

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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Risk ID 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.	High	Medium	Red	Helen Morgan-Rees / Rhodri Jones	> External regulation Estyn framework supports the definition of good quality education in schools and supports the mitigation of a bad education where too many barriers to learning remain in place. > Termly monitoring and evaluation helps to mitigate against a narrow curriculum, poor quality teaching and weak school leadership. Termly reports are quality assured by the principal school improvement adviser. School improvement advisers support and challenge schools to ensure learners' potential is maximised. Progress on each school's priorities to improve outcomes for learners is examined thoroughly as well as the school's evaluation of its own performance. Where schools' capacity to self-improve (without intervention) is compromised, more intense support packages are agreed with precise action plans. The statutory function of monitoring	>Positive engagement and support from Cabinet and Council. > Recovery plan during pandemic has been sufficiently addressed. >Two policy areas to improve school attendance and strengthen school leadership are in place via Corporate Delivery Committee. Cabinet Member is regularly appraised of schools causing concern.	>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. Scrutiny committee is supplied with the most recent inspection outcomes.	Additional Learning Needs Board receives delivery highlight report of transformational plan. >PSOs/ Accountancy provide support and oversight of school finance. Attendance and exclusion analysis and reports support targeted intervention. Key strategies in place to support school leadership, curriculum collaboration and vocational provision.	>Various Edu. Audits in the Audit Plan. >ESTYN reports review during school audits for finance / mgt. control.	>ESTYN prog.of external school inspection fully re-commenced. >Local authority link inspectors have conducted termly meetings since the inspection of local government education services when high level of assurance was provided for standards and outcomes in Swansea schools.	>Audit Wales & CIW. > HSE audit of schools as Covid safe environments to allow education to continue. >Welsh government returns, for example. Accelerated learning programme.	>Range of Education audits in the plan to be completed as part of the rolling audit schedule. >Thematic reviews included as discussed with the Director of Education.	>School and other Education / thematic audits due in 2023/24 and beyond	Service Specific - Education – Improving Education and Skills
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Risk ID 153	If our safeguarding arrangements are not sufficiently robust (particularly with regards being able to fund, recruit and retain sufficient qualified social workers; ensure placement sufficiency for looked after children and be able to provide or commission sufficient social care for adults with assessed care and support needs), then we will not be doing everything we possibly can to prevent the death, injury or neglect of a child or vulnerable adult and consequential reputational damage.	High	High	Red	David Howes / Angela Morgan	>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 >Monitor the effectiveness of safeguarding arrangements bi-monthly at the childrens and adults performance scrutiny panels, the corporate safeguarding board and the regional safeguarding board, quarterly at CMT and monthly at PFM and take appropriate remedial action >Invest in the Council's direct care provision services to maximise capacity and reduce reliance on independently commissioned care services for adults (within the Council's overall available financial resources) >Implement new models for the commissioning local	>Directors annual report to Council >Fortnightly meetings with Cabinet Members	>Two dedicated Scrutiny Panels in place to scrutinise Social Services Work and Performance >Safeguarding and tackling poverty corporate development committee >Bi monthly performance reporting to CMT >Monthly p&fm	> Corporate transformation board oversight >Corporate Safeguarding Board >Local authority designated officers for safeguarding within Social Services. >Mandatory Corporate Safeguarding Training in place for Staff and Members. >Corporate Priority plan >Corporate Safeguarding Policy	> Internal Audit of Safeguarding >Internal audit of DBS	>Regional safeguarding board > CIW inspection regime >Regional partnership board	>Audit Wales	>Currently included as part of standard rolling audit schedule, repeated based on audit risk score.	>Safeguarding cross cutting audit is included in the 22/23 audit plan	Cross Cutting – Council Governance and Control – Safeguarding People from Harm
