Spending restrictions published to all staff and reviewed. Many controls continue to be exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums.</p> <p>&gt;Corporate level monitoring.</p> <p>&gt;Agreed budget.</p> <p>&gt;Clear governance and reporting in place.</p> <p>&gt;Prevention Strategy.</p> <p>&gt;Monitoring at monthly P&amp;FM's.</p> <p>&gt;FSTG reporting and monitoring.</p> <p>MTFP.</p> <p>&gt;Tracker in place from June 2018 to capture</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;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</p> <p>&gt;Budget reports included in the 2019/20 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;Saving and other budget mgt to be included as part of the Achieving Better Together (trans) audit 22/23</p> <p>&gt;Fundamental audits included in the plan as due in 2022/13</p>	Service Specific / Fundamental Audits - Section 151 Officer Assurance
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					and warn of delivery risks. >S151 Officer remains able and prepared to not certify adequacy of budgets and issue S114 notice if proven necessary.									
<b>Risk ID</b> 180	If the council cannot respond adequately to new legislative and regulatory requirements due to reduced resources, then it will be open to external challenge and may suffer reputational damage and fines.	Medium	Low	<b>Amber</b>	<b>Tracey Meredith / Debbie Smith</b>	>CMT has standing item on agenda for consultations being undertaken by WG/UK Govt which alerts CMT to new legislation/ guidance and ensures visibility and horizon scanning for future legislative changes. >Legislative requirements built into plans and decision making. >Policy Briefings and LLG updates are added to CMT agenda on regular basis for wider visibility and discussion. >Legal implications inserted into decision making reports with Legal and Access to Services sign-off. >Monitoring of new legislation by Legal department and close liaison with client departments ie introduction of ALN in education..	>All reports for Cabinet/ Council have legal implications paragraph and report authors are supported by legal officers when considering legislative requirements in decision making process.	>Scrutiny councillors routinely monitor and challenge services, policies and decision-making across the Council, which will include compliance with relevant legislation, assessment of quality, and highlighting of issues / concerns.	>Lawyers in Local Government updates received by Chief Legal Officer. > Legislation updates circulated periodically to CMT by Chief Legal Officer. >Policy Briefing – widely circulated >Appraisals identify legal training/gaps in legal provision. > The Data Protection Officer provides an annual report on compliance with data protection legislation.	>Consult with CMT / HoS each year as part of annual consult'n exercise to inform the Audit Plan and inform forward work plan for the following year. >Audits added to plan as they arise prioritised by risk.	>Audits to be added to the plan via as per annual consult with HoS/ Directors.	>New audits to be added as requested by HoS/ Directors as necessary via consultation and in year as needed		Service Specific – Across Corporate Priorities / Monitoring Officer Assurance

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<b>Risk ID</b> 196	If we do not have a robust workforce strategy in place, then we will not have staff with sufficient capacity and the right knowledge and skills to manage change, deliver transformed services and ensure statutory compliance.	Medium	Medium	<b>Amber</b>	<b>Sarah Lackenby / Adrian Chard</b>	<ul style="list-style-type: none"> <li>&gt; Covid-19 – Redeploy and train staff to assist with the Covid-19 response.</li> <li>&gt;Support staff health and well-being during Covid-19</li> <li>&gt;Support staff to work remotely at home during Covid-19</li> <li>&gt;Workforce will be a key strand of the future Council workstream in the Covid-19 recovery plan</li> <li>&gt;Reporting through Leadership Team</li> <li>&gt;Tracking and monitoring of the OD plan and delivery.</li> <li>&gt;OD Strategy and Implementation Plan in place</li> <li>&gt;Apprenticeship/ Traineeship strategy.</li> <li>&gt;Gender Pay Gap and Project Plan</li> <li>&gt;Service Planning</li> <li>&gt;Corporate Plan – Transformation &amp; Future Council Objective</li> <li>&gt;Workforce Planning</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Workforce Strategy being developed in consultation with Cabinet Member, David Hopkins. Final Strategy will be presented to Cabinet for endorsement/ approval. There is a legal requirement for Council to agree the annual Council Pay Policy</li> </ul>	<ul style="list-style-type: none"> <li>&gt;There is a legal requirement to present an annual analysis of Gender pay gap issues.</li> <li>A presentation has previously been made to the Workforce Scrutiny Group on the Impact of the Pandemic of the Workforce. There is a further meeting scheduled for February 2022 which will include consideration of the Workforce Strategy.</li> </ul>	<ul style="list-style-type: none"> <li>&gt; New and revised HR&amp;OD Policies are taken to JCC for approval.</li> <li>&gt;The Workforce Strategy is being developed in consultation with the Recovery and Future Generations PDCand Equality and Future Generations Board.</li> </ul>	<ul style="list-style-type: none"> <li>&gt; An update report will be prepared for presentation to the Gove &amp; Audit Committee in February 2022.</li> </ul>			<ul style="list-style-type: none"> <li>&gt;To be included as part of the Achieving better Together (trans) audit to include savings delivery and workforce strategy elements in the audit plan for 2022/23</li> </ul>	Cross Cutting Audits – Council Governance and Control
