



Dinas a Sir Abertawe

Hysbysiad o Gyfarfod

Fe'ch gwahoddir i gyfarfod

Pwyllgor Llywodraethu ac Archwilio

Lleoliad: Ystafell Bwyllgor 5, Neuadd y Ddinas, Abertawe

Dyddiad: Dydd Mawrth, 8 Chwefror 2022

Amser: 2.00 pm

Cadeirydd: Paula O'Connor

Aelodaeth:

Cynghorwyr: C Anderson, P M Black, D W Helliwell, T J Hennegan, P R Hood-Williams, O G James, J W Jones, M B Lewis, C E Lloyd, S Pritchard, J A Raynor, L V Walton a/ac T M White

Aelod Lleyg: Julie Davies

Gwyllo ar-lein: <https://bit.ly/3s3lCcw>

Agenda

Rhif y Dudalen.

- 1 Ymddiheuriadau am absenoldeb.**
- 2 Datgeliadau o fuddiannau personol a rhagfarnol.**
www.swansea.gov.uk/disclosuresofinterests
- 3 Cofnodion.** **1 - 4**
Cymeradwyo a llofnodi, fel cofnod cywir, gofnodion y cyfarfod(ydd) blaenorol.
- 4 Cynllun Blynnyddol Archwilio Mewnol 2021/22 - Adroddiad Monitro ar gyfer y Cyfnod 1 Hydref 2021 i 31 Rhagfyr 2021.** **5 - 21**
- 5 Adroddiad Dilynol ar Argymhelliad Archwilio Mewnol - Chwarter 3 2021/22.** **22 - 27**
- 6 Trosolwg Risg Corfforaethol - Chwarter 3 2021/22.** **28 - 75**
- 7 Lleoliad: Amgylchedd Rheoli Mewnol 2021/22.** **76 - 83**
- 8 Strategaeth Gweithlu..** **84 - 92**
- 9 Canolfan Wasanaeth - Diweddariad Cyfrifon Derbyniadwy.**

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|----|--|----------|
| 10 | Adroddiad Olrhain Camau Gweithredu'r Pwyllgor Archwilio. | 93 - 98 |
| 11 | Cynllun Gwaith y Pwyllgor Archwilio. | 99 - 118 |

Cyfarfod nesaf: Dydd Mawrth, 8 Mawrth 2022 ar 2.00 pm

Huw Evans

Huw Evans
Pennaeth Gwasanaethau Democrataidd
Dydd Mawrth, 1 Chwefror 2022

Cyswllt: Gwasanaethau Democrataidd: - 636923

Agenda Item 3



City and County of Swansea

Minutes of the **Governance & Audit Committee**

Remotely via Microsoft Teams

Wednesday, 12 January 2022 at 2.00 pm

Present: Paula O'Connor (Chair) Presided

Councillor(s)

C Anderson
T J Hennegan
J W Jones
S Pritchard

Councillor(s)

P M Black
P R Hood-Williams
M B Lewis
L V Walton

Councillor(s)

D W Helliwell
O G James
C E Lloyd
T M White

Lay Member

Julie Davies

Officer(s)

Nick Davies
Adam Hill
Spencer Martin
Tracey McNulty
Tracey Meredith
Martin Nicholls
Jeremy Parkhouse
Ben Smith

Principal Auditor
Deputy Chief Executive / Director of Resources
Third Sector & Trust Fund Commissioning Co-ordinator
Head of Cultural Services
Chief Legal Officer / Monitoring Officer
Director of Place
Democratic Services Officer
Chief Finance Officer / Section 151 Officer

Apologies for Absence

J A Raynor

63 Disclosures of Personal and Prejudicial Interests.

In accordance with the Code of Conduct adopted by the City and County of Swansea, the following interests were declared: -

Julie Davies declared a personal interest in Minute No.65 - Response to the Grand Theatre Audit Report 2020/21.

64 Minutes.

Resolved that the Minutes of the Governance & Audit Committee held on 14 December 2021 be approved as a correct record.

Noted that Corporate Complaints would be discussed by the Service Improvement Scrutiny Panel in March 2022.

65 Response to the Grand Theatre Audit Report 2020/21.

Tracey McNulty, Head of Cultural Services presented a 'for information' report which provided an update and response to the 2020/21 Internal Audit of the Grand Theatre.

The report addressed the 1 High Risk (HR); 6 Medium Risks (MR) and all other reported risks were either Low Risk (LR) or Good Practice (GP). It was added that all recommendations were now completed and the updated Action Plan was provided at Appendix A.

It was confirmed that a new Grand Theatre Manager had been appointed and procedures were in place going forward.

The Committee commented very positively on the progress made and queried the progress made in respect of community / residents use of the theatre. It was confirmed that progress was being made within the current Welsh Government restrictions and that the theatre would be fully functional once the restrictions were eased.

The Chair added that Internal Audit would revisit the service and report to the Committee in their Quarter 4 Monitoring Report which would provide assurance that the improvements had been actioned properly. She added that good progress had been made during very difficult times for the theatre and thanked the Head of Cultural Services for her report.

66 City and County of Swansea Administered Trust Funds.

Spencer Martin, Partnerships and Commissioning Officer presented a report which informed the Committee of the status of City and County of Swansea Administered Trust Funds.

It was explained that the Authority has responsibility for the finances and administration of 20 external Trust Funds. The status of a number of the trusts was uncertain, as is the Trusteeship. The Trustees Panel would appear to have influence in part over a majority, but not all, of the Trusts.

It was added that the financial administration of the Trusts had been managed in accordance with good practice but for various reasons, many of the Trusts had been dormant for a number of years. The Trustees Panel received an update report on the status of the Trusts in November 2021, following an audit of trusts undertaken by Internal Audit and the details of the trusts managed were provided, including active trusts and charities, dormant trusts and trusts administered by external trustees.

The report also detailed the status of the trusts, the Charities Commission Welsh Revitalising Trust - Review of Dormant Trust Funds and the future work plan.

The Committee discussed the history / status of individual funds.

The Chair added that she had requested that the terms of reference of the Charities Commission work and the powers that the Council could be subjected to, be

circulated to the Committee. She further commented on the options available regarding dormant funds and stressed the need to retain the funds, which were not significant amount but were very important.

Resolved that: -

- 1) the updated list and status of Trusts be noted;
- 2) the terms of reference of the Charities Commission work be circulated to the Committee.

67 Update Report South West Wales Corporate Joint Committee.

Martin Nicholls, Director of Place presented a 'for information' report which provided the Committee with an update on the current status and progress in relation to the new South West Wales Corporate Joint Committee (CJC).

It was outlined that following the previous Cabinet report approved on 20 May 2021, work had progressed to develop the principles informing the future CJC structure and governance. A further report was presented to Cabinet on 16 December 2021 which outlined the ways in which the CJC may be constituted in order to meet legislative requirements and this was provided at Appendix A.

It was added that the purpose of the report was to set out the current proposed arrangements, subject to the first formal meeting of the CJC on 13 January 2022. The report discussed the following: -

- Outline of the Work streams and relevant legislative requirements where applicable;
- Operational responsibilities and the proposed approach to appointment of statutory officers across the region and leads for each work stream;
- The governance of the CJC and any respective sub-committee's and the supporting officer framework;
- The proposed regional requirements Standards Committee and Scrutiny functions and also for the new Governance and Audit Committee, including details of its terms of reference;
- The key activities and milestones.

The Committee discussed the following: -

- Procedures surrounding Identifying / notifying conflicts of interest, the controls surrounding the procedures, particularly concerning conflicts relating to individual councils within the CJC and how the CJC as a separate body is subject to its own standards review;
- The 35% contribution being made by the Authority to the CJC budget and its levying powers which would be similar to other bodies the Authority contributes towards, e.g. Swansea Bay Port Health Authority;
- The additional CJC budgetary work required and how the CJC would be undertaking work the Authority would have had to undertake previously;

- How the roles and responsibilities of the CJC were agreed by the Leaders / Chief Executives of each council on an equitable basis which reflected other regional responsibilities of each authority;
- The ongoing discussions surrounding the role / voting functions of National Parks;
- The membership of the CJC Governance and Audit Committee and the potential impact upon Lay Members of individual councils.

The Chair highlighted the need to closely monitor the progress of the CJC and requested that regular summary progress updates be provided to the Committee.

68 Governance & Audit Committee Action Tracker.

The Governance & Audit Committee Action Tracker was reported 'for information'.

The Chair requested that an up to date Work Plan be provided for the next meeting which included any of the new areas of work identified in the new terms of reference and a draft 2022-2023 Work Plan.

She also highlighted the need to organize Committee training from June 2022 onwards.

69 Governance & Audit Committee Work Plan.

The Governance & Audit Committee Work Plan was reported 'for information'.

The Committee discussed the following: -

- Mandatory / bespoke training for Committee members;
- Delivering training over a 12-month period and introducing quarterly sessions;
- Utilising the details contained in the Additional Work Programme provided at Appendix 4.

Adam Hill, Deputy Chief Executive highlighted that it would be difficult to train the new members of the Committee by June 2022 and proposed that the Draft Governance and Audit Committee Training Programme presented to the Committee in July 2021, be revisited and discussed further.

He also highlighted the importance of mentoring, particularly for new Councillors / Lay Members of the Committee and having individuals they can approach for guidance.

The meeting ended at 2.50 pm

Chair

Agenda Item 4



Report of the Chief Auditor

Governance & Audit Committee – 8 February 2022

Internal Audit Annual Plan 2021/22 Monitoring Report for the Period 1 October 2021 to 31 December 2021

Purpose:	This report shows the audits finalised and any other work undertaken by the Internal Audit Section during the period 1 October 2021 to 31 December 2021.
Policy Framework:	None.
Consultation:	Legal, Finance, Access to Services.
Report Author:	Simon Cockings
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

- 1.1 The Internal Audit Annual Plan 2021/22 was approved by the Governance & Audit Committee on 9th March 2021. This is the third quarterly monitoring report to be presented to allow the Committee to review and comment upon the progress of the Internal Audit Section in achieving the Annual Plan.
- 1.2 This report shows the audits finalised in the period 1st October 2021 to 31st December 2021.
- 1.3 The Committee should be made aware that throughout this period the Internal Audit Function and the wider Authority have continued to adapt

to the unprecedented challenges as a result of the Covid-19 pandemic, which continues to impact every aspect of Council business and operations.

- 1.4 As reported in previous monitoring reports, due to the Covid-19 pandemic access to most council sites continues to be restricted. This has continued to have an impact on the Audit Team’s ability to complete some on-site testing throughout the second quarter.

2. Audits Finalised 1 October 2021 to 31 December 2021

- 2.1 A total of 20 audits were finalised during the quarter. The audits finalised are listed in Appendix 1 which also shows the level of assurance given at the end of the audit and the number of recommendations made and agreed. Appendix 2 provides a summary of the scope of the reviews finalised during the period.

- 2.2 An analysis of the assurance levels of the audits finalised is shown in the following table.

Assurance Level	High	Substantial	Moderate	Limited
Number	9	11	0	0

- 2.3 A total of 105 audit recommendations were made and management agreed to implement all of the recommendations, i.e. 100% of the recommendations made were accepted against a target of 95%.

- 2.4 All recommendations made are classified as high risk, medium risk, low risk or good practice. An analysis of the recommendations agreed during the quarter is shown in the following table

High Risk	Medium Risk	Low Risk	Good Practice	Total
0	20	61	24	105

- 2.5 The implementation status for those audits that have been subject to a standard follow-up in the quarter is reported separately in the Recommendation Follow-up Report. This includes all follow-ups completed, except for the fundamental audits as the outcome of these follow-up reviews is reported to committee via the Fundamental Audit Recommendation Tracker Report.

- 2.6 The Internal Audit Section also certified the following grants in the quarter as required by the terms and conditions of the grant issued by the Welsh Government.

Grant	Amount
Pupil Development Grant 2020/21	£8,825,756
Regional Consortia School Improvement Grant (RCSIG) 2020/21	£9,726,667
Exploring IoT Networks & Use Cases to Improve Public Services Discovery Project (Internal Assurance Review)	£20,000

- 2.7 The Audit Plan is a 'living' document which is likely to change during the course of the year due to e.g. emerging risks or new priorities. However it is important that the Committee can monitor progress against the plan approved at the start of the year. To achieve this, Appendix 3 shows each audit included in the Plan approved by Committee on the 9th March 2021 and identifies the position of each audit as at 31st December 2021.
- 2.8 As reported previously, due to the Covid-19 pandemic and as a result of the Council wide response to the advice issued by Central and Welsh Government, all Internal Audit staff have been working remotely from home since the end of March 2020. This continued to be the case throughout the quarter.
- 2.9 It must continue to be acknowledged that the measures introduced across the Council in response to the pandemic continue to have an impact on the team's ability to initiate and progress with some audits, due to the effect such measures have had across client departments.
- 2.10 However, with the success of the Covid-19 vaccination programme and the easing of some restrictions over the quarter, the audit team have been able to successfully undertake a number of site visits to complete on site testing where this has been deemed essential to the completion of the audit. Ongoing conditions continue to have an impact on the team's ability to progress with business as usual in some instances and the team has continued to work hard to undertake audit work remotely in the first instance.
- 2.11 An analysis of the details in Appendix 3 shows that as at 31/12/21, 65 audit activities from the 2021/22 audit plan had been completed to at least draft report stage (50%), with an additional 25 audits in progress (19%). As a result approximately 69% of the Audit Plan had either been completed or was in progress.
- 2.12 No moderate reports were issued in the quarter.

3. Follow Ups Completed 1 October 2021 to 31 December 2021

- 3.1 The follow up procedures operated by the Internal Audit Section include visits to any non-fundamental audits which received a moderate or limited level of assurance to confirm and test that action has been taken by management to address the concerns raised during the original audit.

- 3.2 The follow up visit is usually within 6 months of the final report being issued and includes testing to ensure that any high or medium risk recommendations have been implemented. Where agreed recommendations have not been implemented, this will be reported to the appropriate Head of Service (or Chair of the Governing Body in the case of schools) and the Chief Finance Officer (Section 151 Officer).
- 3.3 No moderate audit follow-ups were undertaken in the quarter. The follow-up of the Management of Absence audit had been scheduled to be completed in quarter two. However, following the update from the Head of Service Centre at the September Committee meeting and due to ongoing staffing pressures within the department, we have rescheduled the follow up to be completed in quarter four. This will also tie in with the further update to the committee from the Service Centre Manager in February 2022.

4 Integrated Assessment Implications

- 4.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.
 - Deliver better outcomes for those people who experience socio-economic disadvantage
 - Consider opportunities for people to use the Welsh language
 - Treat the Welsh language no less favourably than English.
 - Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.
- 4.2 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.
- 4.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

4.4 The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Internal Audit Monitoring Report has a low positive impact across all groups.
- It has been subject to consultation with the Chief Finance & S151 Officer, Legal and Access to Services.
- All Well-being of Future Generations Act considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Internal Audit Report is positive as it will support the Authority in its requirement to protect public funds.

5. Financial Implications

5.1 There are no financial implications associated with this report.

6. Legal Implications

6.1 There are no legal implications associated with this report.

Background Papers: Internal Audit Plan 2021/22

Appendices: Appendix 1 - Audits Finalised Q3 2021/22

Appendix 2 - Summary of Scope of Audits Finalised Q3 2021/22

Appendix 3 - Internal Audit Plan 2021/22 - Progress to 31/12/21

MONITORING REPORT Q3 2021/22 - AUDITS FINALISED

Head of Service	Audit Title	Date Finalised	Assurance Level	Recommendations		
				Made	Agreed	Not Agreed
Cross Cutting Reviews	Partnerships - Overview & Governance	06/10/21	High	2	2	0
Financial Services & Service Centre	Adult Family Placements	18/10/21	High	2	2	0
Housing & Public Health	Taxi Licensing	22/10/21	High	4	4	0
Highways & Transportation	Home to School Transport*	09/12/21	High	4	4	0
Financial Services & Service Centre	Residential Care	07/10/21	High	7	7	0
Computer Audits	Telephony System	20/10/21	High	0	0	0
Cross Cutting Reviews	Achieving Better Together - Recovery & Refocus	22/10/21	High	0	0	0
Financial Services & Service Centre	Income Tax - Self Employed and Miscellaneous	29/10/21	High	4	4	0
Education Planning & Resources	School Funding & Information	15/11/21	High	2	2	0
Miscellaneous Audits	Staff Development and Training Section	12/10/21	Substantial	7	7	0
Education Planning & Resources	Hafod Primary School	19/10/21	Substantial	11	11	0
Vulnerable Learner Service	Behaviour Support Team	19/10/21	Substantial	11	11	0
Adult Services	Supporting People Team*	22/10/21	Substantial	7	7	0
Chief Transformaiton Officer	Contact Centre - Client & Property Finance Payments	15/11/21	Substantial	6	6	0
Cultural Services	Outdoor Leisure	15/11/21	Substantial	3	3	0
Highways & Transportation	Taxi Framework Contract - School Transport	25/11/21	Substantial	7	7	0
Commissioning	Early Years & Play	03/12/21	Substantial	4	4	0
Waste Management & Parks	Domestic Refuse Collection	03/12/21	Substantial	8	8	0
Achievement & Partnership Services	School Support Team	06/12/21	Substantial	7	7	0
Cultural Services	Archives	09/12/21	Substantial	9	9	0
			Total	105	105	0

*Audits completed from the 2020/21 audit plan

MONITORING REPORT Q3 2021/22 - SUMMARY OF SCOPE OF AUDITS FINALISED

Head of Service	Audit Title	Assurance Level	Audit Scope	Key Findings / Risks
Cross Cutting Reviews	Partnerships - Overview & Governance	High	<i>Review of the key seven significant partnerships that the Council are engaged in including: Swansea Bay City Deal, West Glamorgan Regional Partnership, Public Services Board, Safer Swansea Partnership, ERW, Area Planning Board and Swansea Poverty Partnership Forum. The audit reviewed the governance procedures in place and included detailed testing on the following areas: Terms of Reference, Management Arrangements, Reporting Requirements, Council Representation, Audit/Scrutiny Arrangements and Financial Contribution.</i>	None
Financial Services & Service Centre	Adult Family Placements	High	<i>The scope of the review covered the following areas: New Admissions, Ongoing Cases, GDPR / Retention of Documents.</i>	None
Housing & Public Health	Taxi Licensing	High	<i>The audit reviewed the procedures in place and included detailed testing in the following areas: Fees & Charges, Drivers Licences, Vehicle Licences, Operators Licences, Spot Checks & Complaints, Refunds, GDPR</i>	None
Highways & Transportation	Home to School Transport*	High	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Compliance with Contract Procedure Rules, Contract payments, Allocation of free school transport passes, Sale of spare seats, Allocation of season tickets on local bus services, Parental petrol allowances, Monitoring surveys, GDPR</i>	None
Financial Services & Service Centre	Residential Care	High	<i>The scope of the review covered the following areas: Remittance Advices, Financial Assessments of New Residents, Invoicing, Annual Reviews, Transitional Placement Agreements, Properties, Debt Recovery and Write-offs, Free Nursing Care, ABACUS system controls, GDPR & Retention of documents</i>	None
Computer Audits	Telephony System	High	<i>The audit reviewed the procedures in place and included detailed testing on the following areas: Digital Strategy, Management of Operations and Network, Network Activity, Procedure for Approval and Installation of Network Connections, Controls and Safeguarding the Exchange, Purchases of Phones - Corporate Contracts, Systems to Identify Personal Calls and Internet Usage, Monitoring of Call Usage, Arrangement for Loss or Damage of Mobile Phones, Disaster Recovery & Business Continuity</i>	None
Cross Cutting Reviews	Achieving Better Together - Recovery & Refocus	High	<i>The audit included a review of progress made in relation to the project. The objectives of the review were to ensure that robust governance arrangements were in place for the programme and the monitoring and reporting controls were adequate for the purpose of minimising business risk and were operating in practice.</i>	None

MONITORING REPORT Q3 2021/22 - SUMMARY OF SCOPE OF AUDITS FINALISED

Financial Services & Service Centre	Income Tax - Self Employed and Miscellaneous	High	<i>The audit reviewed the procedures in place and included detailed testing in the following areas: Procedures Notes, Compliance with Procedure Notes and HMRC (IR35) Guidelines, Records on Oracle and other documentation, GDPR</i>	None
Education Planning & Resources	School Funding & Information	High	<i>The scope of this audit review covered the following areas: School Budget Shares, School Service Level Agreements, Budget shares, GDPR and Data Retention</i>	None
Adult Services	Staff Development and Training Section	Substantial	<i>The audit included the review and testing of controls established by management over the following areas: Expenditure, Purchase cards, Grant Income, Inventory, Travel Expenses, Personnel Records</i>	<i>Two P-Card purchases were not approved by designated approver in department but by Purchasing Team in Procurement. No inventory Certificate had been completed and the date of the last inventory check could not be established. Additional LR and GP recommendations.</i>
Education Planning & Resources	Hafod Primary School	Substantial	<i>The audit included the review and testing of the controls established by management over the following areas: Governance, Management of delegated resources, Budget Monitoring, Lettings & Clubs, Banking Procedures, Unofficial Funds, School Meals, Bank Reconciliations, Expenditure, Employees, Health & Safety, Inventory, Computer Security (audit requested by Education due to significant change in senior staffing over recent years).</i>	<i>Over use of the non-order facility to process invoice payments where no order had been generated in advance. Number of LR and GP recommendations also noted.</i>
Vulnerable Learner Service	Behaviour Support Team	Substantial	<i>The audit reviewed the procedures in place and included detailed testing in the following areas: Expenditure including P-card administration and transactions, Income, Budget Monitoring, Grants, Inventory, Petty Cash, Travel Expenses, Employee Records, Vehicles, Verification & Authorisation of School meals, Health & Safety, GDPR</i>	<i>GDPR Managers Checklist had not been completed. Number of LR and GP recommendations also noted.</i>
Adult Services	Supporting People Team*	Substantial	<i>The audit included the review and testing of controls established by management over the following areas: Monthly Payments, Annual Reviews of Eligibility for Supporting People Funding (SPF), Financial Assessments, Monthly Movement Returns from Providers, Petty Cash, Employees Records, Inventory, Expenditure, GDPR & Data Retention</i>	<i>The spreadsheet for the supporting people funding applications had not been updated. Number of LR and GP recommendations also noted.</i>

MONITORING REPORT Q3 2021/22 - SUMMARY OF SCOPE OF AUDITS FINALISED

Chief Transformaiton Officer	Contact Centre - Client & Property Finance Payments	Substantial	<p>The audit reviewed the procedures in place and included detailed testing on the following areas: Documented Procedures, Payments made to Clients, Monitoring Movement of Cash, Daily & Weekly Reconciliations, Reimbursement from Client Finance Team</p>	<p>AS at 2 August 2021, the records maintained by Cashiers stated that the amount not yet received from Client Finance (since April 2018) was £2,353.97, However, Client Finance's records were reviewed and they stated that the amount not yet paid to Cashiers was £3,499, a variance of £1,145.03. Further investigation revealed that an amount of £3,626.20 had also not been reimbursed to Cashiers from Client Finance team for the period prior to April 2018. We were advised that a breakdown of the client payments included in the amount of £3,626.20 had not been agreed between Cashiers and Client Finance team and that more information had been requested by officers in Client Finance.</p>
Cultural Services	Outdoor Leisure	Substantial	<p>The audit reviewed the procedures in place and included testing on the following areas: Income - Outdoor Sites, Income - Car Parking (block booking), Receipting Machines, Expenditure - Oracle, Expenditure - Purchase Card, GDPR & Data Retention</p>	<p>Testing on income receipting machines revealed that there was no evidence to show monitoring of 'no sales' and 'voids'. Testing of P-Card transactions revealed five transaction where VAT had been reclaimed, a receipt was available however it was not a VAT receipt. In addition, no receipt was available to support one transaction yet VAT had been reclaimed.</p>

