

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3				
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance				
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit						
Corporate Risk Register												

Risk ID 94 Risk Title Pupil Attainment & Achievement Risk Level Corporate Risk Category Operational Responsible Officer Helen Morgan-Rees Updater Kate Phillips Last updated 22/12/20	<p>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.</p>	Amber	n/a	n/a	<p>>Covid-19 – Safe Return to School Plan in place, 88% attendance first three weeks of Sept. Continuity of Learning Plan and Policy in place – Schools developing remote/ blended learning opportunities. >Support for pupils to return safely in Sept. through Health, Welfare & Community Education Stream of Covid-19 Recovery Plan. >Childcare in schools offer for key workers and most vulnerable children during pandemic. >Pupils eligible for FSM receive fortnightly BACS payment or food parcels during pandemic. >Check-in, Catch-up and prepare sessions for safe return for learners. >Further enhancement of the Continuity of Learning Programme. >Challenge adviser monitoring visits. >Budget proposals for 2021-22 continue to prioritise the</p>	<p>>Positive engagement and support from Cabinet and Council. > Recovery plan has workstream looking at continuity of learning. >Two policy development workstreams looking at skills and training as well as continuity of learning.</p>	<p>>Dedicated Scrutiny Panel to scrutinise education work and performance</p>	<p>>Child Protection Board. Commission review on ALN. Improving Education & Skills PDC. >Education Skills Co-ordinator appointed. >PSO's/ Accountancy provide support and oversight of school finance.</p>	<p>>Various Edu. Audits in the Audit Plan. >ESTYN reports review during school audits for finance / mgt. control.</p>	<p>>ESTYN prog.of external school inspect's has been paused in 2020-2021. >Local authority link inspectors have conducted thematic review on continuity of learning and support for vulnerable learners.</p>	<p>>Audit Wales & CIW. > HSE audit of schools as covid safe environments to allow education to continue. >Welsh government returns, for example. Accelerated learning programme.</p>	<p>>Range of Education audits in the plan to be completed as part of the rolling audit schedule.</p>	<p>>School and other Education audits due in 2021/22</p>
---	---	-------	-----	-----	---	--	--	---	---	--	---	---	---

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area		
				Level 1	Level 2			Level 3					
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance					
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit							
Corporate Risk Register													

Risk ID 153 Risk Title Safeguarding Risk Level Corporate Risk Category Strategic Responsible Officer David Howes Updater Angela Morgan Last updated 07/01/21	<p>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.</p> <p>Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR45.</p>	n/a	Red	n/a	<p>>Covid-19 – Safeguarding Arrangements and resources remodelled to ensure this is a key priority function within social services and services can continue to be safely delivered despite Covid-19 restrictions.</p> <p>>Planned implementation of multi-agency safeguarding hub progressed despite Covid-19 restrictions. The required dedicated Safeguarding Team for Adults included in the modified restructure of Adult Services required as a result of Covid-19</p> <p>>Support and Shield vulnerable people in the community during Covid-19</p> <p>>Provide emotional and well-being support to children and young people during Covid-19.</p> <p>>Provide support to people at greater risk from domestic violence during Covid-19.</p> <p>>Provide frontline social care staff with PPE during Covid-19</p>	<p>>Director of Social Services to advise Cabinet and CMT on options to bolster resilience of the workforce in frontline child protection teams.</p> <p>>Planned engagement and support from Cabinet and Council.</p>	<p>>Two dedicated Scrutiny Panels in place to scrutinise Social Services Work and Performance .</p> <p>>People PDC in place.</p>	<p>>Establish and maintain a regional protocol to provide secure Covid-19 care home provision including increased capacity in in-house care homes.</p> <p>>Council Covid-19 Recovery Plan to recover services and deal with emerging risks</p> <p>>Corporate Safeguarding Board</p> <p>>Principal Officers for safeguarding within Social Services.</p> <p>>Corporate Safeguarding Policy and Group</p> <p>>Mandatory Corporate Safeguarding Training in place for Staff and Members.</p> <p>>Corporate Priority</p> <p>>New Safeguarding</p>	<p>> Internal Audit of Safeguarding</p> <p>>Internal audit of DBS</p>	<p>>Regional and multi-agency safeguarding partnerships</p> <p>> CIW</p>	<p>> Audit Wales</p>	<p>>Currently included as part of standard rolling audit schedule, repeated based on audit risk score.</p>		
--	---	-----	-----	-----	--	---	--	---	---	--	-------------------------	---	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3				
				Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance				
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit						
Corporate Risk Register												

				<ul style="list-style-type: none"> >Prioritise workload to focus on most vulnerable and prioritise services and contact with those during Covid-19 response. >Children Services to further enhance the multi-agency Front Door Team with a dedicated safeguarding hub. >Action plan being developed in response to recent audit on DBS compliance in schools. >Corporate Safeguarding Board reviewing additional safeguards to be implemented by HR Transactions Team. >Sufficient numbers of trained Adult and Child Services staff. >String performance monitoring and reporting arrangements. >String commitment to invest in Social Care >Safeguarding Leads identified across all Council services. >Separate safeguarding arrangements in place in schools and Central 			Policy following review by PDDC in 2019 >CMT approved action plan to stabilise recruitment and retention of frontline Children Services staff						
--	--	--	--	--	--	--	--	--	--	--	--	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3				
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance				
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit						
Corporate Risk Register												