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Risk ID 159	If we fail to deliver Sustainable Swansea and maintain sufficient 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 price pressures and changing public expectations.	Very High	Very High	Red	Ben Smith / Jeff Dong	<p>>As part of the quarterly Revenue and Capital Budget Monitoring Reports to Cabinet, continue to monitor and report on slippage in Capital schemes and the effects on Capital schemes of price inflation affecting supplies and materials, including mitigating actions such as agreeing cost increases through FPR7 procedures</p> <p>>Covid disruption</p> <p>>COVID-19 Recovery Plan: Future Council - Finance - New MTFP. Linkages with Achieving better Together</p> <p>Can be refreshed after CSR 2021.</p> <p>Do expect multi year settlement from Welsh Government a possibility which will aid medium term certainty</p> <p>>Identify uncontainable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet.</p> <p>>Compliance within Financial Procedure rules so that spend</p>	<p>>Quarterly monitoring reports to Council and Cabinet</p> <p>>Collaborative Officer/ Member budget setting process in place.</p> <p>>Overspend and under delivery of savings openly and transparently escalated and reported to Cabinet and Council by S151 Officer.</p>	<p>>Dedicated Scrutiny Service Improvement and Finance Performance Panel consider and scrutinise the budget on a quarterly basis.</p>	<p>>Quarterly monitoring reports to Audit Committee</p> <p>>Monthly PFM monitoring in place.</p> <p>Transform & Future Council PDC.</p> <p>> Many controls continue to be exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums.</p> <p>>Budget holders required to monitor and report any budget variances to monthly P&FM for review.</p> <p>>Reshaping Board launched to challenge delivery/ non-delivery and accelerate timescales.</p>	<p>>Audit Committee provide challenge, oversight and assurance</p> <p>>Periodic budget monitoring reports go to Audit Committee</p> <p>>Budget reports included in the 2022/23 workplan for Audit Committee</p>	<p>>WAO review currently underway in relation to the MTFP aspects of Sustain. Swansea.</p> <p>>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>>Risks in current year managed temporarily by drawing down from those increased reserves.</p>	<p>>Saving and other budget mgt to be included as part of the Achieving Better Together (trans) audit 23/24</p> <p>>Fundamental audits included in the plan as due in 2023/24</p>	Service Specific / Fundamental Audits - Section 151 Officer Assurance
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Risk ID 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	Red	Sarah Lackenby / Jo Harley	<ul style="list-style-type: none"> >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 >Communication to users to keep up awareness >New tools from Microsoft being reviewed to provide phishing test as part of continued vigilance and education to users on cyber security >DR test training completed for Digital Services team. Simulated test of a cyber attack. Training to be provided to HoS and CMT >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 >Introduce simulated cyber-attacks on staff to measure their actions, identify weaknesses and improve knowledge 		>More use of secure cloud storage.	<ul style="list-style-type: none"> >Member of 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 > Cyber Essentials and Cyber Essentials Plus accreditation >New regional multi-agency cyber cell meetings being attended to share intelligence and actions >PSN Certification Achieved >Cyber essential accreditation achieved 	<ul style="list-style-type: none"> >Various IT / System audits in Audit Plan. >GDPR audit added 18/19. 	<ul style="list-style-type: none"> >Public Services Network (PSN) compliance certificate – tested annually. >Achieved IASME Cyber Essentials certification, working towards Cyber Essentials Plus by March 2019 	<ul style="list-style-type: none"> >WAO review undertake an IT audit each year as part of reviewing financial accounts 	<ul style="list-style-type: none"> >Range of IT audits in the plan to be completed as part of the rolling audit schedule. 	<ul style="list-style-type: none"> >IT audits included in the 2023/24 plan as per the rolling programme 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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					<p>>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>>Cyber security during Covid-19 reviewed alongside advice from Warp and PSN compliance e.g. use of Zoom.</p> <p>>Cyber security strategy created and ready for engagement with staff</p> <p>>Digital services working with internal audit and emergency planning to further improve the ICT disaster recovery plan</p> <p>>Live testing of the DR Plan, options being reviewed potentially in line with wider corporate business continuity exercise</p> <p>>LrF Cyber exercise planned and revised SIRO training</p> <p>>Comms. Issued to staff and members detailing impact of cyber attack at other councils.</p> <p>>BullWall Software purchased to protect against malware attacks.</p>			<p>>Member of Wales WARP & CISP sharing knowledge of threats.</p> <p>>Discussed at IG Board – standing agenda item</p>						