MONITORING REPORT Q3 2021/22 - SUMMARY OF SCOPE OF AUDITS FINALISED

Highways & Transportation	Taxi Framework Contract - School Transport	Substantial	<p>The audit reviewed the procedures in place and included detailed testing on the following areas: Re-tendering and Extension of Contracts, Payments to Contractors, Cancelled Contracts, Survey Team Spot Checks, GDPR & Data Retention</p>	<p>Our enquiries revealed that of the 412 live contracts as at May 2021, 60 had expired between May 2015 and May 2017 and permission should have been sought to formally extend, for a maximum of two years. A further 38 had expired prior to May 2015 and should have been re-tendered, although it was found that 13 of these had subsequently been cancelled at the end of July 2021. We were informed that due to a lack of resources, no contract extensions had been requested and no re-tendering had taken place. i) Staff are aware of the requirement to undertake GDPR training, however it was unclear whether all staff had actually completed the training.</p>
Commissioning	Early Years & Play	Substantial	<p>The audit reviewed the procedures in place and included detailed testing in the following areas: Expenditure including P-card administration and transactions, Payments to Third Parties, Cash & Credit Income, Grants, Petty Cash, Travel Expenses, Employee Records, GDPR</p>	<p>Six P-Card purchases recorded were not supported by a valid VAT receipt, the only supporting documentation was either an Order Confirmation or Dispatch Note. VAT had not been reclaimed for five of these purchases.</p>
Waste Management & Parks	Domestic Refuse Collection	Substantial	<p>The audit reviewed the procedures in place and included detailed testing on the following areas: Expenditure, P-Cards, Income, Inventory, Personnel records, Vehicle records, GDPR & Retention of documents</p>	<p>Purchases with an individual or cumulative value of over £10,000 were reviewed for compliance with Contract Procedure Rules. Our testing found that purchases had been made with two suppliers when the relevant contract had expired. We were advised that this was due to a member of staff being absent for an extended period, and the disruption to international supply chains caused by Covid-19. We were advised that regular routine checks of driver's licences were not being carried out.</p>

MONITORING REPORT Q3 2021/22 - SUMMARY OF SCOPE OF AUDITS FINALISED

Achievement & Partnership Services	School Support Team	Substantial	<p>The audit reviewed the procedures in place and included detailed testing on the following areas: Expenditure via Oracle, P-Cards, Income, Grants, Inventory, Travel Expenses, Personnel Records, Performance & Chaperone Licences, Education Welfare Performance Management, Health & Safety, Child Employment, GDPR & Retention of Documents</p>	<p>The School Support team is responsible for issuing Performance and Chaperone Licences. A sample of three performance licence applications was selected for the month of March 2021. Testing revealed that one performance license issued on the 1 March 2021 had not been signed by an approved officer within the Team. One instance was noted where the document replacing the chaperone licence had not been sent in a secured format. A sample of the applications for Child Employment Permits was checked for compliance with the Employment of Children Byelaw and to ensure that all procedures had been followed and documentation had been verified. It was noted that confirmation emails had been sent instead of employment permits since 23 March 2020</p>
Cultural Services	Archives	Substantial	<p>The audit reviewed the procedures in place and included detailed testing on the following areas: Expenditure, Purchase Card (P Card), Cash/Credit Income, Reproduction Documents, Online Shop (Archive Shop), Grant Income, Inventory, Stock Records, Accessions Register, Insurance, Neath Port Talbot Council shared operating costs, Petty Cash, Budget Monitoring, Staff Travel</p>	<p>Shop sales are receipted through a till and later banked using a C&D book. A sample of income received and banked over a five month period was examined and a number of minor discrepancies were found. Due to Covid-19 control over bank reconciliation had recently been lost to an extent, with the banking of cash occurring less frequently due to reduced footfall through Archives. Some small discrepancies were noted when reconciling stock items. It was confirmed that there is a valid Insurance policy in place for the Service, however it is noted that a full valuation of items held in Archives has not been carried out for over ten years.</p>

Audit Title	Risk Rating	Status as at 31/12/2021	Corporate Priority	Days
Level 1 – Cross Cutting Reviews – Council Governance & Control				
Partnerships	Med/High	Final Issued	Cross Cutting	15
Corporate Governance	Med/High	Allocated	Cross Cutting	15
General Data Protection Regulations	Med/High	In Progress	Cross Cutting	10
Corporate Performance Management	Med	Allocated	Cross Cutting	15
Local Government and Elections (Wales) Bill	New	Allocated	Cross Cutting	10
FOI / SAR/ EIR Review	New	Allocated	Cross Cutting	15
Wellbeing of Future Generations Act	New	In Progress	Cross Cutting	10
Achieving Better Together – Recovery & Refocus	New	Final Issued	Cross Cutting	10
Achieving Better Together – Transformation (inc. workforce strategy and savings delivery)	New	Deferred	Cross Cutting	15
Assurance Framework	New	In Progress	Cross Cutting	20
Level 2 – Fundamental Systems - Section 151 Officer Assurance				
Financial Services & Service Centre				
Employee Services	Med/High	Final Issued	Section 151 Assurance	30
Pensions Admin	Med/High	Final Issued	Section 151 Assurance	20
Teachers Pensions	Med	Final Issued	Section 151 Assurance	15
Accounts Receivable	High	Allocated	Section 151 Assurance	35
Business Rates (NNDR)	Med	Allocated	Section 151 Assurance	20
Pension Fund Investments	Med/High	Final Issued	Section 151 Assurance	7
Housing Rents	Med	In Progress	Section 151 Assurance	20
Accounts Payable	Med	In Progress	Section 151 Assurance	35
Housing & Council Tax Benefit	Med/High	Draft Issued	Section 151 Assurance	40
Capital Accounting	Med	Final Issued	Section 151 Assurance	25
Level 3 – Service Level Audits – Other Assurance				
Education Planning & Resources				
Pentrehafod Comprehensive	Med	Final Issued	Education	10
Bishopston Comprehensive	Med	Final Issued	Education	10
Pontarddulais Comprehensive	Med	Final Issued	Education	10
Ysgol Gyfun Bryn Tawe	Med	Final Issued	Education	10
Ysgol Crug Glas	Med	Not Required	Education	4

School Funding & Information	Med/High	Final Issued	Education	15
Catering & Cleaning HQ	Med	Deferred	Education	10
SQuid School Income (thematic)	New	In Progress	Education	15
Primary School DBS (thematic)	New	In Progress	Education	15
Achievement & Partnership Service				
School Support Team	Low	Final Issued	Education	15
Vulnerable Learner Service				
Behavioural Support Unit	Med/Low	Final Issued	Education, Safeguarding & Poverty	20
Education Grants & Other				
Schools Annual Report	n/a	Final Issued	Education, Safeguarding & Poverty	3
Regional Consortia School Improvement Grant	n/a	Final Issued	Education, Safeguarding & Poverty	15
Pupil Deprivation Grant	n/a	Final Issued	Education, Safeguarding & Poverty	15
Child & Family Services				
Independent Agency Payments	High	In Progress	Safeguarding	10
Discretionary Payments	Med/High	Allocated	Safeguarding	10
Nant-y-Felin Children's Home	Med	Allocated	Safeguarding	10
Grants & Contracts	Med/High	Not Required	Safeguarding	10
Adoption Allowances	Med/Low	Allocated	Safeguarding	10
Residential & Outdoor Centres	Med	Allocated	Safeguarding	10
Business Support Team – Child & Family	Med/Low	In Progress	Safeguarding	15
Swansea Children's Centre & Mayhill Family Centre	Med	Allocated	Safeguarding	10
Adult Services				
Home Care	Med/High	Allocated	Safeguarding	10
Community Alarm Service	Med	Final Issued	Safeguarding	10
Integrated Community Equipment Service & Suresprung	High	Final Issued	Safeguarding	10
Suresprung Transitional Employer Support Grant	n/a	Final Issued	Safeguarding	5
CREST	Med	Allocated	Safeguarding	10
Supporting People Team – Regional Coordinator Grant	n/a	Final Issued	Safeguarding	3
Supporting People Grant	n/a	In Progress	Safeguarding	10
Enable Support for Independent Living Grant	n/a	Final Issued	Safeguarding	10
Commissioning				

Early Intervention Services	Med	Final Issued	Poverty	5
Tackling Poverty				
Welfare Rights Service	New	Final Issued	Poverty	10
Building Services				
Heol y Gors – Stores, Admin & Finance, Oracle T&L	Med/High	Deferred	Economy & Infrastructure, Safeguarding	20
Heol y Gors – Estimating	Med	Final Issued	Economy & Infrastructure, Safeguarding	15
Day to Day Repairs / Maintenance Section	Med	Allocated	Economy & Infrastructure, Safeguarding	20
Property Services				
Energy Management	Med/Low	Not Required	Economy & Infrastructure	5
Waste Management & Parks				
Domestic Refuse Collection	Med	Final Issued	Economy & Infrastructure, Resource & Biodiversity	10
Parks Buildings	Low	Not Required	Economy & Infrastructure, Resource & Biodiversity	5
Cleansing inc. Parks Central Operations, Litter & Beaches	New	Final Issued	Economy & Infrastructure, Resource & Biodiversity	10
Highways & Transportation				
Concessionary Bus Fares	Med	Draft Issued	Economy & Infrastructure	5
Car Parks	Med/High	Final Issued	Economy & Infrastructure	20
Clydach Depot – Plant	Med	Final Issued	Economy & Infrastructure	10
CTU Fleet Hire / Spot Hire	Med	Final Issued	Economy & Infrastructure	10
Taxi Framework Contract	Med	Final Issued	Economy & Infrastructure	10
Live Kilometre Support Grant (G)	n/a	Final Issued	Economy & Infrastructure	5
Housing & Public Health				
Morrison DHO	Med	Final Issued	Poverty, Safeguarding	15
Sketty DHO	Med/Low	Final Issued	Poverty, Safeguarding	15
Neighbourhood Support Unit inc. CCTV	Med	Final Issued	Poverty, Safeguarding	7
Affordable Housing	Med	Final Issued	Poverty, Safeguarding	10
Application Controls – Flare System	Med	Deferred	Poverty, Safeguarding	5
Building Regulations	Med	Final Issued	Poverty, Safeguarding	15
Taxi Licencing	Med/Low	Final Issued	Poverty, Safeguarding	10
Rechargeable Works	Med	Deferred	Poverty, Safeguarding	15
Cultural Services				
Outdoor Leisure	Med	Final Issued	Economy & Infrastructure	15

Sports Development	Med/Low	Final Issued	Economy & Infrastructure	10
Swansea Museum	Med/Low	In Progress	Economy & Infrastructure	10
Central Library	Med	Allocated	Economy & Infrastructure	15
Archives	Med/Low	Final Issued	Economy & Infrastructure	15
Planning & City Regeneration				
Nature Conservation	Med	In Progress	Economy & Infrastructure, Resources & Biodiversity	10
Land Searches (was Land Charges)	Med	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10
Communications & Marketing				
Civic Admin/Mayoral Service/Mansion House	Med	Deferred	Transformation & Council Development	10
Emergency Planning & Business Continuity	Med	Deferred	Transformation & Council Development	10
Risk Management	Med/High	Allocated	Transformation & Council Development	15
Financial Services & Service Centre				
Cashiers Office – CCI Reconciliation	Med/High	Final Issued	Section 151 Assurance	5
Write-Off Requests	n/a	In Progress	Section 151 Assurance	5
Cashiers Write-off's	n/a	Final Issued	Section 151 Assurance	5
Bank Reconciliations	Med	Final Issued	Section 151 Assurance	10
School Bank Reconciliations	Med	Final Issued	Section 151 Assurance	15
Grants Receivable	Med/High	In Progress	Section 151 Assurance	15
Leasing	Med	In Progress	Section 151 Assurance	10
Income Tax – Self Employed	Med	Final Issued	Section 151 Assurance	5
Construction Industry Tax Scheme	Med	Final Issued	Section 151 Assurance	10
Residential Care	High	Final Issued	Section 151 Assurance, Safeguarding	25
Debt Recovery – Financial Services & Legal Recovery	High	In Progress	Section 151 Assurance, Safeguarding	25
Learning Disability Recharges	Med	Final Issued	Section 151 Assurance, Safeguarding	10
Adult Family Placements	Med	Final Issued	Section 151 Assurance, Safeguarding	10
Employee Vetting (DBS)	High	Allocated	Section 151 Assurance, Safeguarding	10
Purchase Card Transactions Monthly Review	Med	In Progress	Section 151 Assurance	10
Compliance with CIPFA Financial Management Code	New	Allocated	Section 151 Assurance	10
Digital & Transformation				
ICT Administration inc. IT Assets	Med	In Progress	Transformation & Future Council Development	15

Oracle Authorisation Limits	Med/High	Final Issued	Transformation & Future Council Development	10
Commercial Services				
Contracts Review – Education	New	In Progress	Section 151 Assurance	10
Chief Transformation Officer Audits				
Contact Centre – Client & Property Finance Payments	Med	Final Issued	Transformation & Council Development	5
HR Policies	Low	Draft Issued	Transformation & Council Development	10
Employment of Agency Staff	Med/High	Allocated	Transformation & Council Development	10
Corporate Learning & Development Team	New	Allocated	Transformation & Council Development	5
Oracle Cloud	New	Deferred	Transformation & Council Development	10
Post-Coronavirus pandemic review of Agile Working	New	Allocated	Transformation & Council Development	10
Regional Broadband Grant	New	Final Issued	Transformation & Council Development	5
Contract Audits				
Highways & Transportation – Construction Period Control of Contracts	Med	Planned	Transformation & Council Development	15
CBS Control of Contracts	Med	Allocated	Transformation & Council Development	15
Computer Audits				
File Controls	Med/High	Allocated	Transformation & Council Development	5
ICT Data Storage	Med/High	Allocated	Transformation & Council Development	5
Firewall Controls – Corporate & Education Network	Med	Allocated	Transformation & Council Development	5
Internet Controls for Clients – Social Services	Med	Draft Issued	Transformation & Council Development	5
E-Commerce Controls	Med	In Progress	Transformation & Council Development	7
Disaster Recovery & Business Continuity	Med	Allocated	Transformation & Council Development	10
Oracle Change Control	Med/High	Allocated	Transformation & Council Development	5
Telephony System	Med	Final Issued	Transformation & Council Development	5
Use of Idea - Data Matching NFI	n/a	Final Issued	Section 151 Assurance	5
Projects & Special Investigations				
Unpresented Cheques	n/a	In Progress	Section 151 Assurance	5
NFI	n/a	Final Issued	Section 151 Assurance	10
Galileo Management System	n/a	In Progress	Section 151 Assurance	5
Annual Plan & Annual Report	n/a	In Progress	Section 151 Assurance	5

Annual Consultation Exercise	n/a	Final Issued	Section 151 Assurance	10
Health & Safety Group	n/a	In Progress	Section 151 Assurance	3
Recommendation Tracker Exercise	n/a	Final Issued	Section 151 Assurance	5
Follow-ups	n/a	In Progress	Section 151 Assurance	20
Miscellaneous Audits				
Western Bay Social Services Training Team	New	Final Issued	Section 151 Assurance	5
City Deal Review Outcomes - Follow-up	New	Final Issued	Section 151 Assurance	5
Swansea Central Phase 1 Programme	New	Allocated	Transformation & Council Development	5

Cross Cutting Audits – 135 days

Section 151 Officer Assurance – 515 days

Corporate Priorities

Safeguarding (Safeguarding People from Harm) – 433 days

Education (Improving Education and Skills) – 167 days

Economy & Infrastructure (Transforming our Economy and Infrastructure) – 230 days

Poverty (Tackling Poverty) – 160 days

Resources & Biodiversity (Maintaining and Enhancing Swansea’s Natural Resources and Biodiversity) – 45 days

Transformation & Council Development (Transformation and Future Council Development) – 197 days

Agenda Item 5



Report of the Chief Auditor

Governance and Audit Committee – 8 February 2022

Internal Audit Recommendation Follow-Up Report - Quarter 3 2021/22

Purpose:	This report provides committee with the status of the recommendations made in those audits where the follow-up's has been undertaken in Q3 2021/22, to allow the Governance and Audit Committee to monitor the implementation of recommendations made by Internal Audit.
Policy Framework:	None
Consultation:	Legal, Finance and Access to Services
Report Author:	Simon Cockings
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

- 1.1 The Governance and Audit Committee's Performance Review for 2017/18 was completed in June 2018. One of the recommendations arising from the review was in relation to the tracking of the recommendations made by Internal and External Audit.
- 1.2 This report provides an overview of how recommendations made by Internal and External Audit are tracked and followed-up.

2. Standard Follow-up Procedures

- 2.1 An amended internal audit follow-up procedure was introduced in 2014 as a result of concerns being raised over the failure of management to implement audit recommendations.
- 2.2 The current procedures identify two methods of following-up on the implementation of recommendations made as a result of internal audit reviews for the fundamental audits and non-fundamental audits.

3. Fundamental Audits

- 3.1 These audits are undertaken on a yearly or two-yearly cycle. All fundamental audits are subject to a Recommendation Tracker Exercise each year, which is normally completed as at the end of September.
- 3.2 The exercise involves discussion with the client department to go through the agreed Action Plan together with a limited amount of testing to confirm whether the recommendations have been implemented.
- 3.3 The results of the Recommendation Tracker Exercise is reported to Governance and Audit Committee in a separate Recommendation Tracker report.

4. Non-fundamental Audits

- 4.1 All other audits that have been given a 'limited' or 'moderate' level of assurance are reported to Governance and Audit Committee as part of the Quarterly Monitoring Reports. All such audits are subject to a detailed follow-up visit within 6 months of the issue of the final report.
- 4.2 The follow-up visit concentrates on 'high risk' and 'medium risk' recommendations, and will include discussion with the client department and limited testing to confirm implementation.
- 4.3 The results of the follow-up visit are reported to Governance and Audit Committee as part of the Quarterly Monitoring Reports.
- 4.4 Where an audit has been given a 'high' or 'substantial' level of assurance, client departments are asked to confirm the implementation of the recommendations via e-mail.
- 4.5 The results of all follow-up's undertaken are logged and recorded on the Audit Management System (Galileo) to ensure completion is monitored appropriately.

5. External Audit Recommendation Tracking

- 5.1 Whilst it is not practicable to track every external audit recommendation without additional resources and a suitable ICT solution, Scrutiny

Programme Committee will receive WAO audit reports and action plans to address recommendations and proposals and will review progress against recommendations within 12 months of the receipt of the report and action plan as their work plan allows. Governance and Audit Committee will also receive reports and action plans for information and it may decide that it wants to prioritise and track specific proposals / recommendations in addition to the oversight undertaken by Scrutiny. This does not include those WAO reports that would be intended specifically for Governance and Audit Committee.

6. Status of Implementation Update to Committee

- 6.1 The purpose of this report is to allow committee to monitor the implementation status for those audits that have been subject to a follow-up review in the quarter. This will include all follow-ups completed, except for the fundamental audits as the outcome of these follow-up reviews are reported to committee separately.

7 Integrated Assessment Implications

- 7.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

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

- 7.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion,

carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

7.4 The completion of the Integrated Impact Assessment Screening revealed that:

- The Quarterly Recommendation Tracker Report has a low positive impact across all groups.
- It has been subject to consultation with the Chief Finance & S151 Officer, Legal and Access to Services.
- All Well-being of Future Generations Act considerations are positive and any risks identified are low.
- The overall impact of the Quarterly Recommendation Tracker Report is positive as it will support the Authority in its requirement to protect public funds.

8. Financial Implications

8.1 There are no financial implications associated with this report.

9. Legal Implications

9.1 There are no legal implications associated with this report

Background Papers: None

Appendix 1 – Summary - Recommendations accepted and implemented.

Appendix 2 – Recommendations Not Implemented

RECOMMENDATION TRACKING REPORT Q3 2021/22

Audit Title	Date Final Issued	Date of Follow up	Assurance Rating	Recommendations								Total Recs Acc'd	Total Recs Imp'd	Total Rec Not Imp'd*	Comments
				HR		MR		LR		GP					
				A	I	A	I	A	I	A	I				
Morrison DHO (East Area Housing Office)	10/09/21	08/12/21	Substantial Assurance	0	0	1	1	6	6	11	11	18	18	0	
Ysgol Gyfun Gymraeg Bryn Tawe	06/09/21	08/12/21	High Assurance	0	0	0	0	2	2	0	0	2	2	0	
Pontarddulais Comprehensive School	23/08/21	07/12/21	Substantial Assurance	0	0	1	1	7	6	3	3	11	10	1	2.10.1 & 2.10.2 & 2.10.3 . "Due to staffing pressures, we have extended the date on this action plan to the 30th April, 2022."
Bishopston Comprehensive School	23/08/21	07/12/21	High Assurance	0	0	0	0	5	5	2	2	7	7	0	
Neighbourhood Support Unit	06/04/21	08/12/21	Substantial Assurance	0	0	1	1	5	5	1	1	7	7	0	
Oracle Authorisation Limits	15/06/21	10/12/21	High Assurance	0	0	0	0	0	0	1	1	1	1	0	
Pentrehafod Comprehensive	13/09/21	13/12/21	High Assurance	0	0	0	0	7	7	2	2	9	9	0	
Car Parks 21-22	24/06/21	20/12/21	Substantial Assurance	0	0	3	3	14	14	2	2	19	19	0	
Brangwyn Hall	20/10/20	22/12/21	Substantial Assurance	0	0	1	1	10	6	1	1	12	12	0	
											86	85	1	98.8%	

*Further details on the recommendations that have not been implemented are reported in Appendix 2

Key

HR - High Risk. **MR** - Medium Risk. **LR** - Low Risk. **GP** - Good Practice.

A - Accepted. **I** - Implemented

RECOMMENDATION TRACKING REPORT Q3 2021/22 - REC'S NOT IMPLEMENTED

Audit Title	Date Final Issued	Date of Follow up	Assurance Rating	Recommendations Not Implemented				
				Report Ref	Risk Rating	Agreed Imp. Date	Recommendation	Reason / Comments
Pontarddulais Comprehensive School	23/08/21	07/12/21	Substantial Assurance	2.10.1 & 2.10.2 & 2.10.3	LR	Dec-21	Appropriate inventories should be maintained in accordance with Accounting Instruction No. 9. It should be ensured that full descriptions are recorded inc. make, model & serial number & items should be added to the inventory once received at the school.	2.10.1 & 2.10.2 & 2.10.3 . "Due to staffing pressures, we have extended the date on this action plan to the 30th April, 2022."