Risk ID 155 Risk Title Tax Evasion Risk Level Corporate Risk Category Finance Responsible Officer Ben Smith Updater Jeffrey Dong Last updated 01/02/21	<p>If the Council fails to prevent those who act for or on its behalf from knowingly or unknowingly facilitating (including failing to prevent) tax evasion, then the Council will be criminally liable and will face an investigation by HMRC with potential prosecution and unlimited financial liability.</p> <p>Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks.</p>	Green	Green	n/a	<p>>VAT Manual and Guidance available on staffnet permanently – refreshed annually as needs be</p> <p>>Accounting Instruction 15 (VAT) permanently available online</p> <p>> VAT advice available to any staff via Principal Finance Partner. All staff know to refer and reports with VAT implications via the nominated VAT Principal Finance Partner</p> <p>>Financial Procedure Rules (FPRs) and Contract Procedure Rules (CPRs).</p> <p>>IR35 guidance and procedure notes available.</p> <p>>Procurement rules and procedures.</p> <p>>Segregation of duties.</p>				<p>>VAT Audit in the Audit Plan.</p> <p>>Cover aspects of VAT, CPR's, FPR's and seg. of duties as part of standard audit tests across all audits.</p> <p>>VAT audit completed 19/20 – High Assurance</p>	<p>>External VAT Advisor retained by Council for specialist VAT advice under contract</p> <p>>Strong working relations-hip with HMRC Compliance Manager by S151, Principal Finance Partner (VAT) and Service Centre Manager (income tax, NI, IR35, Self Employed, contracts etc.</p> <p>>HMRC compliance team has visited and "signed off" our tax arrangements.</p>	<p>>VAT arrangements considered as part of wider financial audit</p>	<p>>None – elements are already covered in the audit plan.</p>	<p>>Planned audits to be completed as per the standard rolling prog.</p>	
--	--	-------	-------	-----	--	--	--	--	---	---	---	---	---	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area		
				Level 1	Level 2			Level 3					
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance					
					Council/ Cabinet	Scrutiny	Other	Internal Audit				Other Bodies	External Audit
Corporate Risk Register													

Risk ID 159 Risk Title Financial Control – MTFP aspects of Sustainable Swansea Risk Level Corporate Risk Category Finance Responsible Officer Ben Smith Updater Jeffrey Dong Last updated 29/01/21	<p>If we fail to deliver Sustainable Swansea and maintain sufficient financial control, and in particular do not ensure we contain service overspending, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and changing public expectations. Risk added 27/03/18 following review of Corporate Plan 2017/22 and review of Corporate Risks. Superseeds risks CR46 and CR47. RR 19/07/19 - Description changed from 'Financial</p>	Red	Red	n/a	<p>>Covid-19 – Recovery Plan : Future Council – Finance new MTFP. >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. >PFM monitoring process monthly is well established and understood by all officers with appropriate escalation mechanism to S151 Officer, Chief Executive and Cabinet if non-compliance >Spending restrictions published to all staff and reviewed. Many controls continue to be exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums. >Corporate level monitoring. >Agreed budget. >Clear governance and reporting in place. >Prevention Strategy. >Monitoring at monthly P&FM's. >FSTG reporting and monitoring.</p>	<p>>Quarterly monitoring reports to Council and Cabinet >Collaborative Officer/ Member budget setting process in place. >Overspend and under delivery of savings openly and transparently escalated and reported to Cabinet and Council by S151 Officer.</p>	<p>>Dedicated Scrutiny Service Improvement and Finance Performance Panel consider and scrutinise the budget on a quarterly basis.</p>	<p>>Quarterly monitoring reports to Audit Committee >Monthly PFM monitoring in place. Transform & Future Council PDC. > Many controls continue to be exercised by CMT in relation to filling vacant posts, restructures, regrades and committing contract sums. >Budget holders required to monitor and report any budget variances to monthly P&FM for review. >Reshaping Board launched to challenge delivery/ non-delivery and accelerate timescales.</p>	<p>>Audit Committee provide challenge, oversight and assurance >Periodic budget monitoring reports go to Audit Committee >Budget reports included in the 2019/20 workplan for Audit Committee</p>		<p>>WAO review currently underway in relation to the MTFP aspects of Sustain. Swansea. >AW recently published financial resilience national report and showed clearly Swansea position had strengthened considerably boosted by the £17m addition to reserves in 19-20 outturn. >Risks in current year managed temporarily by drawing down from those increased reserves.</p>	<p>>Saving and other budget mgt to be included as part of the Achieving Better Together (trans) audit.</p>	
--	--	-----	-----	-----	--	---	--	---	--	--	--	---	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3					
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance					
					Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies				External Audit
Corporate Risk Register													