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<b>Risk ID</b> 221	If demand for personal care at home continues to exceed the Council's capacity to directly provide or commission domiciliary care staff and services, then the local authority will fail to meet its statutory duties under the Social Services and Well Being Act, individuals care and support needs will not be sufficiently well met and there will be significantly increased pressure on acute hospital services.	High	High	Red	David Howes / Peter Field	>10% Uplift Of The Fee To All Dom. Care Providers Implemented In Year To Enable External Providers To Pay A Competitive Salary To Staff To Assist With The Recruitment And Retention Of Staff. The Need For A Further Uplift Will Be reviewed By End Of 2022. >Respite Services Adapted So They Can Flex To Address Long Term Care Needs If Required. Effectiveness Will Be Reviewed At The End Of December 2021 At The Regional Community Silver Emergency Planning Meeting >A Pilot Of Dom Care Services Being Provided By A Residential Care Provider Has Been Initiated. Success Will Be Reviewed At The End Of December 2021. > Third Sector Providers Asked To Reprioritise Services To Support Individuals With Alternative To Domiciliary Care To Mitigate The Impact Of	Monitored via ECG on a weekly basis	Dedicated adult services scrutiny panel			CIW inspection of regulated services and the LA statutory functions	>Number of Adult Services audits are on the plan completed on rolling programme basis includes residential and non-residential care audits.	>Non-residential care audit is included on the audit plan for 2022/23.	Service Specific – Financial Services and Service Centre – Section 151 Assurance / Safeguarding
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<b>Risk ID</b> 222	If we do not have robust digital, data and cyber security measures and systems and behaviours in place, embedded and working as best as they can be, then we will be vulnerable to cyber threats, disruption to service delivery, possible loss of information including confidential information and associated fines and reputational damage.	Very High	Medium	<b>Red</b>	<b>Sarah Lackenby / Jo Harley</b>	<p>&gt;Covid-19 – Ensure the Council’s Covid-19 recovery plan accounts for increased risk from cyber-attacks and data fraud arising from new working patterns and reliance on technology</p> <p>&gt;Introduce simulated cyber-attacks on staff to measure their actions, identify weaknesses and improve knowledge</p> <p>&gt;Provide staff with ICT security and data management updates and guidance during Covid-19 and whilst working from home including cyber security guidance and Covid-19 cyber scams staffnet page</p> <p>&gt;Cyber security during Covid-19 reviewed alongside advice from Warp and PSN compliance e.g. use of Zoom.</p> <p>&gt;Enhanced Security Layer provided by Microsoft 365</p> <p>&gt;Cyber security strategy created and ready for engagement with staff</p> <p>&gt;Digital services working with internal audit and emergency planning to further improve the ICT disaster recovery plan</p>		>More use of secure cloud storage.	<p>&gt;Member of the Cyber Security Information Sharing Partnership which is a joint industry and government initiative to exchange cyber threat information</p> <p>&gt;Part of Wales Warning Advice and Reporting Point to share cyber threats and defences with other public bodies</p> <p>&gt; Cyber Essentials and Cyber Essentials Plus accreditation</p> <p>&gt;New regional multi-agency cyber cell meetings being attended to share intelligence and actions</p> <p>&gt;PSN Certification Achieved</p> <p>&gt;Cyber essential accreditation achieved</p>	<p>&gt;Various IT / System audits in Audit Plan.</p> <p>&gt;GDPR audit added 18/19.</p>	<p>&gt;Public Services Network (PSN) compliance certificate – tested annually.</p> <p>&gt;Achieved IASME Cyber Essentials certification, working towards Cyber Essentials Plus by March 2019</p>	<p>&gt;WAO review undertake an IT audit each year as part of reviewing financial accounts</p>	<p>&gt;Range of IT audits in the plan to be completed as part of the rolling audit schedule.</p>	<p>&gt;IT audits included in the 2022/23 plan as per the rolling programme and additional ICT reviews as a result of the annual consultation exercise and review of risk registers.</p>	Service Specific – Digital & Customer Services and IT Audits – Transformation and Future Council