Key
27

HR - High Risk. **MR** - Medium Risk. **LR** - Low Risk. **GP** - Good Practice.

Agenda Item 6



Report of the Head of Communications & Marketing

Governance and Audit Committee – 8 February 2022

Corporate Risk Overview - Quarter 3 2021/22

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

Report Author: Richard Rowlands

Finance Officer: Paul Roach

Legal Officer: Debbie Smith

Access to Services Officers: Rhian Millar / Catherine Window

For Information

1. Background

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

2. Corporate Risk: Quarter 3 2021/22

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

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

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

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

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

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

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

3.0 Control Measures

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

4.0 Internal Control Environment and Risk Reporting

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

5.0 Integrated Assessment Implications

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

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

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

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

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

6.0 Legal Implications

6.1 There are no legal implications.

7.0 Financial Implications

7.1 There are no financial implications.

For Information

Background papers: *None*

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

Risk on a Page

Risk Title : Pupil attainment and achievement

Risk ID : 94

Description : 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.

Risk Level : Corporate

Responsible Officer : Helen.Morgan-Rees

Councillor : Robert Smith

Last Update : 04/01/2022

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
		AMBER	AMBER				AMBER			AMBER		

Current Control Measures

Ongoing Mitigations In Relation To Covid 19 Disruptions Are In Place. This Includes Planned Responses To Any Temporary Or Partial Closures To Allow For Continuity Of Learning.

Last Update

Risk Response

Projected Completion

The Swansea Skills Partnership Continues To Meet On A Regular Basis And Ensures That A Ranges Of Local Educators Focus On The Skills Agenda And The Provision Of Good Quality Advice And Guidance For Pupils To Make Choices About Their Education Pathways. The Mychoice Website Provides Strong Support For Pupils To Select Courses At Post Compulsory Age Education. Recently, The Partnership Board Has Focussed On Improving Digital Capacity And Establishing A Neets (Not In Education Training And Employment) Prevention Network As A Sub-Group Of The Main Partnership Board.

02/12/2021

Treat

31/10/2024

Regular Ongoing Monitoring And Evaluation Of School Performance In Respect Of Provision Including Improving The Quality Of Teaching And Learning Is In Place. Each School Is Assigned A School Improvement Adviser To Undertake Support Visits So That Schools' Priorities And Evaluation Of Their Own Performance Is Examined Thoroughly. Where Schools' Capacity To Self-Improve Is Compromised More Intense Support Packages Are Agreed And Supported With Action Plans. The Statutory Function Of Monitoring And Evaluation Helps Mitigate The Risk Of Inferior Education For Pupils.

02/12/2021

Treat

31/10/2023

External Regulation And Review By Estyn, The Education Inspectorate, Remains In Place With Two Recent Letters To The Chief Executive Indicating That Support For Continuity Of Learning During The Pandemic Has Been Useful. Schools And Providers Have Not Been Inspected Since The Creation Of The Risk. However, One School Has Been Removed From A Non-Statutory Category Of Follow-Up In February 2021 And The Only Remaining School In Follow-Up Is Likely To Be Removed From This Category In December 2021. Inspections Will Re-Commence For Schools In April 2022. Inspection Of Local Government Education Services Re-Commence In November 2021 And Swansea Is Likely To Receive A Full Inspection In The Next Two Years. Both Self-Evaluation And Corporate Self-Assessment Processes Are Live And Updated On An Annual Or Sixth Monthly Basis.

02/12/2021

Tolerate

31/10/2024

Current Control Measures

Education Improvement Is Scrutinised By Elected Members In Panel Each Month To Ensure That There Is Suitable Provision To Monitor Relevant Indicators Such As Attendance, Exclusion And Vulnerable Groups Of Learners. The Comprehensive Work Programme Re-Visits Policy Development Such As The Swansea Curriculum Implementation Plan And The Progress Of The Swansea Skills Partnership To Ensure That Plans Are Progressing Well.

Last Update

02/12/2021

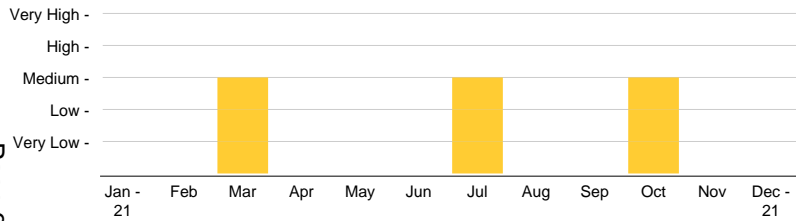
Risk Response

Tolerate

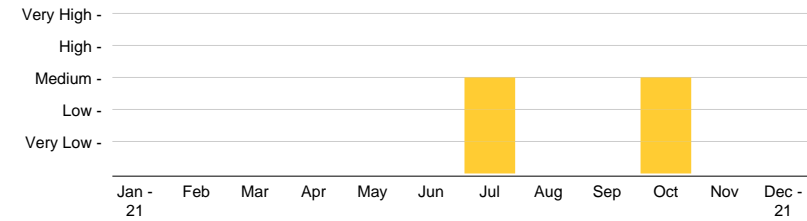
Projected Completion

31/10/2024

Historical Impact :



Historical Likelihood :



Risk on a Page

Risk Title : Safeguarding

Risk ID : 153

Description : 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.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures

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.

Last Update

24/12/2021

Risk Response

Treat

Projected Completion

31/03/2022

Monitor The Effectiveness Of Safeguarding Arrangements Bi-Monthly At The Corporate Safeguarding Board And The Regional Safeguarding Board, Quarterly At Cmt And Monthly At Pfm And Take Appropriate Remedial Action.

24/12/2021

Treat

31/03/2022

Monitor Each Month At Pfm And Bi-Monthly At Scrutiny Committee The Performance Of A Dedicated Safeguarding Team Established In Adult Services To Ensure A Timely Response To All Safeguarding Referrals And Undertake A Further Review Of Adult Services In April 2022.

24/12/2021

Treat

30/04/2022

Recruit 8 Additional Unqualified And Business Support Staff By The End Of December 2021 To Take On Some Of The Functions That Would Usually Be Carried Out By Social Workers In Order To Reduce The Burden On Child Protection Social Workers So That They Can Prioritise Direct Work With Children Who Are Subject To Child Protection Plans.

24/12/2021

Treat

31/10/2023

Closed Control Measures

Establish And Maintain A Regional Protocol To Provide Secure Covid-19 Care Home Provision, Including Increased Capacity In The Councils In-House Care Homes.

Closure Date

31/08/2021

Reprioritise Workload To Focus On The Most Vulnerable People And Prioritise Services And Contact With Those Individuals During The Covid-19 Response.

31/08/2021

Provide Support To People Who Are At Greater Risk From Domestic Abuse During Covid-19

31/08/2021

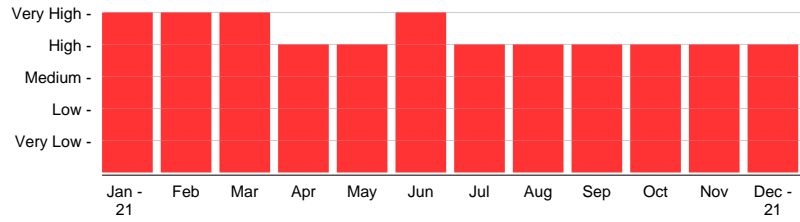
Closed Control Measures

Closure Date

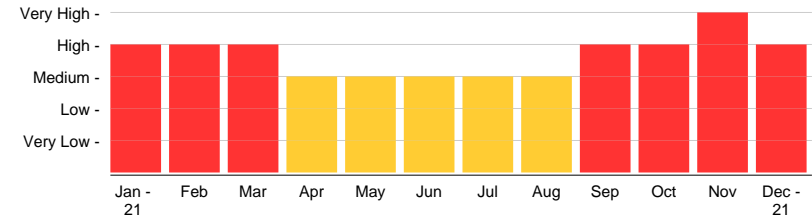
Implement The Councils Covid-19 Recovery Plan To Recover Services And Help Deal With Emerging Risks From Covid-19.	16/09/2021
Provide Emotional And Well-Being Support To Children And Young People During Covid-19	31/08/2021
As Part Of A Wider Restructuring Of Adult Services, There Is Still A Plan To Re-Establish A Dedicated Safeguarding Team At The Front Door.	16/04/2021
Provide Front-Line Social Care Staff With Ppe During Covid-19.	16/04/2021
Support And Shield Vulnerable People In The Community During Covid-19	16/04/2021
Subgroup Of The Corp. Safeguarding Board Reviewing Additional Safeguards That Can Be Implemented By The Hr Transactions Team.	16/04/2021
Action Plan Being Developed In Response To Recent Audit On Dbs Compliance In Schools.	16/04/2021
Children Services Are Planning To Further Enhance The Multi-Agency Front Door Team With A Dedicated Safeguarding Hub.	06/07/2020
Director Of Social Services To Advise Cabinet And Cmt On Options To Bolster Resilience Of The Workforce In Frontline Child Protection Teams	06/07/2020
z Sufficient Numbers Of Trained Adult And Children Services Staff. Principal Officers For Safeguarding Within Social Services	07/07/2020
z Corporate Safeguarding Policy And Group.	
z Strong Performance Monitoring And Reporting Arrangements.	
z Positive Engagement And Support From Cabinet And Council.	
z Mandatory Corporate Safeguarding Training In Place For Staff And Members.	
z Commitment To Invest In Social Care Is Strong.	
z Corporate Priority.	
z Regional And Multi-Agency Safeguarding Partnerships.	
z Safeguarding Leads Identified Across All Council Services	
z Separate Safeguarding Arrangements In Place In Schools, With A Central Education Safeguarding Officer Within The Main Local Authority Directorate	
z Two Dedicated Scrutiny Panels In Place To Scrutinize Social Services Work And Performance.	
z New And Revised Safeguarding Policy Following A Review Undertaken By The Safeguarding Pddc'	
Update (16/7/2019) - Children Services Have Completed The Restructure Of The Frontline Supported Care Planning Teams.	
First Phase Training For Staff In The Adult Services Practice Model Is Almost Complete.	
Multi Agency Monitoring Of Potential Safeguarding Referrals Is Now In Place At The Front Door Of Adult Services.	
A Process For The Regular Audit Of Safeguarding Cases Has Now Been Established Within Adult Services To Mirror The Equivalent Arrangements For Children Services.	
Update 20/9/19 - Some Concern About Diminished Capacity Within Frontline Child Protection Teams Due To High Levels Of Churn Within The Workforce.	
Update 10/10/19 - Additional Concern Identified Regarding The Operation Of Hr Transactions Processes In Relation To Dbs Checks And Some Other Employment Checks In Regulated Services.	
Update 19/11/19 - Cmt Have Agreed Action Plan To Stabilise Recruitment And Retention Of Frontline Children Services Staff	
Update 6/7/20 Safeguarding Arrangements And Resources Have Had To Be Remodelled To Ensure That This Key Priority Function Within Social Services Can Continue To Be Safely Delivered Despite The Restrictions Imposed As A Result Of Covid. The Planned Implementation Of The Multi	

Agency Safeguarding Hub Has Progressed Despite Covid And The Required Dedicated Safeguarding Team For Adults Has Been Included In The Modified Restructure Of Adult Services Required As A Result Of Covid.

Historical Impact : **High**



Historical Likelihood : **High**



Risk on a Page

Risk Title : Financial Control - MTFP aspects of Sustainable Swansea

Risk ID : 159

Description : 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.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 17/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures

Last Update

Risk Response

Projected Completion

Page 37

Further Development Work To Progress On Transformation Agenda Over Medium Term Through Achieving Better Together Reshaping Programme.	17/12/2021	Treat	31/03/2022
The S151 Officer To Issue Forthright And Formal Advice On The Adequacy Of Budgets As Part Of Budget Setting, Including The Central Inflation Provision And Contingency Over The Medium Term Taking Into Account All Known Pressures Including Prices.	17/12/2021	Treat	31/03/2022
Agree Modest Virements In Conjunction With The S151 Officer And Report More Sizeable Issues For Decision Through Cabinet On S151 Officer Advice Around Releases From Central Inflation Provision (£4m) And Contingency (£3.5m) In Year.	17/12/2021	Treat	31/03/2022
Identify Uncontainable Inflation Pressures As Variances In The Monthly Pfm Budget Reporting Cycles And Quarterly Through To Cabinet.	17/12/2021	Tolerate	31/03/2022
Compliance Within Financial Procedure Rules So That Spend Remains Within Budget, Including Permitted Virements.	17/12/2021	Treat	31/03/2022
Services To Ensure That Inflation Pressures Are Managed And Contained Within Cash Limits Agreed At The Time The Budget And Mftp Are Set.	17/12/2021	Treat	31/03/2022
Covid-19 Recovery Plan : Future Council - Finance - New Mftp. Linkages With Achieving Better Together Can Be Refreshed After Csr 2021. Do Expect Multi Year Settlement From Welsh Government A Possibility Which Will Aid Medium Term Certainty.	27/10/2021	Treat	31/03/2022

Current Control Measures	Last Update	Risk Response	Projected Completion
Covid Disruption	27/10/2021	Tolerate	31/03/2022
Extant Spending Restrictions Published To All Staff And Reviewed And Many Controls Continue To Be Directly Exercised By Cmt In Relation To Filling Vacant Posts, Restructures, Regrades And Committing Contract Sums	27/10/2021	Treat	31/03/2022
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	27/10/2021	Treat	31/03/2022
Pfm (Performance And Financial Management/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	27/10/2021	Treat	31/03/2022

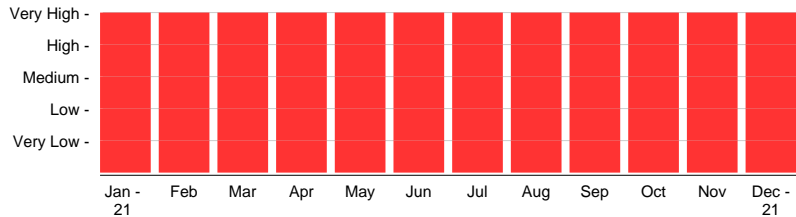
Closed Control Measures

Closure Date

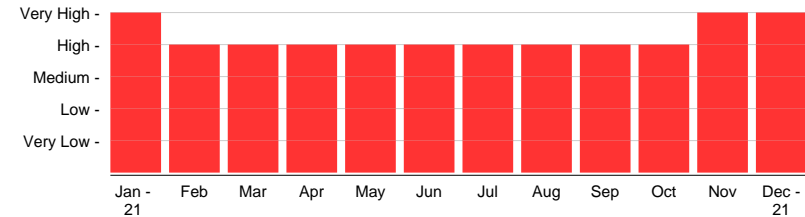
<ul style="list-style-type: none"> ¿ An Agreed Plan And A Process For Corporate Level Monitoring In Place. ¿ An Agreed Budget. ¿ Clear Governance And Reporting In Place. ¿ Prevention Strategy. ¿ Regular Monthly Monitoring At P&Fms. ¿ Reporting, Monitoring And Review At Fstg. ¿ Audit Committee Providing Challenge, Oversight And Assurance. ¿ Collaborative Officer And Member Budget Setting Process In Place. ¿ Launch Of Reshaping Board To Further Challenge Delivery/Mirigations For Non Delivery And Accelerate Timescale For Assuring Delivery ¿ Mtfp. ¿ Dedicated Scrutiny Service Improvement And Finance Performance Panel Consider And Scrutinise The Budget On A Quarterly Basis <p>All The Above Refreshed For 2019-20 Budget Round Including Launch Of Zero Based Budget As Next Phase Of Sustainable Swansea</p>	31/03/2020
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Page 38

Historical Impact : Very High



Historical Likelihood : Very High



Risk on a Page

Risk Title : New Legislative and Statutory Changes

Risk ID : 180

Description : 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.

Risk Level : Corporate

Responsible Officer : Tracey.Meredith

Councillor : Robert Stewart

Last Update : 30/12/2021

Historical RAG :

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
AMBER	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Lobby Welsh Government To Streamline Legislative Requirements, Bureaucracy And Decision Making To Allow A Flexible And Rapid Response To And Recovery From Covid-19.

Last Update

Risk Response

Projected Completion

Legal, Equalities And Future Generations Implications Are Inserted Into All Decision Making Reports That Proceed To Cabinet/Council/Committees With Legal, Finance And Access To Services Sign Off To Ensure That There Is Compliance With Legislation And That Any Legal, Equality, Financial, Future Generation Issues Are Considered Prior To Decisions Being Made.

16/12/2021

Treat

31/07/2022

Consultations From Wg And Uk Government Are Reported To Cmt Via A Standing Item On The Cmt Agenda. This Enables Wider Visibility Amongst Cmt Members. It Also Provides Early Sight Of Proposed Changes To Legislation Or New Legislation Which Is Proposed And Enables Discussion Around The Impact Of Such Changes/New Legislation On The Local Authority Services.

16/12/2021

Treat

31/07/2022

An Action Plan For The Lgewa Has Been Prepared With A View To Allowing Officers To Plan Any Changes That Are Needed To Constitution And Governance Arrangements. The Action Plan Is Updated On A Regular Basis And Is Reported To Cabinet And Cabinet/Cmt Awayday When Necessary.

16/12/2021

Treat

31/07/2022

Lawyers In Local Government Update On New Legislation, Consultation And Constitutional Matters - Circulated By Chief Legal Officer To Cmt On Regular Basis.

16/12/2021

Terminate / Close

21/11/2021

Policy Briefings Are Circulated To Cmt And Where Appropriate Cabinet At Cmt/Cabinet Awaydays. The Monitoring Officer Attends Quarterly Meetings Of Wales Monitoring Officers Where Updates On Legislation Is Discussed. The Monitoring Officer Circulates Llg Updates To Cmt Via The Agenda As And When Received. Other Statutory Officers Also Circulate Briefings Via Cmt. This Enables Cmt To Be Aware Of Legislative Changes And Ensure Wider Visibility Where Appropriate.

16/12/2021

Treat

31/07/2022

Closed Control Measures

Closure Date

Strategic Delivery Unit: Horizon Scan And Give Advice On Our Response To New Legislation And Other Major External Change. ¿ Legislative Duties And Legal Obligations Incorporated Into Reports To Committees And Decision Makers With All Reports Signed Off By Legal And Access To Services. ¿ Embedding Legislative Duties At The Earliest Stages Of Decision-Making Update ¿ Well Being Of Future Generations Guidance To Be Updated To Include Toolkit Which Will Be Referenced In Report Writing New Guidance.¿ Created A Web Page To Provide Information On Well-Being Of Future Generations And To Point Staff And Members To Welsh Government And Future Generation Commissioner Resources To Refer To And To Help Inform The Development Of Any Proposals / Reports At The Earliest Stage. Well Being Future Generations Webpage Updated. Cmt Updated By Monitoring Officer On Legislative Changes/Consultations In Wg From Llg Llg Changes To Legislation Circulated To Cmt No Further Update- Following The Publication Of The Local Government And Elections (Wales) Bill Cmt/Cabinet Awayday Were Presented With Contents Of The Bill For Consideration And Call To Evidence From Wg. Separate Risk To Be Considered For The Contents Of The Bill As It Goes Through Assembly.

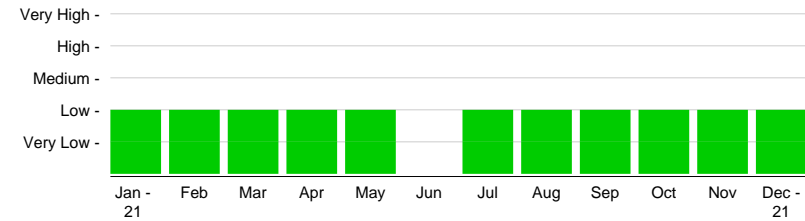
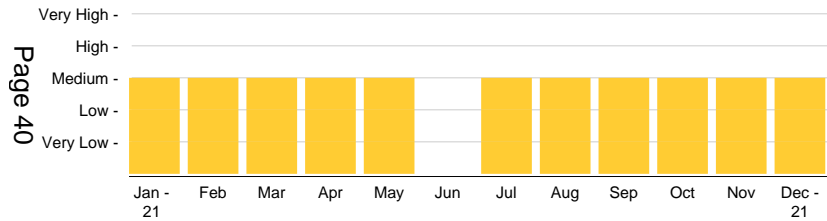
28/06/2021

Legislative Requirements - Built Into Plans And Decision Making.

30/04/2021

Historical Impact : **Medium**

Historical Likelihood : **Low**



Risk on a Page

Risk Title : Workforce Strategy

Risk ID : 196

Description : 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.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : David Hopkins

Last Update : 20/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER		AMBER		AMBER

Current Control Measures

Workforce Strategy For 2021-24 Being Developed To Incorporate Workforce Planning, For Consultation With Cmt And Cabinet In April/ May/ June In 2021.
 Consultation With Members, Cmt, Leadership Team And Employees (Via Staff Survey) Ongoing.
 Employee Focus Groups To Be Held In November. (Updated October 2021).

Last Update

Risk Response

Projected Completion

20/12/2021

Treat

31/03/2022

The Workforce Strategy Is Being Developed To Identify The Key Strategic Objectives, Priorities And Activities That Is Required For The Workforce To Help Achieve The Council'S Key Strategic Priorities.
 (S) The Strategy Specifies The Themes And Strands That Have Been Identified As Key To Its Successful Delivery.
 (M)The Appropriateness Of The Themes And Strands That Sit In The Strategy Are Being Measured By Continued Consultation With Key Stakeholders Such As Members, Cmt, Leadership Team And Employees Via The Staff Survey. Further Consultations Will Take Place With Employee Focus Groups, Trade Unions And With Members And Cmt.
 (A) It Has Been Recognised That, To Achieve Successful Delivery, Additional Resource Would Be Required And Funding Has Been Received To Enable Us To Mitigate The Risk Of Lack Of Resource.
 (R) Measure Have Been Put In Place To Ensure Effective Project Management Of The Key Activities Following On From The Anticipated Agreement To This Strategy.
 (T) This Work Has Been Ongoing Since April 2021 And Will Continue Until The Strategy Is Agreed In Q4 21/22

28/10/2021

Treat

31/12/2021

Closed Control Measures

Workforce Planning

Closure Date

31/03/2021

Workforce Planning
 Corporate Plan

31/03/2021

Closed Control Measures

Closure Date

Sustainable Development Principles Embedded In The Objectives
 Service Planning
 Gender Pay Gap And Project Plan
 Apprenticeship / Traineeships Strategy
 Organisational Development (Od) Strategy And Implementation Plan In Place
 Tracking And Monitoring Of Od Plan And Delivery
 New Reporting Through Revised Cmt/Cabinet Governance
 New Reporting Through Leadership Team
 Service Planning

31/03/2021

Gender Pay Gap And Project Plan

31/03/2021

Organisational Development (Od) Strategy And Implementation Plan In Place.

31/03/2021

Support Staff To Work Remotely At Home During Covid-19.

31/03/2021

Tracking And Monitoring Of Od Plan And Delivery.