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Risk ID 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	Amber	Ness Young / Craig Gimblett	<p>>Continue to plan for and respond to emergencies as a Category 1 responder under the Civil Contingencies Act, as follows:</p> <ul style="list-style-type: none"> > Train staff at Operational, Tactical and Strategic Level via the South Wales Local Resilience Forum > Review each year and exercise every 3 years a Major incident Plan, unless activated or significant change such as a change in statute require earlier change >Maintain and review on an annual basis all subordinate plans, including Mass Fatalities, Flood, Offsite COMAH Plan, Rest Centre Plan. with exercising as appropriate >Manage a duty officer rota to effectively respond to emergencies available 24 hours per day, 365 days per year > Annually review all identified risks within the borders of Swansea Council to ensure control measures 	<p>>EMS Manager briefs leader/cabinet as required.</p> <ul style="list-style-type: none"> .>CMT receives regular updates on key planning and agreement as required from EMS manager. >EMS manager meets monthly with the portfolio holder for political oversight and visibility. EMS Manager represents Swansea Council at Strategic level within SWLRF and Pan Wales Forums. 	<p>>EMS have been called to several Scrutiny panels, with none currently in the calendar.</p>	<p>>Multi agency exercising and training</p> <ul style="list-style-type: none"> >Internal development/ training of new officers including newly created assistants post. >Joint work programs and information sharing with Welsh Civil Contingencies managers and South Wales Resilience Team. >Service Manager part of the National and Regional PSPG group and CONTEST Group with local PSPG arrangements in-place. >EMS is embedded within the SWLRF at Executive, Strategic and Tactical levels BC plans in-place with each HoS. 	<p>>EMS were audited in Nov 22 with an outcome of High assurance rating.</p>	<p>>EMS have been part of the consultation group for Welsh Governments Civil Contingencies review this will lead to independent external audit of Civil Contingencies when final structures are established in 2023.</p> <ul style="list-style-type: none"> > The Protect Act, which places responsibility for CT planning based on organisational risk, as part of this a new Regulator will be appointed to enforce compliance/breaches and audit 	<p>>Independent external Audits will be conducted through Welsh Government and the new regulator appointed to enforce the Protect Duty in 2023/24 to establish maturity and mitigation.</p>	<p>>Standard audits in the plan cover this area on rolling basis.</p>	<p>>Audits in the plan to be completed in as part of the rolling programme include disaster recovery & Business Continuity, Emergency Planning & Business Continuity</p>	Service Specific Audits – Communications / ICT / Council wide assurance
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					<p>remain relevant and proportionate.</p> <ul style="list-style-type: none"> > . Redistributed to all Heads of Service and review each year the Council's Corporate Business Continuity policy and guidance to ensure business continuity plans are robust and reviewed annually. >Review each year for all significant risks the Emergency Management Service (EMS) guidance, procedures and action cards. >The EMS acts as the conduit for security and counter terrorism information from the Welsh Extremism & Counter Terrorism Unit, disseminating information to key internal and external partners as required. > EMS maintains a fully stocked Incident Response Vehicle, to protect/support the public during an emergency. <p>A Swansea Risk Group with Partner Agencies has been established.</p> <p>Plans are in-place for further Covid-19 or other infectious disease outbreaks</p>			<ul style="list-style-type: none"> >Plans and Action cards reviewed annually and EMS audited in 2022. >Collaborative working with SWP on call out protocols in-place and reviewed. >ACT App and free training promoted across Authority. Local Partner CT comms strategy and alerts system established. 		arrangements.			