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					<ul style="list-style-type: none"> <li>&gt;Live testing of the DR Plan, options being reviewed potentially in line with wider corporate business continuity exercise</li> <li>&gt;LrF Cyber exercise planned and revised SIRO training</li> <li>&gt;Comms. Issued to staff and members detailing impact of cyber attack at other councils.</li> <li>&gt;BullWall Software purchased to protect against malware attacks.</li> </ul>			<ul style="list-style-type: none"> <li>&gt;Member of Wales WARP &amp; CISP sharing knowledge of threats.</li> <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.	Medium	Medium	<b>Amber</b>	<b>Adam Hill / Craig Gimblett</b>	<ul style="list-style-type: none"> <li>&gt;Covid-19 – Prepare for further Covid-19 or other infectious disease outbreaks</li> <li>&gt;Rest Centre Plan and arrangements</li> <li>&gt;Additional dedicated PPE reserve for responders and public during evacuation and additional rest centre location for mass evacuation to be established from bay</li> <li>&gt;Additional strategic training to increase organisational resistance agreed for 3<sup>rd</sup> Nov</li> <li>&gt;Specific Covid Rest Centre arrangements developed and implemented complete with evac PPE and hygiene supplies</li> <li>&gt;Restructure of EMS to include additional EMS Officer and Principle for 12 months</li> <li>&gt;Review and update business continuity plans</li> <li>&gt;Crisis Media Plan</li> <li>&gt;Temporary Mortuary arrangements</li> <li>&gt;Major Incident Plan</li> <li>&gt;Flood Management Plan</li> <li>&gt;Emergency Recovery Plan</li> <li>&gt;Offsite Comah Plan &amp; Exercising</li> </ul>	<ul style="list-style-type: none"> <li>&gt;EMS Manager attends ECG for political and officer oversight and awareness.</li> <li>&gt;Daily sit rep of all key activity distributed to CMT, Leader and Deputies.</li> <li>&gt;CMT receives regular updates on key planning and agreement as required from EMS manager.</li> <li>&gt;EMS manager meets monthly with the portfolio holder for political oversight and visibility.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;EMS have been called to several Scrutiny panels, with none currently in the calendar.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Multi agency exercising and training</li> <li>&gt;Internal development/ training of new officers including newly created assistants post.</li> <li>&gt;Joint work programs and information sharing with Welsh Civil Contingencies managers and South Wales Resilience Team.</li> <li>&gt;Service Manager part of the National and Regional PSPG group and CONTEST Group with local PSPG arrangements in-place.</li> <li>&gt;EMS is embedded within the SWLRF at Executive, Strategic and Tactical levels</li> <li>BC plans in-place with each HoS.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Emerg. Mgt audit in Audit Plan for CBS.</li> <li>&gt;H&amp;S, Emerg. Planning / Civil Cont. and Business Continuity in Audit Plan for HR&amp;OD</li> </ul>			<ul style="list-style-type: none"> <li>&gt;Standard audits in the plan cover this area on rolling basis.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Audits in the plan to be completed when due as part of the standard rolling schedule.</li> <li>&gt;Emergency Planning and Business Continuity is included in the 2022/23 audit plan.</li> </ul>	Service Specific Audits – Communications / ICT / Council wide assurance
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					<ul style="list-style-type: none"> <li>&gt;Commissioned Emergency Control Centre</li> <li>&gt;Greater responsibility allocated to Deputy CEO from Oct 2018. Responsible officer changed from Phil Roberts to Adam Hill.</li> <li>&gt;Project Griffin training</li> <li>&gt;Call out &amp; activation protocols/ action cards</li> <li>&gt;RAG alert system across H&amp;S, Emergency Management</li> <li>&gt;Service and Corporate Business Impact Assessments and business continuity plans</li> <li>&gt;Continual review of plans &amp; protocols</li> <li>&gt;Vehicle mitigation &amp; protective security advice</li> <li>&gt;Risk Profiling</li> </ul>			<ul style="list-style-type: none"> <li>&gt;Plans and Action cards reviewed annually and EMS audited in 2019.</li> <li>&gt;Collaborative working with SWP on call out protocols in-place and reviewed.</li> <li>&gt;ACT App and free training promoted across Authority.</li> </ul>						
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<b>Risk ID</b> 236	If we fail to have robust Health & Safety policies and arrangements in place, then there could be a health and safety breach identified as a corporate failing with associated legal, financial and reputational consequences.	High	Low	Amber	Adam Hill / Craig Gimblett	<ul style="list-style-type: none"> <li>&gt;Covid-19 – Additional guidance on H&amp;S assessments and general Covid information as a priority</li> <li>&gt;Retrospective entered Covid assessments, standard operating procedures for schools and premises, BAME and health assessment process created and PPE guidance.</li> <li>&gt;Early review of lone working, DSE and mental health policies</li> <li>&gt;Well-being policies. New mental health policy under consultation includes social isolation and impact of home working</li> <li>&gt;Staff well-being part of future council stream of Covid recovery plan</li> <li>&gt;Stress management and counselling and H&amp;S advice to staff during Covid-19</li> <li>&gt;Review business continuity plan to prepare for EU exit</li> <li>&gt;H&amp;S toolkits</li> <li>&gt;Noise, dust, light, humidity, vibration sampling</li> <li>&gt;Riddor procedures for reportable incidents to HSE.