31/03/2021

Workforce Will Be A Key Strand Of The Future Council Workstream In The New Covid-19 Recovery Plan

31/03/2021

Support Staff Health And Well-Being During Covid-19.

31/03/2021

Reporting Through Leadership Team.

31/03/2021

Apprenticeship / Traineeships Strategy.

31/03/2021

Redeploy And Train Staff To Assist With The Covid-19 Response.

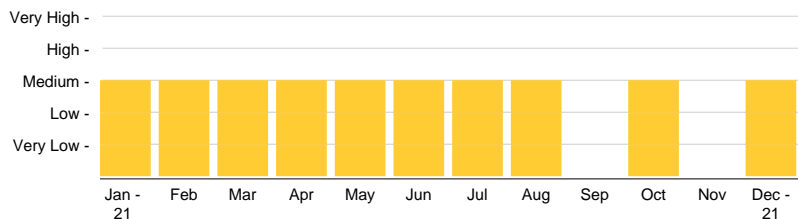
31/03/2021

Corporate Plan - Transformation & Future Council Objective.

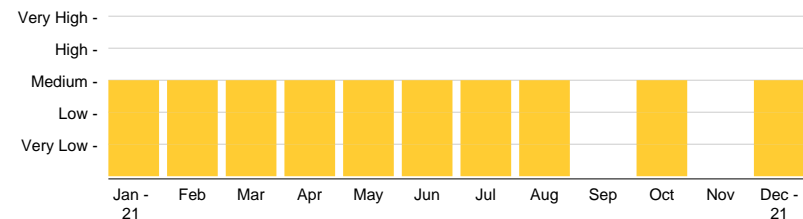
31/03/2021

Page 42

Historical Impact : Medium



Historical Likelihood : Medium



Risk on a Page

Risk Title : Availability of Domiciliary Care

Risk ID : 221

Description : If demand for personal care at home continues to exceed the Council's capacity to directly provide or commission sufficient 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.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED		RED	RED		RED	RED	RED	RED	RED

Current Control Measures

Page 43

	Last Update	Risk Response	Projected Completion
Increase The Number Of Contracted Providers When Capacity Pressures Require And Review Annually The Councils Framework For Commissioning Domiciliary Care.	24/12/2021	Treat	31/03/2022
Review Waiting Lists And Care Provider Available Capacity On A Daily Basis In Order To Prioritise Access To Services For Individuals' Needs. Review Waiting Lists On Weekly Basis To Ensure Priority Cases Are Being Considered And Monitor At The Regional Emergency Community Silver Planning Meeting.	24/12/2021	Treat	31/03/2022
Increase Access To Short Term Residential Placements To Reduce The Need For High-Intensity Domiciliary Care For Individuals Being Discharged From Hospital. Monitor The Effectiveness Of This Approach Bi-Monthly At The Regional Health And Care Transformation Board And Review The Emergency Arrangements In Feb 2022.	24/12/2021	Treat	31/03/2022
Continue To Work With Third Sector Providers To Reprioritise Their Services To Support Individuals With An Alternative To Domiciliary Care To Mitigate The Detrimental Impact Of Lack Of Access To Formal Care; Continue To Monitor The Effectiveness Of This Approach Bi-Weekly At The Regional Health And Care Transformation Board.	24/12/2021	Treat	31/03/2022
Continue A Pilot Of Dom Care Services Being Provided By A Residential Care Provider	24/12/2021	Treat	31/12/2021
Continue To Adapt Respite Services To Flex To Address Long-Term Needs And Review At The End Of December 2021 The Effectiveness Of Of This Approach.	24/12/2021	Treat	31/12/2021
Review As Part Of The Budget Setting Process Within Social Services By End Of March 2022 The Need For A Further Uplift To The 10% Uplift Of The Fee To All Domiciliary Care Providers Implemented In Year To Enable External Providers To Pay A Competitive Salary To Staff To Assist With The Recruitment And Retention Of Domiciliary Care Staff.	24/12/2021	Treat	31/03/2022

Closed Control Measures

Closure Date

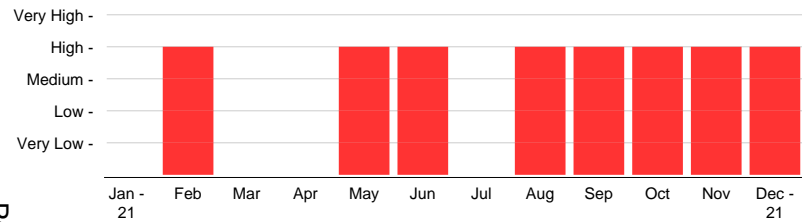
Review Direct Payments Rates

01/03/2021

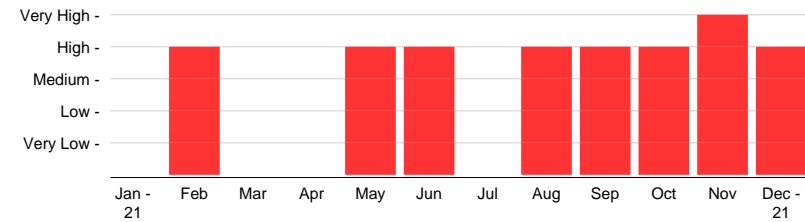
Re-Procured Services At Higher Cost, With Improved Terms And Conditions For Dom Carers And More Efficient Geographical Coverage, To Enhance Provider Capacity To Deliver Services And Recruit And Retain Staff.
Revised Direct Payments Strategy To Incentivise Take Up And Reduce Burden On Commissioned Services.
Daily Management Of Waiting Lists And Contact With Care Providers To Facilitate Access To Services.
Piloting Of ζ Hospital To Home ζ Initiatives To Alleviate Hospital Pressures And Reduce Escalation Of Care And Support Needs.

11/01/2021

Historical Impact : **High**



Historical Likelihood : **High**



Risk on a Page

Risk Title : Digital, data and cyber security

Risk ID : 222

Description : CR86 -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.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : Andrew Stevens

Last Update : 22/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED		RED	RED	RED	RED	RED	RED

Current Control Measures

Last Update

Risk Response

Projected Completion

Introduce Simulated Cyber-Attacks On Staff To Measure Their Actions, Identify Weaknesses And Improve Knowledge.
This Will Check The Level Of Compliance From Users And The Level Of Staff Awareness And Training Needed To Improve Knowledge.

22/12/2021

Treat

31/03/2022

Page 45

Closed Control Measures

Closure Date

Bullwall Software Purchased To Protect Against Malware Attacks. The Software Identifies Abnormal Activity On Devices And Shuts Down The Device To Prevent A Malware Attack On The Councils Network

30/11/2021

Further Mitigation Includes Live Testing Of Dr Plan - Options Being Reviewed Potentially In Line With Wider Corporate Business Continuity Exercise.

20/10/2021

Ms Security Compliance Licences To Be Procured Following Evaluation. This Will Enhance All Security Monitoring Across The Authority For All Users With Swansea Devices.

01/09/2021

Evaluating New Software To Further Support Existing Cyber Security Suite

26/07/2021

Digital Services Working With Internal Audit And Emergency Planning To Further Improve The Ict Disaster Recovery Plan.

01/04/2020

Lrf Cyber Exercise Planned And Revised Siro Training.

31/12/2020

Cyber Security Strategy Created And Ready For Engagement With Staff.

01/01/2021

New Regional Multi-Agency Cyber Cell Meetings Being Attended To Share Intelligence And Actions.

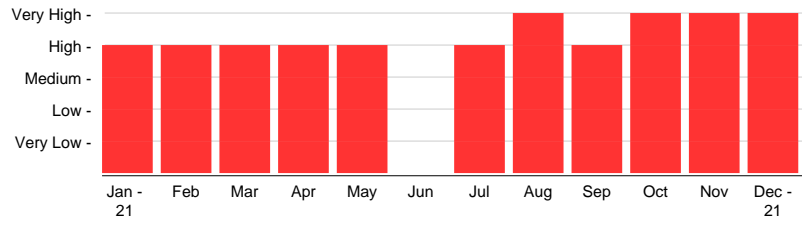
01/10/2019

Closed Control Measures

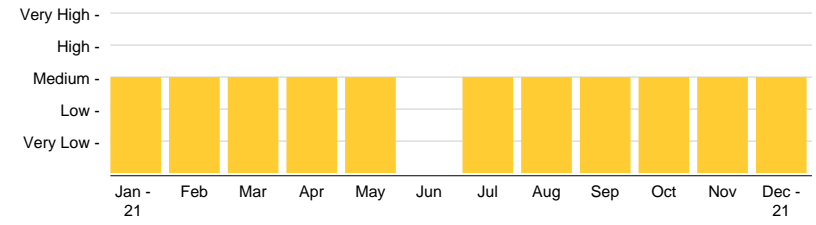
Closure Date

Embarking On Cyber Essential And Cyber Essentials Plus Accreditation.	03/06/2019
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.	01/06/2020
Ensure The Councils Covid-19 Recovery Plan Accounts For Increased Risks From Cyber Attacks And Data Fraud Arising From New Working Patterns And Reliance In Technology.	02/11/2020
Cyber Security During Covid Reviewed Alongside Cyber Security Advice From Warp And Psn Compliance, E.G. Use Of Zoom	30/04/2020
Cyber Essentials Accreditation Achieved.	31/10/2019
Psn Certification Achieved.	31/10/2019
Member Of The Cisp (Cyber Security Information Sharing Partnership) Which Is A Joint Industry And Government Initiative Set Up To Exchange Cyber Threat Information.	31/03/2020
Part Of The Wales Warp (Warning Advice And Reporting Point) To Share Cyber Threats And Defences With Other Public Bodies.	31/03/2020
Enhanced Security Layer Provided By Microsoft Office 365.	31/03/2020
Communications Issued To All Staff And Members Following Publication Of A Case Study Detailing The Impact Of A Cyber Attack At Another Council.	31/10/2019
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. Risk Added 27/03/18 Following Review Of Production Of Corporate Plan 2017/22 And Subsequent Review Of Corporate Risks. Supersedes Risk Cr66. Risk Revised 18/09/18 Following Attendance At A Cyber-Event With The Police And Receiving Information From The Wlga Regarding What Local Authorities Should Be Demonstrating As Basic Measures. Gdpr Project Complete Members Of Digital Services, Communications And Emergency Planning Attended A Cyber-Security Training Event With The Police Which Included Senior Officers From Various Local Authorities Interacting In An Event Of A Real Cyber Incident. Part Of The Wales Warp (Warning Advice And Reporting Point) To Share Cyber Threats And Defences With Other Public Bodies. Member Of The Cisp (Cyber Security Information Sharing Partnership) Which Is A Joint Industry And Government Initiative Set Up To Exchange Cyber Threat Information.	31/03/2020

Historical Impact : **Very High**



Historical Likelihood : **Medium**



Risk on a Page

Risk Title : Emergency Planning, Resilience and Business Continuity

Risk ID : 235

Description : 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.

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrew Stevens

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER

Current Control Measures

Last Update

Risk Response

Projected Completion

Communication During An Incident Is Critical For Responding Cohesively In Partnership With Other Agencies, During Extreme Weather Or Overload Of It And Mobile Communication Systems An Alternative Form Of Communication Is Required As Follows.

24/12/2021

Treat

31/01/2022

1. Receipt Of Welsh Government Grant Funding.
2. Purchase Of Ofcom Radio Broadcast License
3. Purchase Of Motorola Base Station & Hand Held Digital Radios
4. Staff Training
5. Radio Cycle And Comms Check Protocol
6. Equipment Added To Service Asset List, Defects Logged And Comms Checks Recorded For Monitoring Once These Control Measures Are Implemented, The Emergency Management Service Will Have The Capability To Communicate To A Range Of Approximately 5 Kilometres. The Effectiveness Of The System And Equipment Will Be Reviewed On An Annual Basis.

As A Category 1 Responder Under The Civil Contingencies Act, Swansea Council Has A Legal Requirement To Plan For And Respond To Emergencies, To Do This The Following Is In-Place.

24/12/2021

Treat

31/03/2022

1. Staff Trained At Operational, Tactical And Strategic Level Via The South Wales Local Resilience Forum
2. A Major Incident Plan, Which Is Reviewed Annually. And Exercised Every Three Years Unless Activated Or A Significant Change Such As A Change In Statute Require Earlier Change.
3. Maintain And Review On An Annual Basis All Subordinate Plans, Including Mass Fatalities, Flood, Offsite Comah Plan, Rest Centre Plan.
4. Manage A Duty Officer Rota To Effectively Respond To Emergencies Available 24 Hours Per Day, 365 Days Per Year.
5. Annually Review All Identified Risks Within The Borders Of Swansea Council, To Ensure Control Measures Remain Relevant And Proportionate.
6. The Council Has A Corporate Business Continuity Policy And Guidance In-Place Which Is Redistributed Annually To All Heads Of Service To Ensure Business Continuity Plans Are Robust And Reviewed

Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Annually.</p> <p>7. The Emergency Management Service Has Guidance, Procedures And Action Cards In-Place Which Are Reviewed Annually For All Significant Risks.</p> <p>8. The Emergency Management Service (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.</p> <p>9. Ems Maintains A Fully Stocked Incident Responce Vehicle, To Protect/Support The Public During An Emergency.</p> <p>New Service Delivery 21-22, To Develop Emergency Arrangements For Reservoir Inundation/Breach, Coal/Spoil Tip Landslide/Breach, Felindre Site, And Development Of Additional Rest Centres</p>	27/05/2021	Treat	31/03/2022

Closed Control Measures

Closure Date

<p>Swansea As A Diverse Multicultural/Language Diverse Society, Requires Ready Access To Translators To Support Our Community By Effectively Communicating During An Emergency.</p> <p>To Improve Our Ability To Respond And Support The Community, A Language Survey And Request For Staff Volunteers Has Been Implemented And A Full Database Of Staff With Additional Language Skills Will Be Created And Held Confidentially By The Emergency Management Service. This Database Will Be Reviewed And Amended Every 6 Months, Including The Confirmation Of Contact Information To Maximise Our Ability To Respond To An Emergency.</p> <p>This Update Will Be Communicated To The Emergency Management Staff, Added To The Duty Officer Folders And Drive.</p>	20/12/2021
Tier 1 Comah Exercise Remotely Via Teams For Hse Legal Compliance, All Blue Light And Cat1 Partners Present	28/09/2021
Covid Compliant Rest Centre Training/Exercise With Brc And Police Planned	03/08/2021
Assistant Emo Post Job Evaluated Dpr For Cmt Approval 9th April For Sign Off And Recruitment	14/06/2021
Ems Staffing And Resilience	26/03/2021
Prepare For Further Covid-19 Or Other Infectious Disease Outbreaks.	26/03/2021
Review And Update Business Continuity Plans.	31/12/2020
Multi Agency Exercising And Training.	31/03/2020
Review Of Mip And Supporting Action Cards Underway	26/03/2021
Offsite Comah Plan & Exercising.	31/03/2020
Emergency Recovery Plan.	31/03/2020
Vehicle Mitigation & Protective Security Advice.	31/03/2020

Closed Control Measures**Closure Date**

Commissioned Emergency Control Centre.	31/03/2020
Flood Management Plan.	31/03/2020
Mass Fatality Plan.	31/03/2020
Major Incident Plan.	31/03/2020
Crisis Media Plan.	31/03/2020
Additional Dedicated Ppe Reserve For Responders And Public During Evacuation And Additional Rest Centre Location For Mass Evacuation To Be Established From Bay. Ppe Reserve Now Catalogued With Dedicated Management Spreadsheet	11/09/2020
Rest Centre Plan & Arrangements. Duty Packs Reviewed And Updated Oct 20	31/03/2020
Specific Covid Rest Centre Arrangements Developed And Implemented Complete With Evac Ppe And Hygiene Supplies. Ppe Reserve Catalogued And Issued First Response Supplies To Duty Officers	19/06/2020
Restructure Of Ems To Include Additional Ems Officer And Principle For 12 Months Losses To Ems Officers Through Hr Process Further Dpr And Review Required In November	12/07/2020
Additional Strategic Training To Increase Organisational Resistance Agreed For 3rd November Swlrf Cancelled Gold, However Gold Lie Being Established And Tactical Training Under Development. Action Complete Director Trained Via Gold Lite Package	03/11/2020
Dpr To Recruit Two Ems Officers And Extend Principal Emo Agreed 27th November, Internally And Externally Advertised	22/01/2021
Temporary Mortuary Arrangements.	31/03/2020
Greater Responsibility Allocated To Deputy Ceo From 29 October 2018. Responsible Officer Changed From Phil Roberts To Adam Hill As Per Cmt On 13/02/19.	13/02/2020
Project Griffin Training.	31/03/2020
Call Out & Activation Protocols/Action Cards.	31/03/2020
Rag Alert System Across H&S, Emergency Management.	31/03/2020
Service And Corporate Business Impact Assessments And Business Continuity Plans.	31/03/2020
Continual Review Of Plans & Protocols.	31/03/2020
Risk Profiling.	31/03/2020

Closed Control Measures

Closure Date

Major Incident Plan

¿ Flood Management Plan

¿ Mass Fatality Plan

¿ Temporary Mortuary Arrangements

¿ Crisis Media Plan

¿ Rest Centre Plan & Arrangements

¿ Recovery Plan

¿ Offsite Comah Plan & Exercising

¿ Risk Profiling

¿ Project Griffin Training

¿ Vehicle Mitigation & Protective Security Advice

¿ Multi Agency Exercising & Training

¿ Call Out & Activation Protocols/Action Cards

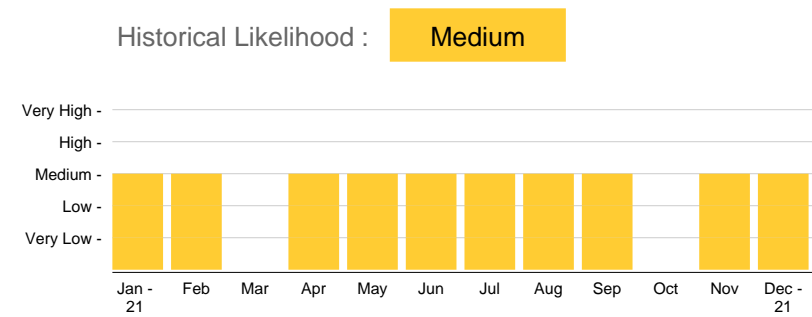
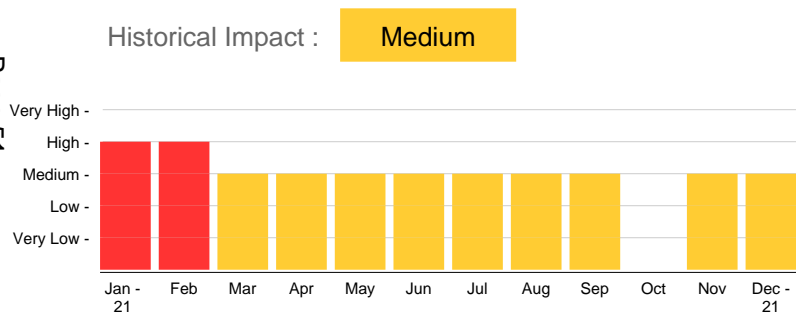
¿ Continual Review Of Plans & Protocols

¿ Service And Corporate Business Impact Assessments And Business Continuity Plans

¿ Rag Alert System Across H&S, Emergency Management

31/03/2020

Page 51



Risk on a Page

Risk Title : Health & Safety

Risk ID : 236

Description : 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

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : David Hopkins

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER		AMBER	AMBER

Current Control Measures

Corporate Health & Safety Acting As The Competent Advisor For The Authority For Health & Safety, And Fire Safety Management Undertake An Annual Program Of Audit And Inspections Across All Service Areas To Maintain And Improve Arrangements And Compliance With Policy, These Are Recorded To Protect The Organisation And Agreed Improvement Plans Put In-Place And Monitored For Completion.

All Corporate H&S Training Records, And Qualification Refresher Recalls Are Centrally Administered With Compliance Reports Provided To Services On A Bi-Annual Basis.

H&S Officers Also Investigate More Significant Accidents Falling Under The Remit Of The Riddor Regulations, Providing A Management Report To Prevent Re-Occurrence, Ensure Legal Compliance And An Improvement Of Standards, These Are Also Provided With Statistical Information To Directors Biannually And Within An Annual Corporate Accident Report And Trend Analysis.

The Service Also Manages A Rag Rated Alert System Allowing Communication Of Best Practise, Legal/Policy Changes And Areas For Action Across The Authority, These Are Document Control And Stored For Evidence Purposes And Liaison With The Health & Safety Executive, Fire And Rescue Services And Legal Representatives.

If Sufficient, Suitably Trained Staff Were Not In-Place It Would Leave The Organisation Unable To Meet It'S Legal Responsibilities.

Swansea Council, Recognising Its Legal And Moral Obligations Will Under Full Consultation Develop And Implement A Corporate Menopause Policy Which Will Be Communicated To All Service Areas.

This Will Be Done In A Phased Manner, December 2021 Hr Consultation. January 22 Head Of Service Consultation, March Final Consultation And Sign Off With Trade Unions.

In The Interim Guidance For Managers And Employees, With All Supporting Arrangements Via Occupational Health And Stress Management Have Been Put In-Place.