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Risk ID 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 consequence.	High	Low	Amber	Ness Young / Craig Gimblett	<p>>Maintain the Corporate Health & Safety Policies, which clearly identifies the Health & safety responsibilities of every level of employee, and review (including subordinate policies) every 3 years or if significant change occurs, such as a change in statute, leader, CX or statute changes.</p> <p>> Provide the Corporate Health & Safety Policy to all staff during induction and provide mandatory Health & Safety training framework for all employees.</p> <p>>Continue Bi-annual Health & Safety Committee meetings chaired by each Director and made up of employee and management representatives and trade unions, supported by competent H&S Officers who provide statistical reports, advice and any updates from the Health & Safety Executive.</p> <p>>Continue to undertake an annual program of Health &</p>	<p>>H&S Manager provides regular updates, reports, presentations, and statistics. to CMT.</p> <p>>H&S Manager meets monthly with portfolio holder to provide briefing and political oversight and awareness.</p> <p>>Accident Statistics and investigations finding provided to all H&S Committees' and sub groups.</p>	<p>>H&S Manager has provided updates to numerous scrutiny panels, none currently in diary.</p> <p>>Service has been fully audited internally in 2019.</p>	<p>>Member of British Association of Counsellors and Psychotherapists (Bacp).</p> <p>>Directors H&S Committees & Sub Safety Groups</p> <p>>Increased accessibility to H&S training via teams and online.</p> <p>>Policy development and review plan in-place under full consultation.</p> <p>>Officer representation at trade union meetings.</p> <p>>Additional resources placed in Occupational Health (31/03/230 & Stress Management and Counselling, with extension of Psychological Support project until 31/03/23</p>	<p>>H&S Audit Plan</p>	<p>> H&S Manager represents Swansea on a Pan Wales/regional basis as part of the Managers forum to share best practise and coproduce where appropriate.</p>	<p>>Standard audits in the plan already cover this area.</p>	<p>>Health, Safety & Wellbeing audit completed in 22/23 on the rolling programme</p>	Service Specific Audits – Communications / ICT / Council wide assurance
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					<p>Safety and Fire Safety Management audits and inspections across all service areas to maintain and improve arrangements and compliance with policy and ensure that agreed improvement plans are put in-place and monitored by the Principal H&S Officer through monthly 1-2-1's for completion.</p> <p>>Continue to ensure that there is appropriate H&S training and administer Corporate H&S training records and qualification refresher recalls and issue compliance reports to services on a bi-annual basis monitored by the Senior H&S Training Officer.</p> <p>>Continue to investigate more significant accidents falling under the remit of the RIDDOR regulations and provide a management report to prevent re-occurrence, ensure legal compliance and an improvement of</p>			<p>> New CORITY OH management software management package due for implementation March 2023.</p> <p>> SEQOHS accreditation submission and assessment due March 2023.</p> <p>> Application for evaluation for Welsh Government Gold Corporate Health Standard October 2023.</p>						
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Risk ID 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.	Medium	Medium	Amber	Mark Wade / Phillip Holmes	<ul style="list-style-type: none"> >Organise and facilitate virtual Meet-the-Buyer events to help local businesses at key milestones to identify opportunities to bid for Council work and contracts that will help retain spend locally, creating a multiplier effect. Frequency and timing to be coordinated with contractor according to build programme. >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. > Refresh Regional Economic Regeneration Strategy > Develop A Covid Economic Recovery Plan > Attract Sufficient Investment And Development And Regenerate The City Centre. > Work With Partners To Deliver The Swansea Bay City Deal And Attract 	<ul style="list-style-type: none"> > Cabinet considered economic recovery plan >Cabinet considered FPR7 where appropriate >Quarterly PI reporting via DART. 	<ul style="list-style-type: none"> > Regular scrutiny undertaken on post Covid economic recovery and specifically on phase 1 arena/digital district project >Regeneration Dashboard regularly reported to Scrutiny 	<ul style="list-style-type: none"> > 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. >City Deal Regional Scrutiny Panel overview of progress on Swansea Waterfront City project >Reporting of programme outputs to funding bodies, WG, WEFO HLF etc. 	<ul style="list-style-type: none"> >Collaborate With Welsh Government On Regional Economic Framework >Gateway Review for City Deal projects undertaken by independent panel >Independent evaluation undertaken of Kingsway project. 	<ul style="list-style-type: none"> >Number of Regen and Planning audits included on the audit plan to be completed on a rolling basis. 	<ul style="list-style-type: none"> > Regen and Planning audits included on the 23/24 audit plan > Added review of City Deal and Swansea Central Phase 1 for 2023/24 	Service Specific Audits – Planning & City Regeneration / Transformation & Infrastructure