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;H&amp;S Manager part of ECG, providing regular updates to group as required and presenting to CMT.</li> <li>&gt;H&amp;S Manager meets monthly with portfolio holder to provide briefing and political oversight and awareness.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;H&amp;S Manager has provided updates to numerous scrutiny panels, none currently in diary.</li> <li>&gt;Service has been fully audited internally in 2019.</li> </ul>	<ul style="list-style-type: none"> <li>&gt;Member of British Association of Counsellors and Psychotherapists (Bacp).</li> <li>&gt;Directors H&amp;S Committees &amp; Sub Safety Groups</li> <li>&gt;Increased accessibility to H&amp;S training via teams and online.</li> <li>&gt;Accidents statistics provided to all safety committees and groups.</li> <li>&gt;Policy development and review plan in-place under full consultation.</li> <li>&gt;Officer representation at trade union meetings.</li> <li>&gt;Additional resources placed in Occupational Health &amp; Stress Management and Counselling, with extension of</li> </ul>	>H&S Audit Plan			>Standard audits in the plan already cover this area.	>Audits in the plan to be completed when due as part of the standard rolling schedule due in 2022/23	Service Specific Audits – Communications / ICT / Council wide assurance
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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					
					Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
Council/Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

					<ul style="list-style-type: none"> <li>&gt;RAG alert system across H&amp;S, emergency mgt, well-being</li> <li>&gt;H&amp;S Policies</li> <li>&gt;H&amp;S mandatory training / e-learning</li> <li>&gt;RAG fire risk profiling for all premises</li> <li>&gt;Greater responsibility given to Deputy Chief Exec from Oct 2018.</li> </ul>			Psychological Support project until 31/03/22						
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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> 259	If the Council, along with its partners and Welsh Government, does not develop and improve regional working, then it will divert the Council and its resources from key priorities and will not benefit Swansea and its residents.	Medium	Medium	<b>Amber</b>	<b>Phil Roberts / Liz Edmonds</b>	<p>&gt;Covid-19 – Maintain stronger partnership working relationships post Covid-19 and as part of the Council's Covid-19 recovery plan and continue to make use of MS Teams to ensure regional meetings are more frequent and effective</p> <p>&gt;Collaboration on the delivery of school improvement services</p> <p>&gt;Playing a leading and proactive role in major regional collaborations</p> <p>&gt;Representations made to WG on reforming the grant regime</p> <p>&gt;Governance structures in place for all major collaborations</p> <p>&gt;Partnerships have been mapped</p> <p>&gt;Director leads for each partnership</p> <p>&gt;Senior Management restructure strengthening capacity for regional working</p>	<p>&gt;Council is playing a leading and proactive role in major regional collaborations.</p> <p>&gt;Leader of the Council is the City Region Joint Committee Chair.</p> <p>&gt;Council meets up regionally with 5 other local authorities to discuss collaboration projects.</p> <p>&gt;Annual Report on Regional Working presented to Council.</p>	<p>&gt;Scrutiny inquiry findings documented as required actions on the Risks Register.</p> <p>&gt;Annual Report on Regional Working is produced by Scrutiny providing overview of three key collaborations inc. ERW, West Glam. Regional Partnership (prev. Western Bay), and Swansea Bay City Deal.</p>	<p>&gt;Chief Executive takes the lead role for ERW and Western Bay as well as being an executive member of the City Deal Joint Committee. ERW has fully formed Governance Arrangements.</p> <p>&gt;City Deal has Joint Committee Agreement and joint scrutiny arrangements agreed by Council.</p> <p>&gt;Western Bay has a Joint Committee and scrutiny arrangements in place.</p>	<p>&gt;City Deal has a Joint Working Agreement in place, which was approved at Council on 26th July 2018.</p> <p>&gt;Review of progress by IPC on the Western Bay Health &amp; Social Care collab'n.</p>	<p>&gt;New audit area added as a result of the review of the Risk register from 2022/23</p>	<p>&gt;Internal audit review included in the 2022/23 audit plan.</p>	Cross Cutting Audits – Council Governance and Assurance