Swansea Council Has A Corporate Health & Safety Policy In-Place Developed Under Full Consultation With Key Internal Stakeholders In-Place Signed By The Chief Executive And Leader, Which Clearly Identifies The Health & Safety Responsibilities Of Every Level Of Employee, Which Is Reviewed Every 3

Last Update	Risk Response	Projected Completion
24/12/2021	Tolerate	31/03/2022
24/12/2021	Treat	31/03/2022
01/11/2021	Treat	31/03/2022

Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Years Or If Significant Change Occurs Such As A Change In Statute, Leader Or Statute Changes. This Policy Is Provided To All Staff During Induction, And There Is A Mandatory Health & Safety Training Framework For All Employees.</p> <p>Each Director Chairs A Bi-Annual Health & Safety Committee 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. Each Directorate Has Proportionate Lower Level Health & Safety Groups In-Place Based On Risk.</p> <p>All Policies Subordinate To The Corporate H&S Policy Are Reviewed Under Consultation Every 3 Years, Or Significant Change.</p> <p>Policy Review Plan For 21-22</p>	26/08/2021	Treat	31/03/2022

Closed Control Measures

	Closure Date
With Departure Of Hso Covering Social Services, Dpr To Recruit To Be Submitted By 10th June, Interim Cover Within The Team Established, Recruitment To To Start Estimated 30/07/21	27/09/2021
Dpr For Replacement H&S Training Officer Signed Off By Cmt And Passed To Employee Services For Advertisement 22nd March	14/05/2021
Review Of Corporate Smoking Policy In Line With Regulatory Changes	28/04/2021
Staff Well-Being As Part Of The Future Council Stream Of The Council'S Covid-19 Recovery Plan.	31/03/2021
Provide Stress Management And Counselling And Health & Safety Advice And Support To Staff During Covid-19.	31/03/2021
H&S Staffing To Ensure Service Delivery	08/03/2021
H&S Toolkits.	31/03/2020
Well-Being Policies. New Mental Health Policy Under Consultation To Include Social Isolation And Impacts From Home Working	31/03/2020
Retrospectively Entered, Covid Assessments, Standard Operating Procedures Created For Schools And Premises, Bame And Health Assessment Processes Created And Various Ppe Guidance.	30/07/2020
Due To Service Losses, Available H&S Officers At A Significantly Reduced Level, Particularly With Demand From Schools And Social Care Sector, Dpr On Service Need And Staffing To Be Submitted To Cmt November Dpr Signed Off 30th November	30/11/2020
Additional Guidance On Health Assessments And General Covid Information As Priority Objective	25/09/2020
Early Review Of Lone Working, Dse And Mental Health Policies To Include Impacts And Resources Available From Extended Home Working And Social Isolation	11/12/2020
Review Business Continuity Plans To Prepare For Eu Exit.	16/10/2020

Closed Control Measures

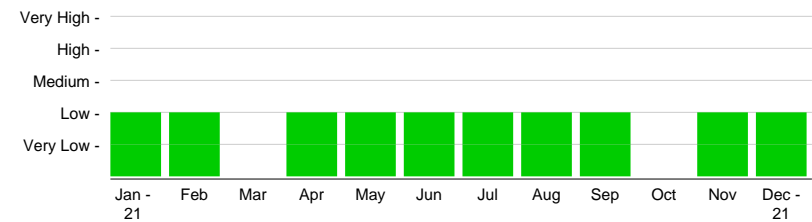
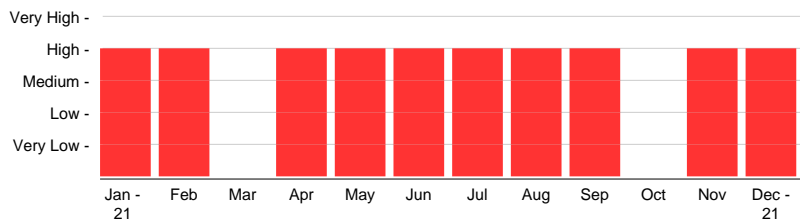
Closure Date

Directors H&S Committees & Sub Safety Groups.	31/03/2020
Member Of British Association Of Counsellors And Psychotherapists (Bacp).	31/03/2020
Noise, Dust, Lighting, Humidity & Vibration Sampling.	31/03/2020
Riddor Procedures For Reportable Incident To The Hse.	31/03/2020
H&S Audit Plan.	31/03/2020
Rag Alert System Across H&S, Emergency Management And Well-Being.	31/03/2020
Health & Safety Policies.	31/03/2020
Health & Safety Mandatory Training And E-Learning.	31/03/2020
Swansea Council Rag Fire Risk Profiling For All Premises.	31/03/2020
Greater Responsibility Given To Deputy Ce From 29 October 2018. Responsible Officer Changed From Phil Roberts To Adam Hill As Per Cmt On 13/02/19	13/02/2020
<ul style="list-style-type: none"> ¿ Health & Safety (H&S) Policies ¿ H&S Toolkits ¿ Riddor Procedures For Reportable Incident To The Hse ¿ H&S Audit Plan ¿ Well-Being Policies ¿ Member Of British Association Of Counsellors And Psychotherapists (Bacp) ¿ Seqosh Accreditation By Faculty Of Occupational Medicine ¿ Noise, Dust, Lighting, Humidity & Vibration Sampling ¿ Directors H&S Committees & Sub Safety Groups ¿ Rag Alert System Across H&S, Emergency Management And Well-Being 	31/03/2020

Page 54

Historical Impact : High

Historical Likelihood : Low



Risk on a Page

Risk Title : Regional Working

Risk ID : 259

Description : 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.

Risk Level : Corporate

Responsible Officer : Phil.Roberts

Councillor : Robert Stewart

Last Update : 20/12/2021

Historical RAG :

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Corporate Joint Committees (Cjcs). The Formal Shadow Arrangements For The New Cjc Has Been Set Up Between Swansea, Npt, Carmarthenshire And Pembrokeshire Councils. There Are Fortnightly Officers Meetings And Monthly Meetings With Council Leaders. There Has Been A Successful Welsh Government Bid For The Financial Report To Set The Structure Up. By March 2022 The Structure Will Be Finalised And Will Include An Indicative Budget For 2022/23.

Cabinet Has Received Formal Reports And Once The Formal Agreement Is Finalised There Will Be A Report To Cabinet/Council Prior To The New Financial Year. Internally Cmt Are Updated In Regular Meetings And Discussed In Informal Cabinet And Cmt Meetings. The Roles And Responsibilities In Governance Monitoring And 151 Officers Have Been Agreed Among Councils. Completion Date March 2022 (Updated 08/11/21).

Erw Replacement. The Shadow Joint Committee For Partneriaeth Is Established. Formal Approval Via Report To Cabinet Of The Establishment Of The South West Wales Education Partnership, With Carmarthenshire And Pembrokeshire And An Agreement Of Its Terms Of Reference, Governance And Audit And Scrutiny Functions. The Agreement Of The Tor And The Role Of The Joint Committee Is Very Clear, There Is A Sound Governance Arrangement And Clarity On The Roles And Responsibilities Of The Respective Councils; Completion Date December 2021. The Formal Dissolution Of Erw: Completion Date January 2022 (Updated 08/11/21).

Regional Meetings. Continue To Hold Regional Meetings Between Officers And Members Remotely Through Microsoft Teams To Ensure That Meetings Are More Frequent And Effective And Provide Confidence That Governance Remains Robust Until The Cjc Arrangements Are Finalised In March 2022 (Updated 08/11/21).

Last Update	Risk Response	Projected Completion
20/12/2021	Treat	31/03/2022
08/11/2021	Treat	31/01/2022
08/11/2021	Treat	31/03/2022

Closed Control Measures

Closure Date

Representations Have Been Made To Welsh Government On Reforming The Grant Regime.

31/03/2020

Governance Structures Are In Place For All Major Collaborations.

31/03/2020

Partnerships Have Been Mapped.

31/03/2020

Director Leads For Each Partnership.

31/03/2020

Senior Management Restructure Strengthening Capacity For Regional Working.

31/03/2020

¿ The Senior Management Restructure Approved By Council On 21st June Strengthens The Council¿S Management Capacity To Ensure That The Regional Collaboration Agenda Can Be Taken Forward Proactively By Swansea Whilst Also Allowing The Council To Manage Its Ambitious Programmes Based Around The Corporate Priorities.

09/03/2020

¿ The New Senior Management Structure Agreed At Council On 21st June 2018 Has Director Leads In Place For Each Partnership.

¿ The Council Is Playing A Leading And Proactive Role In Major Regional Collaborations.

¿ A Mapping Exercise Has Been Undertaken That Identified The Key Local, Regional And National Partnerships.

¿ Erw Produces Audited And Published Accounts And Are Inspected By Estyn And Has Produced A Document Called Democratic Accountability And Scrutiny, Which Recognises The Role Of Scrutiny In, Amongst Other Things, Monitoring Performance And Budgets. The City Deal Is In The Development Stages Of Practical Formation And Detailed Agreement; It Is Envisaged That The Governance Structure Will Be Similar To That Of Erw.

¿ The Chief Executive Takes The Lead Role For Erw And Western Bay As Well As Being An Executive Member Of The City Deal Joint Committee.

¿ The Leader Of The Council Is The City Region Joint Committee Chair.

¿ The City Deal Has A Joint Working Agreement In Place, Which Was Approved At Council On 26th July 2018.

¿ A Review Of Progress Has Been Undertaken By Ipc On The Western Bay Health & Social Care Collaboration.

¿ The Council Meets Up Regionally With 5 Other Local Authorities To Discuss Collaboration Projects.

¿ The Council Has A Clear Rationale In Place When Collaborating And It Is Clear On The Anticipated Benefits And Costs.

¿ Erw Has Fully Formed Governance Arrangements, Which Includes A Joint Committee, An Erw Service Committee And A Joint Scrutiny Mechanism. A Joint Committee Agreement And Joint Scrutiny Arrangements Were Agreed For The City Deal At Council On 26th July 2018. Western Bay Has A Joint Committee In Place; There Are Scrutiny Arrangements In Place For All Three Partnerships

¿ The Council Is Playing A Leading And Proactive Role In Major Regional Collaborations.

¿ The Council Has A Clear Rationale In Place When Collaborating And It Is Clear On The Anticipated Benefits And Costs.

¿ The Council Understands What It Currently Contributes Directly To Erw, Western Bay And City Region And How Much It Contributes To All Other Partnerships.

¿ The Council Is Rolling Out And Promoting The Use Of Skype As Part Of The Wider Roll Out Of Office 365 Resulting From The Council¿S Digital Strategy And Modernisation Agenda.

¿ The City Deal Is Being Delivered With The Involvement Of The Private Sector. The Western Bay Programme Supports Collaborative Working Between Four Statutory Partner Organisations, Together With The Third And Independent Sectors. Erw Has Independent Members Involved In The Executive Board.

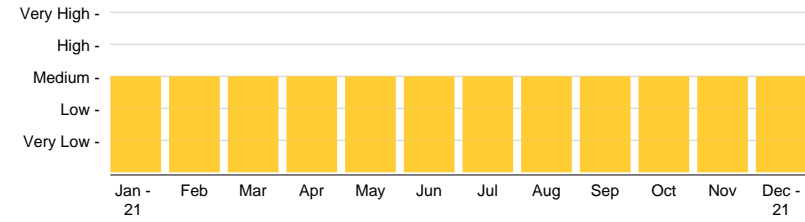
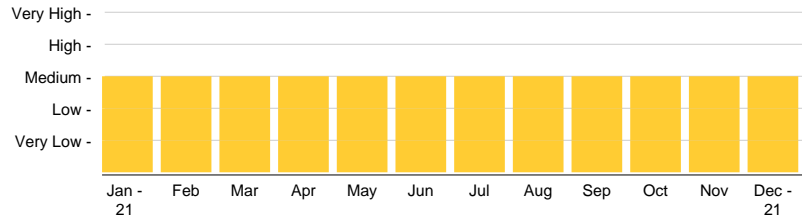
¿ Representations Have Been Made To Welsh Government On Reforming The Grant Regime; For Example Through The Council¿S Response To The Recent Green Paper On Local Government Reorganisation.

Covid-19 Has Significantly Impacted On The Potential For Increased Regional Collaboration In Two Ways. Firstly The Move To Remote Meetings Via Ms Teams Has Meant That Meetings Are More Structured, More Frequent And More Effective. The Ability To Hold Formal Meetings Using Ict Has Been Enabled By Wg Regulation And This Should Now Become The Norm. Secondly The Collaboration With Npt And Sbuhb Has Accelerated

With The Response To The Pandemic Being A Catalyst For Improved Joint Working Which Must Be Maintained Post-Covid.

Historical Impact : **Medium**

Historical Likelihood : **Medium**



Risk on a Page

Risk Title : COVID-19

Risk ID : 264

Description : 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.

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Robert Stewart

Last Update : 15/12/2021

Historical RAG :

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
RED	RED	RED	RED	AMBER	AMBER	RED	RED	RED	RED	RED	RED

Page 58

Current Control Measures	Last Update	Risk Response	Projected Completion
Work With Partners During The Course Of The Pandemic To Inform And Reassure The Public And Reinforce Health And Social Distancing Messages Through Social And Other Media.	17/11/2021	Treat	31/03/2022
Prepare And Implement A Covid-19 Recovery Plan To Restart, Adapt, Recover And Transform Council Services. The Swansea Achieving Better Together Programme Has Three Phases: Recovery & Refocus Are In Implementation. Recovery (Short Term (2021)). Refocus (Mid Term (To May 22)) And Reshape Is In Development (Long Term (3-10 Years)).	29/10/2021	Treat	31/03/2022
Provide Help And Support To People And Communities In A Variety Of Ways During The Pandemic In Order To Keep Them Safe And To Protect Their Health And Well-Being; Such As Ttp, Free Lateral Flow Tests, Support At Home, Help With Funding, Etc. Among Other Types Of Help And Support.	29/10/2021	Treat	31/03/2022
Work With Health And Others During The Course Of The Pandemic To Prepare For The Possibility Of Further Covid-19 Outbreaks Through Planning And Providing Information, Support, Equipment, Facilities, Precautions (Such As Social Distancing, Face Masks And Testing) And Tpp Services.	29/10/2021	Treat	31/03/2022
Log And Share Good Practice And Lessons Learnt Responding To The Covid-19 Virus And Share Relevant Data And Statistics On The Impact Of The Virus, Such As Those Provided By Ons	22/04/2021	Treat	31/03/2022

Closed Control Measures

Closure Date

Work With Welsh Government And Provide Council-Led To Support To Local Businesses During The Course Of The Pandemic To Enable Them To Continue To Trade, E.G. Advice, Grants And Rate Relief.

30/06/2021

Closed Control Measures

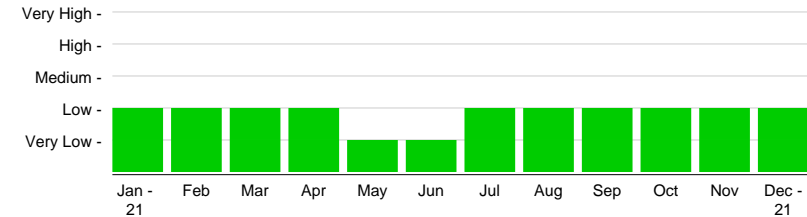
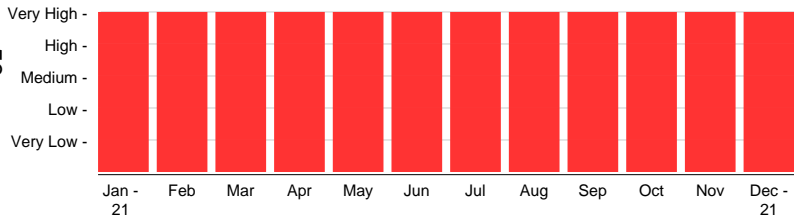
Closure Date

Work With Partners To Help Increase Emergency Bed Provision Through The Conversion Of Buildings Into Field Hospitals.	07/05/2020
Provide Food, Pharmacy And Well-Being Support To Shielded Individuals Through Swansea Council Helpline, Local Area Co-Ordinators (Lac), Swansea Council For Voluntary Service (Scvs) And The Food Bank Network.	16/08/2020
Work With Partners To Prioritise Demand For Key Services, Especially Social Care And Homelessness.	16/08/2020
Work With Partners To Support Education Teams & Schools And Provide Education / Childcare For Key Workers & Food For Children Who Get Fsms.	14/09/2020
Work With Partners To Redeploy Staff And Seek Recruits To Critical Areas, Such As Social Care And Food Distribution To Food Banks.	16/08/2020
Work With Partners To Ensure Resilient Supply Chains, Especially Food And Ppe Supply.	16/08/2020
Work With Partners To Provide Social Care And Other Critical Front-Line Staff With Ppe.	16/08/2020

Historical Impact : Very High

Historical Likelihood : Low

Page 59



Risk on a Page

Risk Title : Local economy and infrastructure

Risk ID : 269

Description : 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.

Risk Level : Corporate

Responsible Officer : Martin.Nicholls

Councillor : Robert Stewart

Last Update : 15/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED	RED	RED	RED		RED	RED	RED

Current Control Measures

Last Update

Risk Response

Projected Completion

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.

15/12/2021

Treat

31/12/2021

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.

15/12/2021

Treat

31/12/2021

Closed Control Measures

Closure Date

Work With The Welsh Government On A Foundational Economy Approach To Help Establish A Firm Base Of Medium Sized Firms In Swansea, Strengthen Local Supply Chains And Add Social Value In Procurement.

15/12/2021

Collaborate With Welsh Government On Regional Economic Framework To Ensure That Swansea'S Priorities Are Included And That Future Investment Will Follow. This Strategic Document Will Guide Investment Over The Next Ten Years In Order To Maximise Economic Growth In The Region, Creating More Jobs And Increasing Gva.

15/12/2021

Make Representations To Welsh Government Regarding Changes To Tan 15 Flooding Regulations And The Potential Major Impact On Regeneration Projects In Order To Find Appropriate Mitigation.

02/12/2021

Assist Tourism Businesses To Reopen Safely Following Closure As A Result Of Covid-19.

01/11/2021

Provide Business Advice And Support, Including Administering Uk And Welsh Government Business Grants And Funds, To Assist Them During Covid-19. A Range Of Support Provided.

01/11/2021

Closed Control Measures

Closure Date

Implement The Business And Economic Stream Of The Councils Covid-19 Recovery Plan To Understand And Recover From The Impact Of Covid-19, Build Resilience And Develop Opportunities.

01/11/2021

Attract Sufficient Investment And Development And Regenerate The City Centre.

01/11/2021

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. A Range Of Support Provided.

17/08/2021

Refresh Regional Economic Regeneration Strategy
Replaced By Regional Economic Framework Counter Measure

17/08/2021

Monitor The Supply And Increasing Cost Of Various Building Materials. Maintain An Open Dialogue With The Construction Industry And Government Departments.
Transferred To A Separate Corporate Risk.

17/08/2021

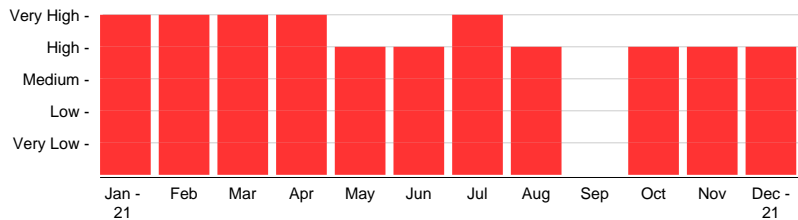
Carry Out A Re-Purposing Feasibility Study To Examine Options To Re-Balance And Revitalise The City Centre Following The Impact Of Covid-19 On Retail, Leisure And Office Uses.
Draft Report Prepared.

17/08/2021

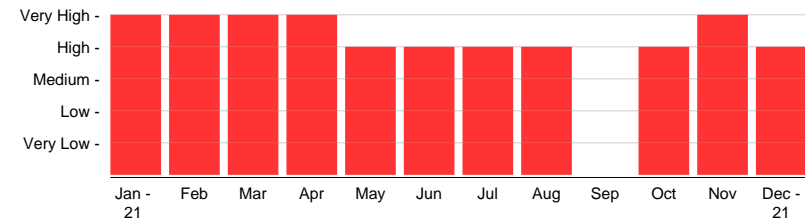
Develop A Covid Economic Recovery Plan

31/03/2021

Historical Impact : High



Historical Likelihood : High



Risk on a Page

Risk Title : Covid-19 Risk

Risk ID : 274

Description : 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

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

Current Control Measures

Last Update

Risk Response

Projected Completion

Maintain And Monitor On A Weekly Basis, Through The Weekly Community Health And Care Silver Planning Meetings, The Delivery Of And Access To Personal Care Services That Have Been Adapted To Prioritise Individuals With The Highest Level Of Need And Robust Infection Control Measures Implemented To Protect Staff And Service Users. These Arrangements Will Be Reviewed In February 2022.

24/12/2021

Treat

28/02/2022

Maintain And Monitor Each Month And Review In March 2022 The Use Of Additional Surge Beds Opened Within The Councils In House Residential Care Service To Provide Temporary Placements For Individuals Unable To Access Domiciliary Care And Alternative Forms Of Family Support Are Not Available

24/12/2021

Treat

31/03/2022

Review By April 2022 The Effectiveness Of The Restructure Of Adult Services

24/12/2021

Treat

31/03/2022

Utilise Additional Welsh Government Funding To Add Capacity To Critical Workforce Functions Or To Commission Additional Services From The Independent And Third Sector And Monitor Its Effective Use Quarterly Through The Health And Social Care Regional Partnership Board. This Funding Will Cease At The End Of This Financial Year.

24/12/2021

Treat

31/03/2022

Rag Rate And Review Each Month All Cases Open To The Directorate To Ensure Individuals With The Most Critical Need Are Prioritised For Assessment, Care And Support And Negotiate Alternative Arrangements For Support With Families, Carers Or Other Community Or Third Sector Support For Individuals With Lower Levels Of Need. The Use Of The Rag Status Will Be Reviewed In March 2022.

24/12/2021

Treat

31/03/2022

Maintain Staff Contracted Hours Extended On A Voluntary Basis To Add Additional Workforce Capacity In Critical Service Areas Such As In House Domiciliary And Residential Care. These Arrangements Will Be Reviewed At The End Of March 2022.

24/12/2021

Treat

31/03/2022

Current Control Measures

	Last Update	Risk Response	Projected Completion
Maintain Additional Workforce Support Arrangements Established To Help Manage Increased Levels Of Sickness Absence By Providing Additional Welfare Support For Staff And Enhanced Recruitment And Retention Of Staff And Monitor Effectiveness Each Month At Pfm Meetings.	24/12/2021	Treat	31/03/2022
Maintain The Use Of Emergency Care Home Support Arrangements 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 And Monitor At Weekly Regional Community Silver Emergency Planning Meetings. These Arrangements Will Remain In Place Until February 2022 And Then Subject To Review.	24/12/2021	Treat	28/02/2022
Procure An External Agency To Address Backlogs In Adult Assessment And Reviews Until April 2021 And Then Review.	24/12/2021	Treat	31/03/2022

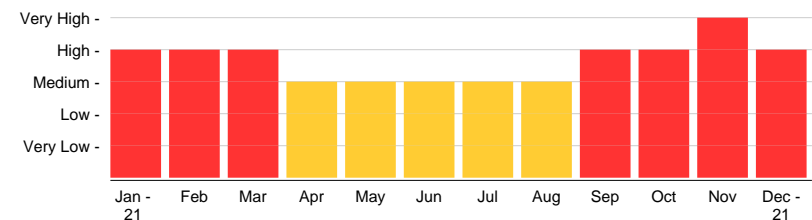
Closed Control Measures

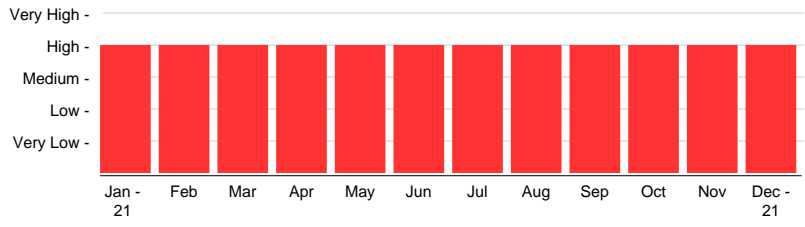
	Closure Date
<p>Service Adaptation And Recovery Plans In Place Across All Social Services.</p> <p>Multiagency Emergency Planning Infrastructure In Place Via The Regional Health And Social Care Partnership Board Which Undertakes Dynamic Risk Assessment On A Twice-Weekly Basis.</p> <p>Council Has Stepped Back Up Its Internal Emergency Planning Infrastructure</p> <p>Additional Surge Beds Across Health And Care System Are Being Utilised Flexibly To Support Step Down From Hospital Or Step Up From Community</p> <p>Adult Services Has Been Restructured To A Functional Model To Ensure Maximum Resilience For The Most Critical Services.</p> <p>Additional Funding From Wg Is Being Prioritised To Try And Expand Critical Areas Of Workforce Both In Council Services And In Externally Commissioned Services</p> <p>Families, Carers, Communities And The Third Sector Are Being Asked To Help Mitigate The Impact Of A Lack Of Formal Care And Support For Individuals Where Possible</p> <p>A Rag Rating Approach Is Being Utilised To Prioritise Care For Those In Most Critical Need.</p> <p>Staff Contracted Hours Have Been Extended On A Voluntary Basis</p> <p>Additional Workforce Support Arrangements Have Been Established With Dedicated Corporate Resource And Additional Investment In The Service To Cover Sickness Absence Management, Welfare Support And Recruitment And Retention Activity</p> <p>Emergency Care Home Support Arrangements Have Been Reinitiated Across The Region.</p> <p>External Agency Support Is Being Sought For Critical Areas Or To Help Cover Backlogs</p>	03/12/2021

Page 63

Historical Impact : High

Historical Likelihood : High





Risk on a Page

Risk Title : Achieving Better Together - Recovery

Risk ID : 276

Description : 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

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrea Lewis

Last Update : 04/01/2022

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Undertake Monthly Meetings Of The Organisation, Cross Cutting & Transformation Steering Group And Ensure That Workstream Leads Report Progress And Risks At This Meeting Highlighting Any High Risks/Issues For Escalation To The Monthly Meetings Of The Recovery, Reshaping & Budget Strategy Board. The Recovery, Reshaping & Budget Strategy Board Will Ensure That Actions And Plans Are Progressing And Challenge And/Or Address Anything Which Is Not Being Achieved Or Is A Risk To The Authority.