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Risk ID 290	If there is increased demand on Council services due to an increased number of residents experiencing the impact of poverty due to the pandemic and cost of living pressures. Then the impact includes increased debt, reduction in household income and negative impact on health and well-being.	Medium	Medium	Amber	Amy Hawkins / Diane Rowden	>Directly support people through Local Area Co-ordination to access the support they require in a place and time that meets their needs, to address the impacts of poverty and its effects on their health and well-being > Support people to gain employment through referrals into mentoring and development of employability skills as part of an agreed personal development plan, to improve the number of people increasing their household income through employment. > Provide weekly access to Welfare Rights Advice helpline for frontline social care staff to improve their knowledge on benefit entitlements and directly apply this to the people they support in order to increase take-up of benefits. > Provide targeted advice on financial inclusion to people who are struggling with accessing the support to manage their debts, to address	>Cabinet Member briefings, Cabinet reports where applicable	>Part of annual scrutiny programme looking at the corporate priority of Tackling Poverty >Part of Adult Services Performance Scrutiny quarterly performance reports	>Reports to CMT on progress and actions required, >Reports to Audit Committee following WAO report on Tackling Poverty and associated action plan. >Included in the corporate Transformation Plan projects focused on Tackling Poverty and Enabling Communities, reports via Transformation Board >Internal cross directorate Poverty Forum		>Part of Poverty Partnership Forum, multi-agency forum.	>WAO reviews (x3) on the challenges of alleviating and tackling poverty.	>Standard rolling audit schedule, repeated based on audit risk score.	>Audits included in the 'Poverty' area of the audit plan as a result of consultation to be completed in rotation.	Service Specific Audits – Commissioning & Tackling Poverty Safeguarding & Poverty
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Risk ID 309	If the impact of the ongoing COVID response and subsequent volume of COVID recovery activities continue to pressure business as usual work across both services and the Council's external suppliers, then there is a risk the Oracle Fusion project will continue to experience delays that could impact the go live date of April 2023 and increase cost for the Council.	High	Low	Amber	Sarah Lackenby / Jo Harley	<ul style="list-style-type: none"> > Appointment of Interim Director of Corporate Services as sponsor and chair of Steering Board >Weekly monitoring by project team and SRO >Weekly progress reports to and update meetings with sponsor, SRO & project manager > Executive Steering Board meet fortnightly and escalated to CMT/Cabinet where appropriate > Heads of Service added to the Executive Steering Board >Heads of Service monitoring capacity and remedial actions plans put in place where appropriate > Daily monitoring by the implementation Team of the programme risk register with red risks and issues escalated to the Design Authority and Executive Steering Board fortnightly > CMT updated weekly by the Sponsor 	<ul style="list-style-type: none"> > The Leader and Deputy Leader updated weekly >Reports to Cabinet where significant change required, e.g. October 2022 	<ul style="list-style-type: none"> >Pre-decision Scrutiny, e.g. Oracle Project Investment Update report presented to Scrutiny 18/10/22. 	Oracle project audit is scheduled on the Audit Plan for 2023-24			Audit Wales audit of controls as part of statement of accounts. Significant review once the new system is live	Oracle project audit in 2023-24	Cross Cutting Audits – Section 151 Assurance / Council Governance & Control
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Risk ID 333	If the council does have a robust and deliverable Corporate Transformation Plan it will struggle to make the significant changes needed to its operating model, technology, process and service delivery to respond effectively to the external challenges it is facing.	High	Low	Amber	Ness Young / Ness Young	>Corporate Transformation Plan to be developed, articulating specific projects and programmes and governance, to be presented to Cabinet for approval > Workforce and Organisational Development Programme(s), supported by business cases, to be developed to implement the Council's Workforce Strategy as a key programme(s) in the Corporate Transformation Plan > Digital Transformation Programme, supported by a business case, to be developed to implement the Council's Digital Strategy as a key programme in the Corporate Transformation Plan > Directors to identify key strategic change projects / programmes that should form part of the Corporate Transformation Plan. All programmes within the plan will have formal governance arrangements in place	>Transformation on Delivery Board established, Chaired by the Deputy Leader for Transformation. All Directors are members. Audit Wales observers on Board. Formal terms of reference in place. >Transformation on Delivery Board meets quarterly and reports at least three times a year to Cabinet/CMT. Annual report of progress against plan to Cabinet.	> Scrutiny Committee to consider lessons learned from Sustainable Swansea and Achieving Better Together Programmes to inform development of Corporate Transformation Plan	> Governance and Audit Committee to consider lessons learned from Sustainable Swansea and Achieving Better Together Programmes to inform development of Corporate Transformation Plan >Organisational Transformation Corporate Development Committee to contribute to develop of new Corporate Transformation Plan informed by a lessons learned report on the Sustainable Swansea and Achieving Better Together Programmes > Establish a Transformation Delivery Board to provide strategic	>Independent Assurance Is Provided From Internal Audit >	>Independent Assurance is provided by Audit Wales, who attend Transformation on Delivery Board as observers and will include transformation performance and risk in annual risk assessment work	>Audit of ABT Transformation included for 2023/24	Cross Cutting Audits – Section 151 Assurance / Council Governance & Control