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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> 264	If we fail to carry on providing a co-ordinated and joined-up response to Covid-19 and make the best use of our workforce and available resources, then: we will be unable to protect vulnerable people and meet demand for key services, such as social care; there will be disruption to services and supplies, including food supplies; we will not be supporting critical services, key workers and local businesses sufficiently to limit the impact of the virus.	Very High	Low	Red	Adam Hill / Richard Rowlands	<p>&gt; Prepare And Implement A Covid-19 Recovery Plan To Restart, Adapt, Recover And Transform Council Services.</p> <p>&gt; Work With Partners To Provide Social Care And Other Critical Front-Line Staff With Ppe.</p> <p>&gt; Work With Partners To Ensure Resilient Supply Chains, Especially Food And Ppe Supply.</p> <p>&gt; Work With Partners To Redeploy Staff And Seek Recruits To Critical Areas, Such As Social Care And Food Distribution To Food Banks.</p> <p>&gt; Prepare For The Possibility Of Further Covid-19 Outbreaks.</p> <p>&gt; Provide Council-Led To Support To Local Businesses, E.G. Advice, Grants And Rate Relief.</p> <p>&gt; Work With Partners To Inform And Reassure The Public And Reinforce Health And Social Distancing Messages Through Social And Other Media.</p> <p>&gt; Work With Partners To Support Education Teams &amp; Schools And Provide Education /</p>	<p>&gt;Covid-19 Recovery and transformation Plan 'Achieving Better Together' approved At Cabinet.</p> <p>&gt;Various Cabinet reports through 2020/21 to support work to respond to the pandemic, e.g. Financial Procedure Rule 19.1c and FPR7. Authorisation for Alteration and Conversion of Bay Studios, Fabian Way, Swansea into an 1000 Bed Surge Hospital on Behalf of the Swansea Bay University Health Board – See Cabinet 27/04/20.</p>	<p>&gt;Scrutiny has kept a watching brief. SPC to review local position and progress with Recovery Plan.</p>	<p>&gt;Covid-19 Recovery and transformation Plan 'Achieving Better Together' reviewed by Audit Committee.</p> <p>&gt;Audit Committee quarterly overview of risk management, including Corporate Risks.</p> <p>&gt;Audit Committee oversight of relevant reports and impact of Covid-19, e.g. See Audit Committee review of Revenue and Capital Budget Monitoring - 2nd Quarter on 09/02/21, including Welsh Government funding and Covid-19 grant payments made to local businesses</p>	<p>&gt;Matters arising addressed in some Internal Audit work, e.g. See report to Audit Committee 09/02/21</p> <p>Internal Audit Annual Plan 2020/21 - Monitoring Report for the Period 1 October 2020 to 31 December 2021 – detailing additional work done in the quarter, including Lloyds pre-paid card review in relation to the Covid-19 Foodbank setup and operation.</p>	<p>&gt;Report providing an assessment of the key issues following the Covid-19 response with a particular focus on how we have collectively managed Care Home settings reviewed at the Regional Partnership Board.</p>	<p>&gt;Audit Wales has shaped their work to provide assurance and challenge in a way which helps to support the Council through this period. 2020-21 work includes:</p> <ul style="list-style-type: none"> <li>• recovery planning in response to the COVID-19 pandemic;</li> <li>• COVID-learning project – helping to identify and share learning from the way in which public bodies have responded to the pandemic;</li> </ul>	<p>&gt;Achieving Better Together (Recovery) completed in 2021/22 plan.</p>	<p>&gt;ABT Transformation audit is included on the 22/23 audit plan.</p>	Cross Cutting Audits – Council Governance and Assurance
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Council/Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

<b>Risk ID</b> 269	If the local economy and infrastructure is not transformed and supported to be resilient and to take advantage of national and global trends and events and attract 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 the well-being of Swansea citizen.	High	High	Red	Martin Nicholls / Phillip Holmes	<ul style="list-style-type: none"> <li>&gt; Refresh Regional Economic Regeneration Strategy</li> <li>&gt; Develop A Covid Economic Recovery Plan</li> <li>&gt; Attract Sufficient Investment And Development And Regenerate The City Centre.</li> <li>&gt; Work With Partners To Deliver The Swansea Bay City Deal And Attract Investment Across The Region To Deliver Highly Skilled And Well-Paid Jobs.</li> <li>&gt; Organise And Facilitate Virtual Meet-The-Buyer Events To Help Local Businesses To Identify Opportunities To Bid For Council Work And Contracts.</li> <li>&gt; Take Appropriate Actions Where The Council Has A Direct Relationship With Businesses Such As Swansea Indoor Market Traders With Rent Relief To Support Businesses During Covid-19.</li> <li>&gt; Provide Business Advice And Support, Including Administering Uk And Welsh Government Business Grants And Funds, To Assist</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Cabinet considered economic recovery plan</li> <li>&gt;Cabinet considered FPR7 where appropriate</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Regular scrutiny undertaken on post Covid economic recovery and specifically on phase 1 arena/digital district project</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Regional directors and regional transport forum improved regional and joint working as a precursor to the formation of the CJC</li> <li>&gt; Deliver Covid Economic Recovery Plan in collaboration with Regeneration Swansea partners.</li> <li>&gt;City Deal Regional Scrutiny Panel overview of progress on Swansea Waterfront City project</li> <li>&gt;Reporting of programme outputs to funding bodies, WG, WEFO HLF etc.</li> </ul>	>Collaborate With Welsh Government On Regional Economic Framework	>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 22/23 audit plan > Added review of City Deal and Swansea Central Phase 1 for 2022/23	Service Specific Audits – Planning & City Regeneration