Last Update

04/01/2022

Risk Response

Treat

Projected Completion

31/01/2022

Page 65

Closed Control Measures

Monitoring Capacity

Closure Date

01/06/2021

Robust Governance And Recovery Plan Monitoring And Reporting

29/06/2021

Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.

29/06/2021

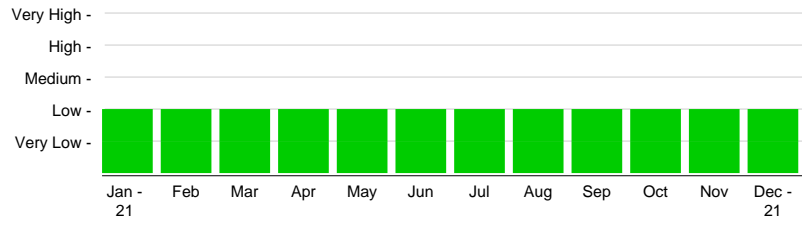
Monthly Review Of Action Plans By Workstream Area, Updates And Risks Also Reviewed At The Steering Group And The Board. Any Risk Identified With An Amber Or Red Rag Rating Will Be Escalated To Board Or If Identified At Board A Plan Of Action Will Be Created With Smart Targets.

26/05/2021

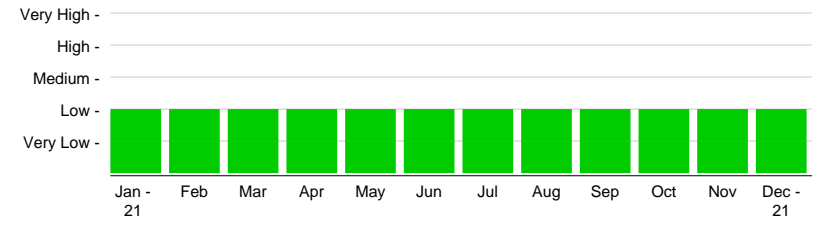
Monthly Review Of Actions, Updates And Risks Undertaken At The Steering Group And The Board. Any Risk Identified Or Red Rag Rating Will Be Escalated As Pe The Governance Framework.

23/04/2021

Historical Impact : **Low**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Achieving Better Together - Transformation

Risk ID : 277

Description : If the Council does not transform effectively it will not be sustainable and financially resilient in the longer term

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Andrea Lewis

Last Update : 04/01/2022

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

Develop An End Of Programme Report From The Previous Transformation Programme And Use The Lessons Learnt Following A Review At Scrutiny In Jan 22 To Re-Shape The New Swansea - Achieving Better Together From Recovery Programme.
(Amended From: Learning From The Previous Transformation Programme, Sustainable Swansea Adapted Into The New Programme Following Final Report To Scrutiny In August 2021) June 21

Last Update

04/01/2022

Risk Response

Treat

Projected Completion

31/01/2022

Align The Transformation Activities And Projects In The Achieving Better Together Programme Plan With The Medium Term Financial Plan Through The Recovery, Reshaping & Budget Strategy Board To Ensure Future Financial Sustainability.
(Amended From: Transformation Activities In The Programme Plan Must Align With The Mtfp To Ensure Future Financial Sustainability) June 21

04/01/2022

Treat

31/01/2022

Closed Control Measures

Programme Documents Need To Be In Place: Programme Plan (Milestones And Deadlines), Governance, Benefits Realisation Plan, Raid Log, Change Plan

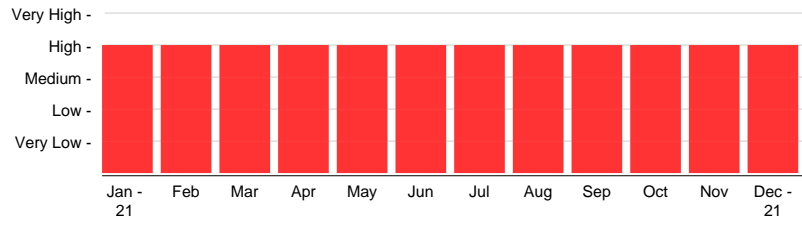
Closure Date

29/06/2021

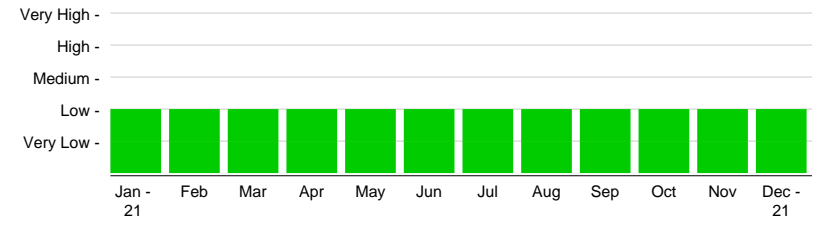
Monthly Meeting Of The Steering Group And Board To Ensure The Actions And Plans Are Progressing And Challenging And Addressing Anything Which Is Not Being Acgieved.

26/05/2021

Historical Impact : **High**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : Post-EU Exit

Risk ID : 282

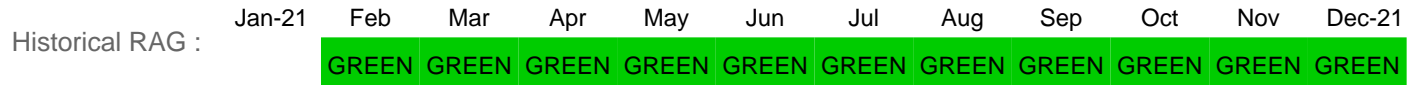
Description : If we dont monitor, gather and share intelligence on the period following the end of EU transition via the post-Brexit Steering Group and WLGA, then we may not be fully prepared to mitigate emerging risks or take advantage of new opportunities.

Risk Level : Corporate

Responsible Officer : Adam.Hill

Councillor : Robert Stewart

Last Update : 15/12/2021



Current Control Measures

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.

Last Update

29/10/2021

Risk Response

Tolerate

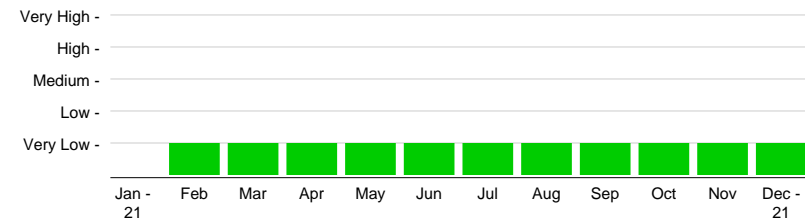
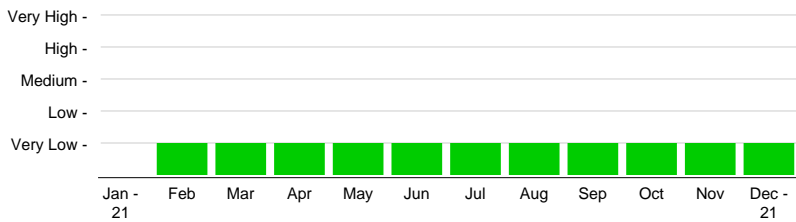
Projected Completion

31/03/2022

Page 69

Historical Impact : Very Low

Historical Likelihood : Very Low



Risk on a Page

Risk Title : Reducing and tackling Fraud

Risk ID : 289

Description : 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.

Risk Level : Corporate

Responsible Officer : Ben.Smith

Councillor : Robert Stewart

Last Update : 09/12/2021

Historical RAG :

Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
		AMBER		AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER	AMBER

Current Control Measures

The Council Has Detailed Policies And Procedures In Place For Staff To Follow To Reduce The Likelihood And Opportunity Of Fraudulent Activity. These 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. (Updated 13/10/21)

Last Update

Risk Response

Projected Completion

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. (Updated 13/10/21)

09/12/2021

Treat

31/03/2022

The Corporate Management Team And The Governance And Audit Committee Receive An Annual Report 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. (Updated 13/10/21)

13/10/2021

Treat

31/03/2022

The Team Continues To Act As The Hub For The Receipt Of Intelligence And Alerts From The National Anti-Fraud Network And Other Organisations Including The Council's Bankers And The Credit Industry Fraud Avoidance Service. Relative 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 And So Reduces The Risk Of The Authority Being Subject To Fraudulent Attack. (Updated 13/10/21)

13/10/2021

Treat

31/03/2022

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 Internal Control Framework Provides Assurance That There Are Suitable Controls And Procedures In Place

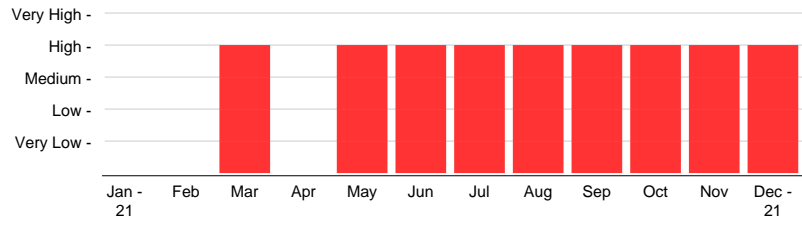
13/10/2021

Treat

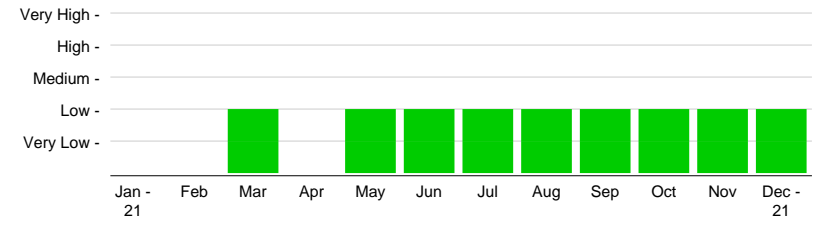
31/03/2022

Current Control Measures	Last Update	Risk Response	Projected Completion
<p>Across The Council To Reduce The Possibility Of Fraudulent Activity. (Updated 13/10/21) Governance And Audit Committee Review And Assess The Risk Management, Internal Control And Corporate Governance Arrangements Of The Authority As 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 Procedures In Place Across The Council To Reduce The Possibility Of Fraudulent Activity. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>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. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>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. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>The Council Communicates A Zero Tolerance Approach To Fraud, Bribery And Corruption A Minimum Of Twice A Year Via Internal And External Bulletins. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>The Council Takes Part In The National Fraud Initiative Exercise Coordinated By The Cabinet Office On A Two-Yearly Basis Which Involves Data Matching Across A Broad Range Of Council Data In Order To Detect And Prevent Fraudulent Activity. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>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 By The Review To Further Strengthen Counter-Fraud Arrangements. The Action Plan Is Currently Being Implemented. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022
<p>The Council Has A Dedicated Fraud Inbox For Staff And The General Public To Report Any Suspicion Of Alleged Fraudulent Activity. The Council Assesses All Reports Of Fraud Received And Evaluates The Threat And Responds Accordingly. (Updated 13/10/21)</p>	13/10/2021	Treat	31/03/2022

Historical Impact : **High**



Historical Likelihood : **Low**



Risk on a Page

Risk Title : WCCIS

Risk ID : 306

Description : 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.

Risk Level : Corporate

Responsible Officer : David.Howes

Councillor : Mark Child

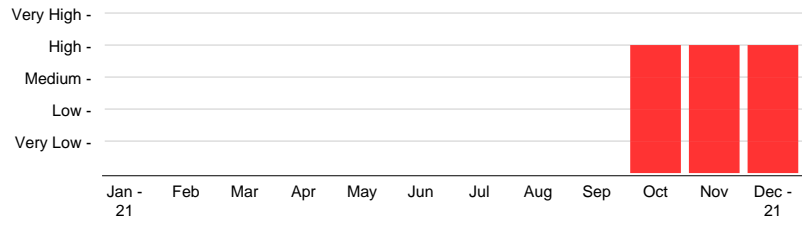
Last Update : 24/12/2021

Historical RAG :	Jan-21	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec-21
										RED	RED	RED

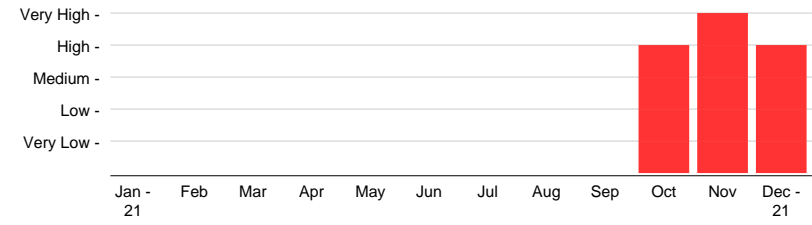
Page 73

Current Control Measures	Last Update	Risk Response	Projected Completion
Maintain Access To Wccis For Critical Users, In Particular The Teams That Are Managing New Referrals In Children And Adult Services, During Periods Of System Instability Where The Number Of Users Needs To Be Reduced And Monitor Twice Weekly At Wccis Meetings.	24/12/2021	Treat	31/12/2021
Continue With Temporary Manual Systems In Place Of Suspended Performance Management Arrangements To Monitor A Smaller Number Of Key Performance Measures Monthly At Pfm And Every 6 Weeks At Scrutiny; Review At The End Of December 2021.	24/12/2021	Treat	31/12/2021
Work With The National Team Who Are Working Closely With The Software Provider And Microsoft To Implement Fixes To Stabilise The Wccis System, Monitor The Ongoing Impact And Escalate Concerns At The Twice Weekly Wccis Meeting And Weekly National Governance Meetings.	24/12/2021	Treat	31/12/2021
Maintain And Monitor At Pfm Each Month Temporary Manual Systems / Workarounds Implemented To Manage The Recording Of Assessments, Case Recordings And Plans When All Other Services Have Restricted Access To The Wccis System.	24/12/2021	Treat	31/12/2021
Continue To Mobilise Additional Business Support Staff To Assist Frontline Staff With Catching Up On Backlogs That Are Monitored At A Twice Weekly Basis At A Wccis Meeting; Review In December 2021.	24/12/2021	Treat	31/12/2021

Historical Impact : **High**



Historical Likelihood : **High**



Risk on a Page

Risk Title : Oracle Fusion

Risk ID : 309

Description : 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 Councils external suppliers, then there is a risk the Oracle Fusion project will continue to experience delays that could impact the go live date of October 2022 and increase cost for the Council.

Risk Level : Corporate

Responsible Officer : Sarah.Lackenby

Councillor : Andrew Stevens

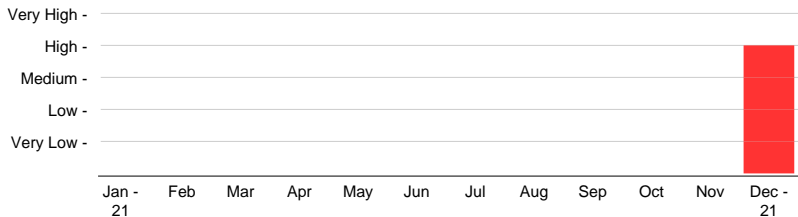
Last Update : 22/12/2021

Historical RAG : Jan-21 Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec-21 RED

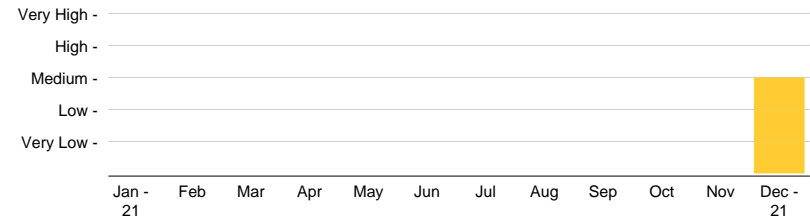
Page 7/5

Current Control Measures	Last Update	Risk Response	Projected Completion
Weekly Monitoring By The Project Lead Of Capacity And Remedial Actions Plans Put In Place, Agreed At Executive Steering Board Monthly And Escalated To Cmt/Cabinet Where Appropriate.	22/12/2021	Tolerate	31/10/2022
Daily Monitoring By The Implementation Team And Project Lead Of The Programme Risk Register With Red Risks And Issues Escalated To The Design Authority Fortnightly, Executive Steering Board Monthly And Cmt At The Next Wednesday Meeting.	22/12/2021	Tolerate	31/10/2022

Historical Impact : High



Historical Likelihood : Medium



Agenda Item 7



Report of the Director of Place

Governance & Audit Committee – 8 February 2022

Place: Internal Control Environment 2021/22

Purpose:	The report presents the Place Directorate control environment, including risk management, in place to ensure: functions are exercised effectively; there is economic, efficient and effective use of resources, and; effective governance to secure these arrangements.
Report Author:	Martin Nicholls
Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar
For Information	

1. Background

- 1.1 The Place Directorate is predominantly responsible for all operational front lines services namely, Highways and Transportation, Building Services, Property Services, Waste, Parks & Cleansing, Housing and Public Health, Planning & City Regeneration and Cultural Services.

2. Risk Management and business continuity

- 2.1 Risks within Place are promptly identified and managed at appropriate levels (corporate, directorate, service, programme / project), and as far as possible mitigated, as part of the service review and planning cycle processes and ongoing self-evaluation. Monitoring is carried out through the Directorate performance management and reporting mechanisms at PFM and DMT meetings and programme / project boards with risks escalated as appropriate (with particular focus on 'red' risks).
- 2.2 The corporate online system is used for documenting and managing risks and all risks are evaluated and RAG rated (on the basis of likelihood and impact) and updated at the end of each month. The risk

management process is reported to the audit committee regularly. It is an expectation that the Place Directorate is fully compliant with reviewing control measures, risk wording and risk level each month as part of a joined up approach. **See Appendix A**

2.3 The risks are shared with the responsible Cabinet Members. The P&FM meeting makes the decision about whether Directorate risks should be escalated to CMT for consideration as to whether they should become a corporate risk.

2.4 Each service areas also has a robust continuity plan, which have stood up to the test rigorously over the last 18 months during the Covid Pandemic with service areas having to adapt and change to accommodate new requirements with minimal compromise to service delivery.

3. Performance management / KPIs

3.1 Each Service area reports on performance indicators, be them National or local measures and reporting takes place accordingly

4. Planning and decision making.

4.1 Each service within the Directorate has an annual service plan which sets out the steps that will be taken to deliver against agreed priorities. These plans are informed by all of the above and new Council policies, new statutory requirements, the latest performance information, any savings requirements set out within the Council's medium term financial plan and recommendations from internal or external audit.

4.2 The governance structure along with robust planning, monitoring, review and risk management practices ensures sound planning and decision making, performance and financial monitoring and robust consultative/partnership activity, as well as integrated and collaborative ways of working.

5. Budget and resources management

5.1 The Directorate is supported by a dedicated finance partners who are part of the corporate finance team.

5.2 The finance partners works closely with the Directorate's budget officers meeting monthly to review budgets. The finance partner provides independent scrutiny and challenge of the Directorates financial plans, including direct advice to the statutory Director and the Council's S151 officer.

- 5.3 The Director also chairs a monthly finance and charging meeting to ensure effective cross Council charging and income generation is maintained.
- 5.4 Overall financial oversight of the Directorate's fiscal position and delivery against the medium term financial plan takes place in the monthly P&FM and any issues are escalated to CMT and the S.151 officer. The s151 officer's quarterly outturn report is informed by the Directorate's finance report.
- 5.5 In line with corporate requirements, the Place Directorate holds Performance and Financial Management meetings (PFM). This group monitors the progress of and addresses any issues:
- Key performance indicators (KPIs)
 - Corporate, directorate and service risks
 - Capital and revenue budgets
 - Freedom of Information Act (FOI) requests; Subject Access Requests (SAR) and complaints
 - Directorate's sickness levels
 - Procurement and financial controls
- 5.6 Analysis of demand, costs of new statutory requirements or policy commitments, delivery against savings targets, inflationary pressures, new income opportunities are all routinely monitored through the above arrangements and then provided to CMT and Cabinet to inform the annual budget setting process.

6. Fraud and financial impropriety

- 6.1 The Directorates systems of internal controls have been designed in accordance with the Accounting instructions. Compliance is monitored through regular internal audits of the establishments and functions. Suspicions of impropriety are referred to internal audit and Human resources.
- 6.2 These internal control measures have been shown to be effective on a couple of occasions in recent years as they have led to the initiation of formal investigations which themselves have prompted improvements to Directorate and Corporate systems.

7. Compliance with policies, rules and regulatory requirements

- 7.1 The assurance framework and robust internal controls set out in this report provide a solid foundation for ensuring compliance with policies,

rules and regulatory requirements within the Place Directorate. Periodic reminders are given to managers and team members and re-emphasised in any training opportunities.

7.2 due to the board range of service areas there are regular requirements to attend scrutiny sessions in support of the relevant cabinet members. These may relate to a general service review or more specifically specific reviews or project pre decision scrutiny sessions

7.3 The directorate are services the Environment, Economy and Infrastructure PDC on a monthly basis to assist in developing new policy areas aligned with the corporate objectives

8. Programme and project assurance

8.1` The directorate has developed a cross cutting project management team to develop and deliver a wide range of projects examples include:

- **The Delivery of the Climate Change and Nature Strategy**, The team leads on this authority wide programme, established to not only deliver the net zero council target by 2030, but also the Swansea wide campaign for net zero by 2050. Sound governance underpins the project, ensuring full engagement across all council directorates and with external partners.
- **Supporting service areas with IT cloud solutions** Project management governance established in order to improve and develop robust processes and support key stakeholders to deliver a successful outcome for the service areas.
- **Swansea Public Toilet Strategy** Every local authority has a duty to produce a strategy for public toilet provision. Swansea had produced a draft strategy, but had been unable to take this work forward in line with the legislation. Since being supported by the project management team, the strategy, its newly developed action plan and a progress report have been accepted by cabinet and we are now compliant with our duties, under the Public Health Act (Wales) 2017. The project team is now working on the delivery of the action plan by May 2023.
- **The World Reimagined** Is a UK-wide art education project featuring globally-recognised artists to transform how we understand the Transatlantic Slave Trade and its impact on us all. Swansea is one of eight cities that have signed up to participate. The project encompasses 3 streams of work: Artistic; Learning; and Community. The key project management role is to ensure a sustainable legacy is delivered.
- **Economic Recovery Fund** - To support the recovery of the local economy from the covid-19 pandemic the Council in conjunction

with Regeneration Swansea partnership has developed an economic recovery plan for Swansea. It specifically references the support for the Tourism, Leisure, Events and Hospitality sectors - sectors that have been hit the hardest by the pandemic. A sum up to £20m is set aside for the purposes of the recovery to cover the financial year 21/22 and 22/23 with no long-term resource implications. The team manage the process from application through to approval.