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Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
					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								

					to oversee their delivery, reporting to the Transformation Delivery Board quarterly			direction and leadership to ensure that between 2022 and 2027 Swansea Council develops and delivers a robust and deliverable Corporate Transformation Plan							
Risk ID 334 Risk Title Cost of Living Crisis Risk Level Corporate	If the cost of living crisis continues or gets worse, then it will lead to greater pressure on housing supply, increased housing costs, higher levels of homelessness and increased demand on housing, tenancy support, homelessness and other Council services.	High	High	Red	Sarah Jordan / Peter Williams	> Provide individuals with help and advice regarding homelessness issues, housing benefit and rent arrears. > Lobby Welsh Government to supply more financial resources to Local Authorities to tackle the cost of living crisis. > 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.	>Homelessness and Housing Support Strategies approved by Cabinet	>Scrutiny Programme examination of the the development and implementation of Homelessness and Housing Support Strategies > Service Improvement & Finance Improvement Panel has regularly examined progress towards improving and increasing housing stock		>Housing Options service and assessment features on internal Audit Programme	>Homelessness services subject to scrutiny and mystery shopping by 3 rd Sector orgs e.g. Shelter			>Audits to be added as required following consultation if necessary	TBC

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			

Risk ID 335	If the Council is not able to recruit and retain the right staff, then there may be reduced workforce capacity and capability, leading to lower staff morale and productivity, poor work quality, increased staff costs and reduced staff well-being / higher sickness rates.	Medium	Low	Amber	Ness Young / Rachael Davies	<p>> Establish a recruitment data set by April 2023 to include agreed measures on; for example, turnover rates, length of time to recruit, identification of difficult to fill roles by April 2023 in order to identify areas to improve efficiency in recruitment processes where time to recruit is challenging, and to better understand areas where turnover is predicted to impact service delivery.</p> <p>> Establish exit interview process by June 2023 for 'difficult to fill' roles to better understand the reasons for leaving the Council and review whether action can be taken to prevent numbers from leaving.</p> <p>> Identify difficult to fill roles from each Directorate by April 2023 to target resource to prioritise these hard to fill roles above other regular recruitment.</p> <p>> Review market supplement policy and those posts receiving supplements by April 2023 to assess impact on attraction strategy and retention rates in</p>	>Cabinet Member briefings, Cabinet reports where applicable	>Regular reporting to Scrutiny Working Group - Regular reporting to Organisational Development CDC	>Quarterly reporting provided to Directorates for PFM to highlight areas of concern and consider targeted approaches accordingly. Quarterly reporting to Workforce Transformation Programme Board	>Internal audit of recruitment procedures			>Standard rolling audit schedule, repeated based on audit risk score.	>Audits included on rolling programme in HR & OD / Service Centre. Includes Recruitment and Staff Contracts for 2023/24	Service Specific Audits – HR & OD, Service Centre / Transformation & Future Council Development
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Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance							Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area
					Level 1	Level 2			Level 3					
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						Council/Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			