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Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

<b>Risk ID</b> 274	If rates of Covid infection & transmission continue to rise whilst we try to deal with backlogs of planned, previously delayed, health and care and we continue to lose staff from the health and care sector then demand for all forms of personal care is likely to exceed our capacity and resilience to be able to directly provide or commission that care	High	High	Red	David Howes / Angela Morgan	> Additional Agency Worker Support Is Being Procured To Address Backlogs In Adult Assessment And Reviews. This Extra Support Will Be In Place Until April 2021 And Then Review. > Emergency Care Home Support Arrangements Have Been Established Through Which Local Authority And Primary And Community Health Staff Provide Direct Support To Care Homes Where Staffing Difficulties In Those Homes Cause A Risk Of Service Failure. Use Of These Emergency Support Staff Are Monitored At The Weekly Regional Community Silver Emergency Planning Meeting. These Arrangements Will Remain In Place Until February 2022 And Then Subject To Review > Additional Workforce Support Arrangements Have Been Established Through Utilising Dedicated Corporate Hr And Occupational Health Resource To Help Manage	Monitored via ECG on a weekly basis	Dedicated social services scrutiny performance panels	regional partnership board oversight		CIW inspection of both regulated care services and LA statutory functions	n/a	n/a	n/a
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<b>Risk ID</b> 276	If the Council does not deliver the actions and milestones in the recovery plan, then there is a risk the organisation will not move on effectively from the effects of the pandemic. This is important as it forms the foundations for the next transformation programme	Low	Low	Amber	Adam Hill / Marilyn Dickson	> Monitoring capacity. Capacity Is A Significant Risk Across The Council With Staff Working On Ttp, Some Staff Still Diverted Onto Urgent Covid Tasks, Staff Off Sick With Covid Or Self-Isolating, And The General Pressure Of Business As Usual Alongside The Continuing Pandemic. Delivery Of The Recovery Plan Must Be Viewed In This Context And Any Risks Or Issues Flagged By Workstream Leads. Overall Programme Management Capacity Is Required. A Post Has Now Been Created And Recruited Will Begin Shortly > Robust governance and recovery plan monitoring and reporting. Governance Established For The Recovery Plan Utilising Existing Groups And Boards. Reporting Monitoring In Place With Workstream Leads.	>Recovery and transformation Plan 'Achieving Better Together' approved at Cabinet, October 2020. >Cabinet members aligned to working groups and the Board and steering group are chaired by the Leader and deputy leader respectively.	> Recovery and transformation Plan 'Achieving Better Together' reviewed by Scrutiny Programme committee. (During 2021 reviews took place in March & October).	> Recovery and transformation Plan 'Achieving Better Together' reviewed by Audit Committee. > Recovery, reshaping and Budget Strategy Board established to oversee the work of the Organisational Cross Cutting and Transformation Steering group. > PDC supporting the development of polices and monitoring progress of the workstreams. >CMT receive regular updates and monitor progress of the actions and work of the3 groups.	>Assurance Is Provided From Internal Audit >Recovery and transformation Plan 'Achieving Better Together' reviewed by Governance & Audit Committee (During 2021 reviews took place in Feb & November > Internal audit review undertaken in August 2021- High Assurance rating given. Recovery Element only – transformation deferred to 22/23	> Liaise with the WLGA Councils Service Transformation Network and other Local Authorities	> Assurance Is Provided From External Audit > WAO review 'Springing Forward' to examine how councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key Stakeholders and communities (focus on Assets & Workforce) ¼ 4 2021 > ¼ 1 2022. > WAO 'Coming Out' review will seek to provide both assurance and insight into how Council staff might work together in the 'post	> Audit added to plan for 2021/22. Recovery element completed in 2021/22 transformation element deferred to 22/23	>To be included as part of the Achieving better Together (trans) audit to include savings delivery and workforce strategy elements in the audit plan for 2022/23	Cross Cutting Audits – Council Governance and Assurance
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Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