- **Play Capital Investment Programme 21-22** - Following the approval for £1m capital investment towards playgrounds, Wards are given the opportunity to prioritise playgrounds within their Ward to receive upgrade works. Ward members will also contribute a minimum of 20% of the investment. The team provide support the investment through; processes, delivery, monitoring and reporting on the programme.

All project progress is monitored and reviewed at monthly Place DMT meetings, using a RAG process for escalation.

9. Internal controls

- 9.1 All officers have clear roles and responsibilities. Authorisation processes whether Oracle, HR or financial are clear and in place. Annual review of authorisation levels are carried out. Spending restrictions in place with appropriate escalation up to HOS and Director level as appropriate. Risk assessments are in place for buildings and services.
- 9.2 The resilience of both internal control arrangements and the Directorates workforce have been severely tested in recent times. The ability to flex resource and safely respond to priorities that could change on a weekly, sometimes daily, basis indicates strong assurance.

10. Data security

- 10.1 Elements of the Directorate manages high levels of personal information and statutory requirements are such that this information needs to be routinely used to inform reports and plans. The consequences of any inadvertent data breach are always serious.
- 10.2 The processes for monitoring and reporting breaches are well established across the Directorate, as are the processes for learning from any such breach. Officers work closely with the Council's Data Protection Officer to ensure that any lessons learned from breaches anywhere in the Council and beyond are used to continually improve our processes.

10.3 Arrangements are in place and monitored at PFM and officers appropriately trained and reminded as to the importance of agreed procedures. This is apparent from the limited number of breaches and issues that have taken place within the Directorate. Breaches have decreased as follows:

7 half year 21-22 (18% of council and 18% reduction in Place)
17 full year 20-21 (26% of council)

11. Partnership / collaboration governance

11.1 Elements of the Directorate are also involved in the regional working agenda via the City Deal. This is in the capacity either of senior responsible owner of specific city deal projects or part of the programme board structure for relevant regional projects of Talent and Skills and Homes as Power stations. Furthermore widespread regional working will impact on the directorate via the emergency of the new CJC arrangements currently in the process of being finalised

12. Integrated Assessment Implications

12.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

12.1.1 The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

12.1.2 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion,

carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

12.2 There is no direct impact associated with this report on the relevant groups considered within the IIA itself; but assessing long-term trends and preventing risks from becoming issues are key aspects of risk management. Sustainable ways of working are incorporated within the Council's risk management policy and framework.

13. Legal Implications

13.1 There are no legal implications.

14. Financial Implications

14.1 There are no financial implications.

Background papers: *None*

Appendices:

Appendix A (Directorate) Corporate and Directorate Risks on a page Report

Risk ID	Risk Level	Risk Title	Risk Description	Service area	Responsible Officer	Date Created	Created By	Prev Overall RAG	Current Overall RAG - January
269	Corporate	Local economy and infrastructure	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 fulfill 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.	-	Martin.Nicholls	30-Jul-20	Richard.Rowlands	Red	Amber
46	Directorate	Swansea's Natural Resources & Biodiversity	If we do not maintain and enhance Swansea's natural resources and biodiversity by reversing tree loss, then there will be a significant detrimental impact on environmental resilience, social, cultural and economic prosperity and well-being.	Planning and City R	Paul.Meller	27-Sep-19	Phillip.Holmes	Amber	Green
61	Directorate	Disabled Facilities Grants - Programme Delivery and Budget Performance	If the DFG budget is not fully spent then this could have a reputational impact for the Authority, and result in a loss of fee income for the service. If the DFG programme is not fully committed, then disabled and vulnerable clients will not receive much needed adaptations, impacting on their ability to maintain living independently within their own homes.	Housing and Public	Darren.Williams	25-Oct-19	Peter.Williams	Red	Amber
63	Directorate	Risk Identified by the Food Standards Agency	If the current backlog in low level food premises hygiene inspections continues, there could be an impact on public health and the reputation of the Council, this has been exacerbated by the CV19 pandemic and the required cessation of inspections	Housing and Public	Lynda.Anthony	25-Oct-19	Peter.Williams	Amber	Amber
66	Directorate	Inadequate supply of affordable housing to meet needs	if the Authority can not deliver enough affordable	Housing and Public	Carol.Morgan	25-Oct-19	Peter.Williams	Amber	Amber
260	Directorate	Procuring an Energy From Waste Contract	If we are unable to secure an affordable Energy from Waste contract by February 2022 when Tir John is due to close, through a low cost option and/or WG gate fee subsidy, Then the increased cost in residual disposal could result in a budget pressure in excess of £1M.	Waste Parks and Cl	Chris.Howell	11-Feb-20	Chris.Howell	Red	Amber
299	Directorate	Increased pressure on Public Health Services due to Covid 19	If Public Health Officers are still required to investigate and monitor a significant number of work based covid clusters whilst also being required to recommence functions that were suspended during the lockdowns and also implement new legislation, there could be insufficient staff and finance available to ensure all required functions are delivered	Housing and Public	Lynda.Anthony	02-Sep-21	Peter.Williams	Amber	Amber
307	Directorate	Technical Staff Resources	IF suitable, qualified staff are not recruited and retained - THEN corporate projects e.g. 21st Century schools, More Homes and Decarbonisation of the built environment and maintenance schedules for existing buildings will be impacted due to volume of work, timescales will not met and costs to the Council increased due to these extended timescales and the need to undertake more emergency work as opposed to planned work.	Corporate Building S	Nigel.Williams	26-Oct-21	Martin.Ridgeway	Red	Red

Agenda Item 8



Report of the Director of Resources

Governance and Audit Committee – 8 February 2021

Workforce Strategy

Purpose:	To report on the process for implementation of the Workforce Strategy for Swansea Council 2022 to 2025.
Report Author:	Adrian Chard, Strategic HR&OD Manager
Finance Officer:	Janet Morgan
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

- 1.1 During the course of 2021 and into 2022 a proposed Workforce Strategy has been developed for the financial years from April 2022 to 2025.
- 1.2 The purpose of this paper is to provide an update on the development of the Strategy and to advise on next steps.

2. Summary of the Workforce Strategy 2022/25

- 2.1 The Council's Workforce Strategy has been developed taking into consideration our Corporate Plan for 2020/22; "Delivering a Successful & Sustainable Swansea" as well as the provisions of the Well-Being of Future Generations (Wales) Act 2015, the ongoing and developing requirements of Welsh and UK Government and the immediate and longer-term challenges around Covid-19 and leaving the European Union.

The Council's Recovery Plan; "Managing the Present and Shaping the Future Swansea Council- From Recovery to Transformation" has provided an overview in responding to these challenges as has the framework to replace the Sustainable Swansea Strategy with "Swansea – Achieving Better Together". As part of that framework it has been identified under the

third longer-term “Reshape” phase that we develop a “Workforce Strategy”, recognising that work in Phases 1 (Re-Align) and 2 (Re-Focus) will support this.

- 2.2 The Strategy identified the following Vision for our Workforce; ***“to have a motivated and committed workforce that is innovative, supported, skilled and customer focused”*** so that we ***“build strong morale in the workforce and ensure our employees feel professionally satisfied, valued and motivated by the positive and lasting impact they have on the people and communities they serve”***.
- 2.3 To that end, the following Key Themes and Strands have been identified to support that Vision;

Theme 1 Leadership and Management

Strand 1 - Culture and Behaviours

Strand 2 - Future Leadership

Strand 3 – Future Shape of the Organisation

Theme 2 A Workforce Fit for the Future

Strand 4 – Future Workforce

Strand 5 – Recognising Performance

Theme 3 Being an Employer of Choice

Strand 6 – Recruitment and Retention

Strand 7 – Workforce Development

Theme 4 Workforce Wellbeing and Inclusion

Strand 8- Supporting Our Workforce

Strand 9– Equality in the Workplace

- 2.4 Each Strand has identified objectives and will include an Action Plan to support delivery of key activities in achievement of those objectives.

3 Consultation Process

- 3.1 During the course of this financial year there has been extensive consultation in the development of this Strategy. This has included;
- Senior management consultations with;
 - The Corporate Management Team
 - Heads of Service Leadership Team
 - HR Customer Focus Group
 - Members, via;
 - The Joint Consultative Committee
 - Workforce Scrutiny Group
 - Recovery and Future Generations PDC
 - Recovery and Future Generations PDC Workshop
 - Employees, via;
 - Staff Survey; with specific question relating to the key themes and strands.

- Focus Groups sessions with Trade Union representatives and cross-sections of the workforce.
- 3.2 The results of these consultation processes have been positively received and helped inform the Strategy.

4 Next Steps

- 4.1 The Strategy is in the process of being finalised with the intention to achieve final agreement with CMT and Cabinet in February.
- 4.2 Subject to any final changes, it is intended that this Strategy be launched through appropriate communications and engagement channels in March 2023.

5 Integrated Assessment Implications

- 5.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, and must in the exercise of their functions, have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Acts.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.
 - Deliver better outcomes for those people who experience socio-economic disadvantage
 - Consider opportunities for people to use the Welsh language
 - Treat the Welsh language no less favourably than English.
 - Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.
- 5.2 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.
- 5.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.
- 5.4 The latest IIA is attached as Appendix 1.

6 Financial Implications

- 6.1 There are no financial implications other than those that may relate to specific activities referred to in the Strategy.

7 Legal Implications

- 7.1 There are no other legal implications other than those that may relate to specific activities referred to in the Strategy.

Background Papers: None.

Appendices: Appendix 1 - Integrated Impact Assessment.

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: HR &OD

Directorate: Resources

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

Workforce Strategy 2022/25

The Council's Recovery Plan; "Managing the Present and Shaping the Future Swansea Council- From Recovery to Transformation" has provided an overview in responding to these challenges and the framework to replace the Sustainable Swansea Strategy with "Swansea – Achieving Better Together". As part of that framework it has been identified under the third longer-term "Reshape" phase that we develop a "Workforce Strategy", recognising that work in Phases 1 (Re-Align) and 2 (Re-Focus) will support this.

The Strategy identified the following Vision for our Workforce; "to have a motivated and committed workforce that is innovative, supported, skilled and customer focused" so that we "build strong morale in the workforce and ensure our employees feel professionally satisfied, valued and motivated by the positive and lasting impact they have on the people and communities they serve".

2.2 To that end, the following Key Themes and Strands have been identified to support that Vision;

Theme 1 Leadership and Management

Strand 1 - Culture and Behaviours
 Strand 2 - Future Leadership
 Strand 3 – Future Shape of the Organisation

Theme 2 A Workforce Fit for the Future
 Strand 4 – Future Workforce
 Strand 5 – Recognising Performance

Theme 3 Being an Employer of Choice
 Strand 6 – Recruitment and Retention
 Strand 7 – Workforce Development

Theme 4 Workforce Wellbeing and Inclusion
 Strand 8- Supporting Our Workforce
 Strand 9– Equality in the Workplace

2.3 Each Strand has identified objectives and will include an Action Plan to support delivery of key activities in achievement of those objectives.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	√ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
 Please provide details below – either of your activities or your reasons for not undertaking involvement**

During the course of this financial year there has been extensive consultation in the development of this Strategy. This has included;

- Senior management consultations with;
 - o The Corporate Management Team
 - o Heads of Service Leadership Team
 - o HR Customer Focus Group
- Members, via;
 - o The Joint Consultative Committee
 - o Workforce Scrutiny Group
 - o Equalities and Future Generations PDC Board
 - o Recovery and Future Generations PDC Workshop
- Employees, via;
 - o Staff Survey; with specific question relating to the key themes and strands.
 - o Focus Groups sessions with Trade Union representatives and cross-sections of the workforce.

Discussions have also taken place with Suzy Richards from a Future Generations perspective, Marlyn Dickson, from a Strategic change perspective, and initial discussions with the Access to Work team.

The results of these consultation processes have been positively received and helped inform the Strategy. The Strategic HR&OD Manager has conducted workshops with the HR Customer Focus Group, the HR&OD team and Leadership Team, as well as Arrangements are being made for responses via the forthcoming Employee Survey. Further consultation will take place, as stated in the consultation document, with CMT, Employees, Trade Unions and other key stakeholders as appropriate.

As a result of the consultation process it was identified that a Workforce Equalities Group be established to consider and deliver on issues impacting on our workforce from protected characteristic communities.

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?

Yes ✓ No

b) Does the initiative consider maximising contribution to each of the seven national well-being goals?

Yes ✓ No

c) Does the initiative apply each of the five ways of working?

Yes ✓ No

d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?

Yes ✓ No

Q5 What is the potential risk of the initiative? (*Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...*)

High risk

Medium risk

Low risk

Q6 Will this initiative have an impact (however minor) on any other Council service?

Yes

No

If yes, please provide details below

All Council services will be impacted by this Strategy through the development and delivery of the activities detailed within the Key Themes and Strands in the Strategy.

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

Cumulative impacts:

This is an overarching workforce strategy that will impact the total workforce over the forthcoming planning cycle (2022-2025).

The strategy will be emergent to some extent as we recover from Covid-19. The main change going forward will be to embrace the new ways of working that are the result of the pandemic. This will impact future Council office accommodation and the need to upskill the workforce to be more digitally aware and competent. This will refocus resources considerably in key areas and will require and adaptive and flexible attitude to the future work of the Council.

In response to this, the Workforce Strategy aims to pre-empt future workforce requirements and ensure that workforce support mechanisms within the Council, are in place.

The tenets of the WBFG Act are at the heart of the strategy, developing new workforce and cultural behaviours that fit the future environment we aim to achieve through the Swansea – Achieving Better Together strategy and plan. The Workforce strategy will be a key part in achieving these new priorities.

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- **Summary of impacts identified and mitigation needed (Q2)**
- The main impacts are in areas that are identified in our workforce where there are protected characteristics. As a result of the consultation process a Workforce Equalities Group is being established to identify and deliver on activities in support of those communities.
- **Summary of involvement (Q3)**
- This is detailed in Q3
- **WFG considerations (Q4)**
- Consultations have taken place with Suzy Richards to consider the Strategy from a Future Generations perspective,
- **Any risks identified (Q5)**
- The Strategic risk assessment suggests that the greatest pressure will be finding the budget and resources to deliver what is needed to ensure the future workforce meets future needs. This risk has been mitigate by the securing of additional Recovery Fund monies to support strategic activities.
- **Cumulative impact (Q7)**
- Already detailed in Q7.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email.

Screening completed by:
Name: Adrian Chard
Job title: Strategic HR&OD Manager
Date: 27th January 2022
Approval by Head of Service:
Name:
Position:
Date:

Please return the completed form to accesstoservices@swansea.gov.uk

Agenda Item 10



Report of the Head of Democratic Services

Governance & Audit Committee – 8 February 2022

Governance & Audit Committee Action Tracker Report

Purpose:	This report details the actions recorded by the Governance & Audit Committee and response to the actions.
Report Author:	Jeremy Parkhouse
Finance Officer:	N/A
Legal Officer:	N/A
Access to Services Officer:	N/A
For Information	

1. Introduction

- 1.1 During the course of Governance & Audit Committee meetings various actions may be decided which are recorded on the minutes of the meetings.
- 1.2 As agreed in 2016/17 an Action Tracker process was put in place to ensure transparency over the outcomes of actions agreed by Committee.
- 1.3 The Action Tracker records the actions agreed by the Governance & Audit Committee and provides an outcome for each action.
- 1.4 The up to date Action Tracker 2021/22 is attached at Appendix 1.
- 1.5 The Action Tracker is regularly updated and any completed actions will be marked 'Completed' and coloured in grey.
- 1.6 The Action Tracker is reported to each Governance & Audit Committee meeting for information.

2. Equality and Engagement Implications

2.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

2.2 There are no equality and engagement implications associated with this report.

3. Financial Implications

3.1 There are no financial implications associated with this report.

4. Legal Implications

4.1 There are no legal implications associated with this report.

Background Papers: None

Appendices:

Appendix 1	Governance & Audit Committee Action Tracker 2021/22 (Closed actions removed).
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Governance & Audit Committee - Action Tracker 2021/2022

Date of Meeting	Minute Ref	Action	Nominated Officer(s)	Status
12/01/22	68	Governance & Audit Committee Action Tracker		
		The Chair requested that an up to date Work Plan be provided for the next meeting which included any of the new areas of work identified in the new terms of reference and a draft 2022-2023 Work Plan.	Jeremy Parkhouse	Closed Draft 2022-2023 Work Plan included as an appendix to the Work Plan Report.
		The Chair highlighted the need to organize Committee training from June 2022 onwards.	Adam Hill	Ongoing Training Programme added to agenda for 12/04/2022 (Replaces Minute.56 – 09/11/2021)
12/01/22	67	Update Report South West Wales Corporate Joint Committee		
		The Chair highlighted the need to closely monitor the progress of the CJC and requested that regular summary progress updates be provided to the Committee.	Martin Nicholls / Jeremy Parkhouse	Ongoing Future reports to be added to the Work Plan. Added to 2022-2023 Work Plan for June 2022.
12/01/22	66	City and County of Swansea Administered Trust Funds		
		The terms of reference of the Charities Commission work be circulated to the Committee.	Spencer Martin	Closed Details circulated on 13/01/22.
12/01/22	65	Response to the Grand Theatre Audit Report 2020/21		
		Internal Audit would revisit the service and report to the Committee in their Quarter 4 Monitoring Report.	Simon Cockings	Ongoing Internal Audit to provide an update in Quarter 4 Monitoring Report.
14/12/21	62	Governance & Audit Committee Work Plan		
		The Chair asked that the work plan be updated with the following:		
		<ul style="list-style-type: none"> The items listed in Appendix 4 be added to the Work Plan. 	Adam Hill / Richard Rowlands / Simon Cockings / Jeremy Parkhouse	Closed Draft 2022-2023 Work Plan included as an appendix to the Work Plan Report.

14/12/21	61	Governance & Audit Tracker Report		
		The Chair asked for the following to be added to the Tracker Report: - <ul style="list-style-type: none"> Minute No.46 – Response to the Community Equipment Stores & Community Alarms Service Audit Report 2021/22 <p>‘The Chair asked the Internal Audit Section to include a Review of the Performance Management Arrangements’ to be included in their follow-up review’.</p>	Simon Cockings	Ongoing Internal Audit will cover this as part of the follow up work. Due to be undertaken in Q4 2021/22.
14/12/21	60	Audit Wales Work Programme and Timetable – City and County of Swansea Council		
		The Chair requested that the Audit Wales representative circulates any examples of good practice to the Committee.	Justine Morgan – Audit Wales	Ongoing Response circulated with additional information to follow in the New Year.
		The Chair asked that the Action Tracker report / Work Plan be updated to include the quarterly Audit Wales update report and any Audit Wales reports applicable to the Council.	Jeremy Parkhouse / Richard Rowlands	Ongoing Quarterly Audit Wales Work Plan added for 08/03/2022 meeting. Any reports applicable to the Authority be added to the Work Plan when required.
09/11/21	56	Governance & Audit Committee Work Plan		
		The new areas of work of the Committee be incorporated into the work plan.	Adam Hill / Jeremy Parkhouse	Closed Draft 2022-2023 Work Plan included as an appendix to the Work Plan Report.
09/11/21	54	Impact of the Corporate Insolvency and Governance Act 2020		
		To be added to the February agenda as part of the Accounts Receivable report.	Ben Smith / Jeremy Parkhouse	Ongoing Report included in verbal update on agenda for 08/02/22.
09/11/21	53	Update on Swansea Achieving Better Together		
		The Chair asked that the Deputy Chief Executive for an update on the Workforce Strategy and for a timeline for when it will be in place. The Deputy Chief Executive responded stating that it was currently out for consultation and that he would ensure that it was added as an agenda item to the February 2022 meeting.	Adam Hill	Ongoing Update on Swansea Achieving Better Together Report added to the Work Plan 2021-22 for 12/04/21.
		Workforce Strategy Update Report.	Adam Hill / Adrian Chard / Jeremy Parkhouse	Closed Workforce Strategy included on the agenda for 08/02/2022.

09/11/21	52	Annual Report Corporate Safeguarding 2020-21		
		The Chair asked that Compliance of Safeguarding training be highlighted in the Risk Register.	Simon Jones	Ongoing The item has been formally escalated to the Director of Resources for his P & FM to consider adding to the Resources Directorate risk register.
09/11/21	45	Internal Audit Annual Plan 2021/22 – Monitoring Report for the Period 1 July 2021 to 30 September 2021		
		A full valuation of existing assets at the Glynn Vivian Art Gallery to be carried out. A report to be forwarded to the Chair in due course.	Ben Smith / Simon Cockings	Closed Follow up completed in December 2021. Gallery Curator has confirmed that the valuation exercise is to be completed by Bonham's in early 2022 and is expected to take approximately 6 months.
14/09/21	30	Service Centre – Accounts Receivable Update		
		Update report to be provided in February 2022.	Sian Williams / Michelle Davies	Ongoing Report included in verbal update on agenda for 08/02/22.
14/09/21	29	Absence Management Audit Report 20/21		
		Update report to be provided in February 2022.	Sian Williams / Adrian Chard	Ongoing Report included on agenda for 08/03/22.
13/07/21	17	Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council		
		<ul style="list-style-type: none"> Future training provision for Councillor School Governors to be provided. 	Helen Morgan- Rees	Ongoing Update - Safeguarding training is provided for all Councillors as part of their induction and training programme which is managed by Democratic Services. The vast majority of Councillors are also school governors. The safeguarding training offer for governors includes the information provided in the Councillor training but also additional information specific to school contexts and the responsibility of governing bodies. This is a more detailed course with a requirement for all governors to undertake this training on a three yearly cycle. If a Councillor undertakes this training as a

				governor then it supersedes the Councillor training offer. The training for governors is monitored by the Education Directorate and records provided to Democratic Services as needed.
19/02/21	41	Overview of the Overall Status of Risk - Quarter 3 2020/21		
		Corporate Directors be requested to attend the Committee on a rotational basis each quarter to outline their Corporate Risks and the governance and risk management controls within their departments.		Ongoing Reports added to the Audit Committee Work Plan 2021-22 as follows:
			Martin Nicholls	Closed <ul style="list-style-type: none"> • Director of Place – February 2022; - Report included on agenda for 08/02/22.
			Adam Hill	<ul style="list-style-type: none"> • Director of Resources – April 2022.
19/01/21	31	Election of the Audit Committee Representative on the Annual Governance Group		
		Councillor L V Walton be elected as the Audit Committee representative on the Governance Group and the appointment be until the end of the current Council term in May 2022 only.	Jeremy Parkhouse / Chair	Ongoing Re-appointment added to the Draft Committee Work Plan for 2022-23.