Risk ID 336	If the Council does not implement, monitor and ensure the completion of mandatory training, then the Council may not fulfil its statutory and regulatory obligations or ensure the safe and effective operation and delivery of services.	Low	Low	Amber	Ness Young / Rachael Davies	<ul style="list-style-type: none"> > 12 month Corporate objective rolled out to organisation on completion of mandatory training to be included in new Performance and Goals Fusion module, commencing April 2023. > Regular Quarterly and annual reports to CMT on compliance levels by Directorate. > Managers to record in Oracle Fusion when training is undertaken and ensure any refresher training is undertaken. Monitor and report on compliance from April 2023. > Annual review of the mandatory training list to ensure list is up to date and appropriate. > Corporate Safeguarding policy in place for all staff and councillors to follow and reviewed annually. > By April 2023, Statutory officers identified and suitably qualified to ensure safeguarding arrangements are in place and policies and procedures are implemented. > Establishment of Corporate objective to 	>Cabinet Member briefings, Cabinet reports where applicable	>Scrutiny Panels in place to scrutinise Social Services Work and Performance, of which safeguarding training is included; Scrutiny Working Group – Workforce in place	>Mandatory Corporate Training available for all Staff and Members. Reports to CMT on progress and actions required	>Internal Audit of mandatory training compliance Governance and Audit Committee reporting	>HSE where applicable CIW/EWC where applicable	>Standard rolling audit schedule, repeated based on audit risk score.	>Safeguarding cross cutting audit is included in the 22/23 audit plan in relation to Safeguarding specifically >Corporate Learning & Development team audit due for 2024/25 following Fusion implementation linked to training records	Service Specific Audits – HR & OD, Service Centre / Transformation & Future Council Development
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Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
					Level 1	Level 2			Level 3					
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						Council/Cabinet	Scrutiny	Other	Internal Audit	Other Bodies				External Audit

Risk ID 337	If we do not manage to continue to improve community involvement and break down barriers amongst people in terms of economic disparities, encourage tolerance to avoid social discord and strengthen community development throughout all ages, then we could see increasing community tensions, disorder and civic unrest exacerbated by the cost of living crisis and perceived differences and people not feeling heard or listened to.	Medium	Medium	Amber	David Howes / Jane Whitmore	<p>>Implement the findings from the Independent Learning Review into the events at Mayhill.</p> <p>>Prevention of hate, exploitation and extremism through Community Cohesion Regional Programme.</p> <p>>Complimentary and inclusive policy and decision-making to ensure social cohesion issues are considered in the development of plans and strategies.</p> <p>>Tension Monitoring to understand ongoing and emerging community tensions and put in place mitigations, through Community Safety Partnership.</p> <p>>Whole Council training and capacity building to implement the Public Sector Equality Duty and the Human Rights Approach, through Strategic Equalities and Future Generations Board.</p> <p>>Community engagement and involvement with all ages and all communities to develop shared values and empowered communities, through</p>	>Cabinet Member briefings, Cabinet reports where applicable	>Scrutiny Panel in place to scrutinise Councils response to ASB, which a lack of social cohesion can lead to an increase	>Reports to CMT on progress and actions required	>Part of Safer Swansea Community Safety Partnership, which is multi-agency and reports into Public Service Board	>Standard rolling audit schedule, repeated based on audit risk score.	>Partnership cross cutting audit carried out in 21/22 audit schedule	>Further audits to be added following consultation as required	>Community Safety standard audit on the rolling programme	Cross Cutting Audits – Safeguarding / Council Governance & Control
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Business Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
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Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies		External Audit								

Risk ID 338	If we do not transform the Council to meet the collective net zero commitments asked of public bodies by Welsh Government at sufficient pace and scale, then there is a possibility that the net zero target will not be met by 2030.	Medium	Medium	Amber	Mark Wade / Rachel Lewis	<p>> Source external funding to deliver sizable reductions in emissions. Monitor funding received through annual reporting of delivery plan and respective emission reductions to be reported in annual welsh government submission</p> <p>> 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.</p> <p>> Develop a suite of actions to offset the emissions balance as unlikely to deliver zero emissions by 2030. Actions to be monitored and reported annually as part of overall WG reporting.</p>	<p>>Two Cabinet members on CC&NR steering group, running bi monthly with key officers as part of the CC&NR governance.</p> <p>>CC&NR CDC established – running monthly to support the development of action plan and respective policy in regard of the 2030 target.</p>	<p>>CC&NR scrutiny establish to challenge SC activity on the 2030 activity.</p>	<p>>Programme Board and Emissions reporting groups established, the latter to collate the required data for annual reporting of data to Welsh Government.</p>	<p>>CCS reports emissions data for review annually to Welsh Government.</p>	<p>>WAO recently conducted interviews with staff and set out five proposals for improvements on this agenda across Wales. CCS has responded to all, being the first welsh authority to meet one specific ask and produce a costed delivery plan. (Dec 15th 2022 Cabinet Report)</p>	<p>>Net Zero 2030 audit added for 2023/24 plan following Risk Register review and consultation</p>	Cross Cutting Audits/Miscellaneous – Council Governance & Control
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Last Updated: 10/02/23