<b>Risk ID</b> 282	If we dont monitor, gather and share intelligence on the period following the end of EU transition via the post-Brexit Steering Group and WLGA, then we may not be fully prepared to mitigate emerging risks or take advantage of new opportunities.	Very Low	Very Low	<b>Green</b>	<b>Adam Hill / Richard Rowlands</b>	> The Council Has Established An Internal Post-Brexit And Covid Recovery Steering Group (With Representatives From Across The Council) And Attends The Wlga Eu Co-Ordinators Group To Review And Monitor The Local Impact Following The End Of The Eu Transition Period And To Identify And Respond To Any Risks And Opportunities Arising.	See risk 276 - Achieving Better Together – Recovery  See risk 277 - Achieving Better Together – Transformation	See risk 276 - Achieving Better Together – Recovery  See risk 277 - Achieving Better Together – Transformation	See risk 276 - Achieving Better Together – Recovery  See risk 277 - Achieving Better Together – Transformation	See risk 276 - Achieving Better Together – Recovery  See risk 277 - Achieving Better Together – Transformation	See risk 276 - Achieving Better Together – Recovery  See risk 277 - Achieving Better Together – Transformation	See risk 276 - Achieving Better Together – Recovery  See risk 277 - Achieving Better Together – Transformation	n/a	n/a	n/a
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<b>Risk ID</b> 289	If the council does not put robust arrangements in place to protect its limited resources and assets from fraud and corruption, then it will remove resources from the council so that they are not put to best use to support those with the greatest need and will cause untold social harm to individuals and communities.	High	Low	Amber	Ben Smith / Simon Cockings	<p>&gt; Detailed Policies And Procedures In Place For Staff To Follow To Reduce The Likelihood And Opportunity Of Fraudulent Activity. Include Financial Procedure Rules, Contract Procedure Rules And Procurement Guidelines. These Are Reviewed Annually And Staff Are Reminded Of The Existence Of The Policies And Procedures Every Six Months.</p> <p>&gt; The Annual Counter Fraud Plan Is Presented And Approved By Cmt And The Audit And Governance Committee On An Annual Basis. This Helps To Ensure Fraud Risks Are Identified And Highlighted And Ensures Resources Are Targeted To Key Areas To Limit The Possible Risk Of Fraud.</p> <p>&gt;The Corporate Management Team And The Governance And Audit Committee Receive An Annual Report</p>			<p>&gt;The Annual Counter Fraud Plan Is Presented And Approved By The Audit And Governance Committee On An Annual Basis.</p> <p>&gt; The Governance And Audit Committee Receive An Annual Report And A Mid-Year Update Report Outlining The Work Undertaken By The CFF To Raise Awareness and To Report Progress This Assists In Increasing Fraud</p> <p>&gt; Governance And Audit Committee Review And Assess The Risk Management, Internal Control And Corporate Governance Arrangements Of The Authority As</p>	<p>&gt;Independent Assurance Is Provided From Internal And External Audit On The Effectiveness Of Governance, Risk Management And Internal Control On An Annual Basis Via The Chief Auditor's Annual Report And Opinion, The Annual Governance Statement And The Annual IsA 260 Report From The Council's External Auditors. The Existence Of A Strong And Effective Governance, Risk Management And</p>	<p>&gt;Ongoing fraud related work based within the audit team</p>	<p>&gt;Ongoing fraud detection and prevention work via the CFT within internal audit.</p>	n/a
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Council/Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

					<p>And A Mid-Year Update Report Outlining The Work Undertaken By The Corporate Fraud Function During The Period To Raise Awareness. To Report Progress Against The Plan And How Many Outcomes Have Been Met/Not Met. This Assists In Increasing Fraud Awareness Across The Organisation And Also Highlights Key Risk Areas In Order To Deter And Reduce The Risk Of Further Fraudulent Activity &gt;The CFF Act As The Hub For The Receipt Of Intelligence And Alerts From The National Anti-Fraud Network And Other Organisations Actions Are Taken And Information Is Circulated To Key Officers And Stakeholders To Raise Awareness Of The Risk Of Potential Fraudulent Activity Against The Council. This Helps To Raise Awareness Of Current And Emerging Fraud Risks That May Be Faced By The Council</p>			<p>Part Of The Committee's Annual Work Programme Which Includes Quarterly Monitoring Reports From The Chief Internal Auditor, The Strategic Delivery And Performance Manager And Annual Reports From The Corporate Directors. The Committee Also Reviews And Assesses These Areas When Reviewing The Annual Governance Statement Each Year. The Existence Of A Strong And Effective Governance, Risk Management And Internal Control Framework Provides Assurance That There Are Suitable Controls And</p>	<p>And Effective Governance, Risk Management And Internal Control Framework Provides Assurance That There Are Suitable Controls And Procedures In Place To Reduce The Possibility Of Fraudulent Activity &gt;The Council Has Contributed To The Review Of Counter-Fraud Arrangements In Public Sector Bodies Across Wales Undertaken By Audit Wales. In Response To This Review The Council Has Compiled An Action Plan To Implement The Improvements Suggested</p>			