Report of the Head of Democratic Services

Governance & Audit Committee – 8 February 2022

Governance & Audit Committee – Workplan 2021/22

Purpose:	This report details the Governance & Audit Committee Workplan to May 2022.
Report Author:	Jeremy Parkhouse
Finance Officer:	N/A
Legal Officer:	N/A
Access to Services Officer:	N/A
For Information	

1. Introduction

- 1.1 The Audit Committee's Work Plan to May 2022 is attached at Appendix 1 for information.
- 1.2 The Governance & Audit Committee Work Plan to May 2022 in Terms of Reference Order is attached at Appendix 2 and the Draft Work Plan for 2022-2023 is attached at Appendix 3.
- 1.3 The Scrutiny Programme Committee Work Plan 2021/22 is attached at Appendix 4.
- 1.4 The Additional Work programme Governance and Audit Committee as a result of the Local Government and Elections Act is attached at Appendix 5.
- 1.5 The Governance & Audit Committee Statement of Purpose is attached for information at Appendix 6.
- 1.6 The dates included for the meetings in 2021/22 were approved at the Council's Annual Meeting on 20 May 2021.

2. Integrated Assessment Implications

- 2.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.
 - Deliver better outcomes for those people who experience socio-economic disadvantage
- 2.2 The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'. Our Integrated Impact Assessment process ensures that we have paid due regard to the above.
- 2.3 There are no impact assessment implications associated with this report.

3. Financial Implications

- 3.1 There are no financial implications associated with this report.

4. Legal Implications

- 4.1 There are no legal implications associated with this report.

Background Papers: None.

Appendices:

Appendix 1 – Governance & Audit Committee Workplan 2021/22.

Appendix 2 - Governance & Audit Committee Work Plan to May 2022 in Terms of Reference Order.

Appendix 3 - Governance & Audit Committee Work Plan to May 2023 in Terms of Reference Order.

Appendix 4 - Scrutiny Programme Committee Work Plan 2021/22.

Appendix 5 – Additional Work Programme - Governance and Audit Committee as a result of the Local Government and Elections Act.

Appendix 6 – Governance & Audit Committee Statement of Purpose.

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 3.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	8 Feb 2022
Internal Audit	Internal Audit Annual Plan 2021/22 – Quarter 3 Monitoring Report.	This report summarises the audits finalised and work undertaken by the Internal Audit Section in Quarter 3 2021/22.	Simon Cockings	8 Feb 2022
Internal Audit Page 101	Internal Audit Recommendation Tracking Report - Quarter 3 2021/22.	This report provides committee with the status of the recommendations made in those audits where the follow-up has been undertaken in Q3 2021/22, to allow the Audit Committee to monitor the implementation of recommendations made by Internal Audit.	Simon Cockings	8 Feb 2022
Internal Audit	Service Centre – Accounts Receivable Update.	The Accounts Receivable Internal Audit report was issued in March 2021 with a Moderate rating. The attached report summarises the position and the progress made to date since the last report to the committee in September 2021.	Michelle Davies, Sian Williams	8 Feb 2022

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Operational Matters / Key Risks	Update on Internal Control Environment – Director of Place.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).) – Director of Place.	Martin Nicholls	8 Feb 2022
Operational Matters / Key Risks	Workforce Strategy Update.	Progress report	Adrian Chard	8 Feb 2022
Internal Audit	Absence Management Audit Report 20/21.	The Management of Absence Internal Audit report was issued in March 2021 with a Moderate rating. The attached report summarises the position and the progress made to date.	Adrian Chard, Sian Williams	8 Mar 2022
External Audit	Audit Wales Report – City & County of Swansea Annual Audit Summary 2021.	This is the audit summary for City & County of Swansea Council. It shows the work completed by Audit Wales since the last Annual Improvement Report, which was issued in March 2021. The audit summary forms part of the Auditor General for Wales' duties.	Ben Smith	8 Mar 2022
External Audit	Audit Wales Work Programme and Timetable – City and County of Swansea Council.	Quarterly Update.	Justine Morgan	8 Mar 2022

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Draft Internal Audit Annual Plan 2022/23.	This report presents the Draft Internal Audit Annual Plan for 2022/23 to the Audit Committee for consideration prior to the final plan coming to committee in April for approval.	Simon Cockings	8 Mar 2022
Internal Audit	Internal Audit Annual Plan Methodology Report 2022/23.	This report provides a briefing to the Audit Committee on the methodology used to prepare the Internal Audit Annual Plan in advance of the Annual Plan 2022/23 being reported to the Committee for approval on 12 April 2021.	Simon Cockings	8 Mar 2022
Risk Management & Performance	Corporate Risk Overview 2021/22 – Quarter 4.	To report an overview of the status of Corporate Risk in the Council to provide assurance to the Committee that key risks are being managed in accordance with the Council's risk management policy and framework.	Richard Rowlands	12 Apr 2022
	Governance and Audit Committee Training Programme.	This report details the Governance and Audit Committee Training Programme.	Adam Hill	12 Apr 2022

Page 103

Governance & Audit Committee Plan

Appendix 1

Terms of Reference	Report Title	Report Summary	Report Author	Date of Meeting
Internal Audit	Internal Audit Charter 2022/23.	This report outlines the background to the Public Sector Internal Auditing Standards (PSIAS) which were introduced with effect from 1st April 2013 and presents the Internal Audit Charter for final approval by Audit Committee following Corporate Management Team approval.	Simon Cockings	12 Apr 2022
Internal Audit	Internal Audit Strategy & Annual Plan 2022/23.	This report presents the Internal Audit Strategy and Annual Plan for 2022/23 to the Audit Committee for approval.	Simon Cockings	12 Apr 2022
Operational Matters / Key Risks	Swansea Achieving Better Together – Update Report	Six-month update report on progress.	Adam Hill	12 Apr 2022
Operational Matters / Key Risks	Update on Internal Control Environment – Director of Resources.	Presentation - Update on Internal Control Environment (including a focus on Risk Management and the five highest Risks that Directors are managing).– Director of Resources.	Adam Hill	12 Apr 2022

Page 104

Governance & Audit Committee Workplan 2021/22

Appendix 2

Terms of Reference	9 June 2021	13 July 2021	24 August 2021	14 September 2021	12 October 2021	9 November 2021	14 December 2021	12 January 2022	8 February 2022	8 March 2022	12 April 2022
Training		Draft Governance and Audit Committee Training Programme.									Governance and Audit Committee Training Programme.
Governance & Assurance	Election of Chair & Vice Chair	Election of Vice-Chair		Update Report – South West Wales Corporate Joint Committee. Local Government and Elections (Wales) Act 2021 - Change in Membership	Scrutiny Annual Report 2020-21.			Update Report – South West Wales Corporate Joint Committee	Workforce Strategy		
Internal Audit Page 105	IA Quarter 4 Monitoring Report Grand Theatre Audit Report 2020/21 Service Centre – Accounts Receivable Update Employment of Agency Staff	Annual Report of School Audits 2020-21		IA Recommendation Tracking Report – Q1 21/22 IA Quarter 1 Monitoring Report Management of Absence Update Service Centre – Accounts Receivable Update.	Employment of Agency Staff.	Fundamental Audits 2020/21 – Recommendation Tracker Report IA Recommendation Follow-up Report – Q2 2021/22 IA Q 2 Monitoring Report Response to The Community Equipment Service and Community Alarms Service Internal Audit Report.		Grand Theatre Audit Update Report 2020/21	IA Recommendation Tracking Report – Q3 2021/22 IA Q 3 Monitoring Report Service Centre – Accounts Receivable Update.	IA Annual Plan Methodology Report 2022/23 Draft IA Annual Plan 2022/23 Management of Absence Update.	IA Charter 2022/23 IA Strategy & Annual Plan 2022/23
Risk Management & Performance				Q1 Risk Monitoring Report		Q2 Risk Monitoring Report			Q3 Risk Monitoring Report		Q4 Risk Monitoring Report
Counter Fraud		Corporate Fraud Annual Report				Corporate Fraud – Six Month Update					
Operational matters / key risks				Update on Internal Control Environment – Director of Education		(Directorate): Internal Control Environment 2021/22 Director of Social Services	Annual Complaints Report 2020-21	City and County of Swansea Administered Trust Fund	Update on Internal Control Environment – Director of Place		Swansea Achieving Better Together – Update Report

Governance & Audit Committee Workplan 2021/22

Appendix 2

						Swansea Achieving Better Together – Update Report					Update on Internal Control Environment – Director of Resources
External Audit		Audit Wales - Follow Up Review of Corporate Safeguarding Arrangements - Children in Swansea Council.	Audit Wales - ISA 260 Report - City And County of Swansea Audit Wales - Financial Sustainability Assessment - City and County of Swansea Council.		Auditor General for Wales Review of Town Centre Regeneration.	Audit Wales - Follow Up - Annual Report Corporate Safeguarding 2020-21	Audit Wales Work Programme and Timetable – City and County of Swansea Council.				
Financial Reporting			Statement of Accounts			Impact of Corporate Insolvency and Governance Act 2020					

Note: Audit Committee Action Tracker Report and Audit Committee Workplan will be included as agenda items at each meeting. An update from WAO will also be on the agenda for each meeting.

Reports Carried Over to 2022-2023 Municipal Year

Terms of Reference	Report Title
Governance & Assurance	Appointment of Committee Member on Annual Governance Group

Terms of Reference	31 May 2022	June 2022	July 2022	August 2022	September 2022	October 2022	November 2022	December 2022	January 2023	February 2023	March 2023	April 2023
Training	Governance and Audit Committee Induction Training	Training – Organisational Knowledge / Committee Role & Function	.									
Governance & Assurance	Election of Chair & Vice Chair Appointment of Committee Member on Annual Governance Group Annual Governance Statement 2021/22	Update Report – South West Wales Corporate Joint Committee. Draft Governance & Audit Committee Annual Report	To consider the Council's framework of assurance To review the governance and assurance arrangements for significant partnerships or collaborations		Update Report – South West Wales Corporate Joint Committee. To review the Council's draft annual Self-Assessment Report,	Scrutiny Annual Report 2021-22.			Update Report – South West Wales Corporate Joint Committee			Update Report – South West Wales Corporate Joint Committee
Internal Audit	Internal Audit Annual Report	IA Quarter 4 Monitoring Report Management of Absence Update Service Centre – Accounts Receivable Update. Employment of Agency Staff. Response to The Community Equipment Service and Community Alarms Service Internal Audit Report.	Annual Report of School Audits 2021-22		IA Recommendation Tracking Report – IA Q1 Recommendations Tracker IA Quarter 1 Monitoring Report		Fundamental Audits – Recommendation Tracker Report IA Recommendation Follow-up Report – Q2 IA Q 2 Monitoring Report			IA Recommendation Tracking Report – Q3 IA Q 3 Monitoring Report	IA Annual Plan Methodology Report 2023/24 Draft IA Annual Plan 2023/24	IA Charter 2023/24 IA Strategy & Annual Plan 2023/24

Draft Governance & Audit Committee Workplan 2022/23

Appendix 3

Risk Management & Performance					Q1 Risk Monitoring Report		Q2 Risk Monitoring Report			Q3 Risk Monitoring Report		Q4 Risk Monitoring Report
Counter Fraud			Corporate Fraud Annual Report				Corporate Fraud – Six Month Update					
Operational matters / key risks			Complaints Report – 6 Month Update.		Update on Internal Control Environment – Director of Education		Update on Internal Control Environment - Director of Social Services / Director of Finance	Annual Complaints Report		Update on Internal Control Environment – Director of Place		Update on Internal Control Environment – Director of Corporate Services
External Audit		Audit Wales Work Programme and Timetable – City and County of Swansea Council.	External Audit Annual Report Audit Wales - ISA 260 Report - City And County of Swansea Audit Wales - Financial Sustainability Assessment - City and County of Swansea Council.		Audit Wales Work Programme and Timetable – City and County of Swansea Council.	.		Audit Wales Work Programme and Timetable – City and County of Swansea Council.			Audit Wales Work Programme and Timetable – City and County of Swansea Council. Audit Wales Annual Summary	
Financial Reporting			Statement of Accounts									

Note: Audit Committee Action Tracker Report and Audit Committee Workplan will be included as agenda items at each meeting. An update from WAO will also be on the agenda for each meeting.

Reports Carried Over to 2023-2024 Municipal Year

Terms of Reference	Report Title
Governance & Assurance	Appointment of Committee Member on Annual Governance Group

Scrutiny Programme Committee – Work Plan 2021/22

ACTIVITY	15 Jun 2021	13 Jul 2021	17 Aug 2021	14 Sep 2021	19 Oct 2021	16 Nov 2021
Scrutiny Work Programme					Audit / Scrutiny Relationship – Discussion w/ Chair of Governance & Audit Committee	
Cabinet Member Q & A Sessions						
Specific Cabinet Member / Officer Reports	Scrutiny of Public Services Board	<ul style="list-style-type: none"> Highways and Engineering Infrastructure Repairs and Maintenance 	<ul style="list-style-type: none"> Tourism, Destination Management, and Marketing Business and City Promotion 	<ul style="list-style-type: none"> Energy Policy (incl. Generation, Supply & District Heating) Litter and Community Cleansing 	<ul style="list-style-type: none"> Recovery & Transformation Plan Progress Update Annual Corporate Safeguarding Report 	Delivery of Corporate Priority – Tackling Poverty
Scrutiny Performance Panel Progress Reports		Education	Service Improvement & Finance	Adult Services	Child & Family Services	Development & Regeneration
Pre-decision Scrutiny						
Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.			Follow Up on Tourism Working Group recommendations			
Scrutiny Reports to Council	Scrutiny Dispatches Impact Report		Draft Scrutiny Annual Report 2020/21	Scrutiny Dispatches Impact Report		

ACTIVITY	14 Dec 2021	18 Jan 2022	15 Feb 2022	15 Mar 2022	19 Apr 2022 (to be cancelled)	
Scrutiny Work Programme				Work Programme Review		
Cabinet Member Q & A Sessions		Leader / Economy, Finance & Strategy (focus on COVID response / recovery, Brexit effects / response, Budget, City Centre Regeneration, Developments in Partnership / Regional Working)				
Specific Cabinet Member / Officer Reports	Parking Policy, Control & Enforcement	Scrutiny of Public Services Board, incl. Annual Report	Crime & Disorder Scrutiny - Safer Swansea Community Safety Partnership			
Scrutiny Performance Panel Progress Reports	Natural Environment	Education	Service Improvement & Finance			
Pre-decision Scrutiny	Leasehold Acquisition and Redevelopment FPR7 – 279 Oxford Street/25-27 Princess Way	Covid Recovery and Investment				
Final Scrutiny Inquiry Reports / Follow Up on Scrutiny Recs.				Procurement Inquiry Final Report		
Scrutiny Reports to Council	Scrutiny Dispatches Impact Report			Scrutiny Dispatches Impact Report		

* denotes extra meeting

Additional Work programme Governance and Audit Committee
As a result of the Local Government And Elections Act.

Across all areas of the work programme, consideration and acknowledgement will be given to the views, feedback and assurance from the scrutiny and performance committees that robust overview and scrutiny has taken place of decisions, policies and proposals and the assurance then given to Audit committee when they are reviewing the area of work in relation to Assurance, risk environment, Regulatory compliance and overall governance.

Area of work	Owner	Frequency <i>The frequencies are a guide and additional reviews may take place as and when the committee feel necessary.</i>	Month to present to committee
To review the Council's corporate governance arrangements against the good governance framework	Adam Hill / Richard Rowlands	Every 2 years	See Annual Governance Statement
To review the Council's draft annual Self-Assessment Report,	Richard Rowlands	Annual	September.
To review the Council's draft response to the Panel Performance Assessment Report	Richard Rowlands	Once every 4 years	TBC
To review the Council's draft response to any Auditor General's recommendations arising from a special inspection in respect of the Council's performance requirements	Adam Hill	As and When required	TBC
To review the programme of work from regulators	Richard Rowlands	Annually	TBC

Appendix 5

To review and assess the authority's ability to handle complaints effectively	Sarah Lackenby	Annual	
To review the Annual Governance Statement prior to approval	Richard Rowlands	Annual	May
To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.	Richard Rowlands / Adam Hill	Annual	Possibly covered to a degree in the self-assessment report but too early to say.
To consider the Council's framework of assurance	Richard Rowlands / Adam Hill	Annual	See Internal Audit Assurance Map
To monitor the effective development and operation of risk management	Richard Rowlands	Each meeting	Quarterly Overview of Risk Reports
To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions	Simon Cockings	As and when required	Quarterly Monitoring Reports throughout the year.
To review the assessment of fraud risks and potential harm to the Council from fraud and corruption	Simon Cockings	Every 6 months	Fraud Function Annual Plan – March Fraud Function Annual Report – July Fraud Function Half-Year Update Report - November
To monitor the counter fraud strategy, actions and resources	Simon Cockings	Every 6 Months	Fraud Function Annual Plan – March Fraud Function Annual Report – July

Appendix 5

			Fraud Function Half-Year Update Report - November
To Receive proposals in relation to the appointment of external providers of internal audit services and to make recommendations	Simon Cockings	as and when	n/a
To review the governance and assurance arrangements for significant partnerships or collaborations	Deputy Chief Executive / Richard Rowlands / Relevant Director	Annual / as and when new Partnerships or collaborations are established	June/July
To approve the internal audit charter and resources	Simon Cockings	Annual	Internal Audit Charter Report – April
To consider the Chief Internal Auditor’s annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council’s corporate governance arrangements	Simon Cockings	Annual	Internal Audit Annual Report – May
To consider reports from the Chief Internal Auditor on Internal Audit’s performance during the year including the performance of external providers of internal audit services	Simon Cockings	Every 6 months	Quarterly Monitoring Reports throughout the year.
To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations	Simon Cockings	Annual	Internal Audit Annual Report – May

Appendix 5

To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Chief Internal Auditor. To approve and periodically review safeguards to limit such impairments	Simon Cockings	Annual	Internal Audit Charter Report – April
To receive reports outlining the action taken where the Chief Internal Auditor has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions	Simon Cockings	As and when	Quarterly Monitoring Reports throughout the year.
To consider reports dealing with the management and performance of the providers of internal audit services	Simon Cockings	As and when required	Quarterly Monitoring Reports throughout the year.
To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.	Simon Cockings	Quarterly	Quarterly Monitoring Reports throughout the year.
To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five year	Simon Cockings	Every 5 Years	Internal Audit Annual Report – May
To consider the external auditor's annual letter, relevant reports, and to those charged with governance.	Ben Smith	Annual	External Auditor's annual letter – July

Appendix 5

To review the annual statement of accounts.	Ben Smith	Annual	Report of S151 officer including Statement of Accounts – July
To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts	Ben Smith	Annual	External Audit Annual Report - July
To publish an annual report on the work of the committee.	Paula O'Connor	Annual	Draft Audit Committee Annual Report – May

Governance & Audit Committee

Statement of Purpose

The Governance and Audit Committee is a key component of the City and County of Swansea's corporate governance. It provides an independent and high level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.

The purpose of the Governance and Audit Committee is to provide independent assurance of the adequacy of the risk management framework, the internal control environment and the performance assessment of the Council. It provides an independent review of the governance, performance assessment, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.

Membership

The Local Government (Wales) Measure 2011 provides that at least one member of the Committee must be a lay member.

Governance, Performance, Risk and Control

- a) To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
- b) To review the Council's draft annual Self-Assessment Report, and make any appropriate recommendations for changes to the conclusions or actions the Council intends to make.
- c) To review the Council's draft response to the Panel Performance Assessment Report, and make any appropriate recommendations for changes.
- d) To review the Council's draft response to any Auditor General's recommendations arising from a special inspection in respect of the Council's performance requirements and to make any appropriate recommendations for changes.
- e) To review and assess the authority's ability to handle complaints effectively and to make any associated reports and recommendations in relation to the authority's ability to handle complaints effectively.
- f) To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances.
- g) To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
- h) To consider the Council's framework of assurance and ensure that it adequately addresses the risks and priorities of the council.
- i) To monitor the effective development and operation of risk management in the Council.
- j) To monitor progress in addressing risk related issues reported to the Committee.
- k) To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
- l) To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.
- m) To monitor the counter fraud strategy, actions and resources.

- n) To review any proposals in relation to the appointment of external providers of internal audit services and to make recommendations.
- o) To review the governance and assurance arrangements for significant partnerships or collaborations.

Internal Audit

- p) To approve the internal audit charter and resources.
- q) To approve the risk-based internal audit plan, containing internal audit's resource requirements, the approach to using other sources of assurances and any work required to place reliance upon those other sources.
- r) To approve significant interim changes to the risk based internal audit plan and resource requirements.
- s) To make appropriate enquiries of both management and the Chief Internal Auditor to determine if there are any inappropriate scope or resource limitations.
- t) To consider the Chief Internal Auditor's annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements.
- u) To consider the Chief Internal Auditor's annual report including:
- v) To consider reports from the Chief Internal Auditor on Internal Audit's performance during the year including the performance of external providers of internal audit services. These will include:
- w) To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations.
- x) To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Chief Internal Auditor. To approve and periodically review safeguards to limit such impairments.
- y) To consider summaries of specific internal audit reports as requested.
- z) To receive reports outlining the action taken where the Chief Internal Auditor has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.
- aa) To consider reports dealing with the management and performance of the providers of internal audit services.
- bb) To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.
- cc) To consider the external auditor's annual letter, relevant reports, and the report to those charged with governance.
- dd) To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five years.
- ee) To provide free and unfettered access to the Governance and Audit Committee Chair for the Chief Internal Auditor, including the opportunity for a private meeting with the Committee.

External Audit

- ff) To consider the external auditor's annual letter, relevant reports, and to those charged with governance.
- gg) To consider specific reports as agreed with the external auditor.
- hh) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- ii) To commission work from external audit.
- jj) To advise and recommend on the effectiveness of relationships between external audit and other inspector agencies or relevant bodies

Financial Reporting

- kk) To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
- ll) To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.

Accountability Arrangements

- mm) To report to full Council on a regular basis on the Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose.
- nn) To report to Council on an annual basis and to publish an annual report on the Committee's work, its performance in relation to the Terms of Reference, and its effectiveness in meeting its purpose.
- oo) To raise the profile of probity generally within the Council and to report on matters of concern to the individual Cabinet Member, relevant Scrutiny Committee, Cabinet or to Council as necessary and appropriate.
- pp) To work in synergy with the Scrutiny Committees of the Council and liaise with other Council Committees as and when appropriate to avoid duplication in work programmes.
- qq) To report to those charged with governance on the committee's findings, conclusions and recommendations concerning the Appendix 1 adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements, and internal and external audit functions
- rr) To publish an annual report on the work of the committee.

Training and Development

- ss) To attend relevant training sessions including specialist training tailored for Members of the Governance and Audit Committee.

Note: Governance & Audit Committee Statement of Purpose extracted from the Council Constitution (07.09.21).