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Council/Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

					<p>And So Reduces The Risk Of The Authority Being Subject To Fraudulent Attack</p> <p>&gt;The Council Has A Dedicated Team Of Professionally Trained And Experienced Corporate Fraud Investigators To Prevent, Deter And Detect Fraudulent Activity And To Ensure Any Allegations Of Fraud And Corruption Are Effectively Investigated. The Existence And Work Of The Corporate Fraud Team Is Publicised At Least Twice A Year As A Deterrent To Fraudulent Activity.</p> <p>&gt;Annual Review Of All Relevant Policies And Procedures To Ensure They Remain Fit For Purpose In Helping To Prevent And Detect Fraud And Corruption E.G. The Anti-Fraud And Corruption Policy, Anti-Money Laundering Policy, Whistleblowing Policy, Disciplinary Policy And The Code Of Conduct.</p> <p>&gt;The Council Communicates A Zero Tolerance Approach To Fraud, Bribery And</p>			<p>Procedures In Place Across The Council To Reduce The Possibility Of Fraudulent Activity.</p>	<p>Matching Across A Broad Range Of Council Data In Order To Detect And Prevent Fraudulent Activity.</p>		<p>By The Review To Further Strengthen Counter-Fraud Arrangements. The Action Plan Is Currently Being Implemented.</p>		
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Council/Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

<b>Risk ID</b> 296	If the supply of construction materials continue to be delayed, and in short supply, then this will impact negatively on the cost and programme for the delivery of capital programme projects.	Very High	High	Red	Martin Nicholls / Rachel Lewis	<ul style="list-style-type: none"> <li>&gt; Discuss &amp; Monitor The Situation With The Various Project Teams Monthly And Escalate As Required. This Is Done Via A Monthly Cross Cutting Tracker Discussed At Dmt.</li> <li>&gt; Increasing Our Stock Levels When Materials Become Available. This Is Monitored Via Regular Programme Meetings As Required For Scheme Delivery And In Conjunction With The Procurement Team And Suppliers Considering Alternatives Where Possible.</li> <li>&gt; Regular Liaison With The Dedicated Procurement Team Helps Reduce The Risks.</li> <li>&gt; Teams Continue Working Closely With Suppliers To Mitigate Risk Of Non Delivery</li> </ul>							>N/a audit advised issue likely to dissipate in 22/23	n/a	n/a
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Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

<b>Risk ID</b> 306	If the current instability and poor performance of the All Wales Community Care Information System is not rectified then backlogs in the recording of client contacts, assessments, case recording and plans for all individuals receiving intervention from Swansea Social Services will accrue, increasing further current pressures on frontline staff, severely limiting performance management and reporting capability and potentially compromising safe service delivery.	High	High	Red	David Howes / Angela Morgan	> Additional Business Support Mobilised To Assist Frontline Staff With Catching Up On Backlogs. Backlogs Created By The Lack Of Access To The System Are Monitored On A Twice Weekly Basis At A Wccis Meeting. >Manual Workarounds Have Been Implemented To Manage The Recording Of Assessments, Case Recordings And Plans When All Other Services Have Restricted Access To The System. The Need To Maintain These Manual Systems Is Monitored On A Monthly Basis At P&Fm > Usual Performance Monitoring Arrangements Have Been Suspended And Manual Systems To Monitor A Smaller Number Of Key Performance Measures Put In Place. These Key Performance Measures Continue To Be Monitored On A Monthly Basis In P&Fm And Every 6 Weeks By Scrutiny	> Key Performance Measures Continue To Be Monitored On A Monthly Basis In P&Fm And Every 6 Weeks By Scrutiny Performance Committee.	> The National Team Are Working Closely With The Software Provider And Microsoft To Implement Fixes To Stabilise The System (This Is Outside Of The Control Of The Council). The Council Have Escalated Concerns About The Effectiveness Of The National Team And The Software Provider To Facilitate A Stable National System. The Impact Of Ongoing System Instability Is Monitored At A Twice Weekly Meeting Wccis Meeting And The Council's Lead Director For Digital Services Attends Weekly				>New system audit added to the audit plan from 22/23	>WCCIS initial audit review included on the 22/23 audit plan.	Service Specific Audits – Adult Services
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					Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
Council/Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

					<p>Performance Committee.            &gt; During Periods Of System Instability Where The Number Of Users Needs To Be Reduced, Priority Access Is Maintained For Critical Users And In Particular The Teams That Are Managing New Referrals In Children And Adult Services. The Effectiveness Of These Arrangements Are Monitored On A Twice Weekly Basis At A Wccis Meeting</p>			National Governance Meetings.						
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