Risk ID 180 Risk Title New Legislative and Statutory Changes Risk Level Corporate Risk Category Governance Responsible Officer Tracey Meredith Updater Debbie Smith Last updated 01/02/21	<p>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.</p>	Amber	Amber	n/a	<p>>Covid-19 – Lobby Welsh Government to streamline legislative requirements, bureaucracy and decision making to allow a flexible and rapid response to and recovery from Covid-19.</p> <p>>Lawyers in Local Government update on new legislation, consultation and constitutional matters circulated by Chief Legal Officer to CMT on regular basis.</p> <p>>Prepare action plan for new Local Government and Elections (Wales) Bill.</p> <p>>Legislative requirements built into plans and decision making.</p> <p>>Well-being of Future Generations Act webpage signposting to Welsh Government and Future Generations Commissioner resources to refer to and to help inform development of proposals/ reports at earliest stage</p> <p>>Ensure Legal Statutory Developments are</p>	<p>>All reports for Cabinet/ Council have legal implications paragraph and report authors are supported by legal officers when considering legislative requirements in decision making process.</p>	<p>>Scrutiny councillors routinely monitor and challenge services, policies and decision-making across the Council, which will include compliance with relevant legislation, assessment of quality, and highlighting of issues / concerns.</p>	<p>>Lawyers in Local Government updates received by Chief Legal Officer.</p> <p>> Legislation updates circulated periodically to CMT by Chief Legal Officer.</p> <p>>Policy Briefing – widely circulated</p> <p>>Appraisals and identification of training needs.</p> <p>> The Data Protection Officer provides an annual report on compliance with data protection legislation.</p>	<p>>Consult with CMT / HoS each year as part of annual consult'n exercise to inform the Audit Plan and inform forward work plan for the following year.</p> <p>>Audits added to plan as they arise prioritised by risk.</p>			<p>>Audits to be added to the plan via as per annual consult with HoS/ Directors.</p>	<p>>New audits to be added as requested by HoS/ Directors</p>	
---	---	-------	-------	-----	---	--	---	---	---	--	--	--	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3					
				Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit							
Corporate Risk Register													

Risk ID 196 Risk Title Workforce Strategy Risk Level Corporate Risk Category Strategic Responsible Officer Sarah Lackenby Updater Adrian Chard Last updated 01/02/21	<p>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.</p> <p>Risk added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks. Supersedes risk CR43.</p>	Amber	Amber	n/a	<ul style="list-style-type: none"> > Covid-19 – Redeploy and train staff to assist with the Covid-19 response. >Support staff health and well-being during Covid-19 >Support staff to work remotely at home during Covid-19 >Workforce will be a key strand of the future Council workstream in the Covid-19 recovery plan >Reporting through Leadership Team >Tracking and monitoring of the OD plan and delivery. >OD Strategy and Implementation Plan in place >Apprenticeship/ Traineeship strategy. >Gender Pay Gap and Project Plan >Service Planning >Corporate Plan – Transformation & Future Council Objective >Workforce Planning 			<ul style="list-style-type: none"> >New Policy development taken to PDC >The PDC has also undertaken a strand of work around the gender pay gap. 				<ul style="list-style-type: none"> >Workforce Planning audit included in 2019/20 audit plan, deferred pending Oracle Cloud implement per SL BS. > To be included as part of the Achieving better Together (trans) audit. 	
--	--	-------	-------	-----	---	--	--	--	--	--	--	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area		
				Level 1	Level 2			Level 3					
				Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
					Council/ Cabinet	Scrutiny	Other	Internal Audit				Other Bodies	External Audit
Corporate Risk Register													

Risk ID 222 Risk Title Digital, data and cyber security Risk Level Corporate Risk Category Governance Responsible Officer Sarah Lackenby Updater Jo Harley Last updated 29/01/21	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 added 27/03/18 following review of production of Corporate Plan 2017/22 and subsequent review of Corporate Risks.	Amber	Red	n/a	>Covid-19 – Ensure the Council's Covid-19 recovery plan accounts for increased risk from cyber-attacks and data fraud arising from new working patterns and reliance on technology >Introduce simulated cyber-attacks on staff to measure their actions, identify weaknesses and improve knowledge >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 >Cyber security during Covid-19 reviewed alongside advice from Warp and PSN compliance e.g. use of Zoom. >Enhanced Security Layer provided by Microsoft 365 >Cyber security strategy created and ready for engagement with staff >Digital services working with internal audit and emergency	>Information Management Annual Report to be presented to Cabinet from 2018/19. >GDPR compliance monitoring and reporting through PFM and new CMT/ Cabinet governance.	>Information Management Annual Report to be presented to Scrutiny from 2018/19. >More use of secure cloud storage.	>Member of the Cyber Security Information Sharing Partnership which is a joint industry and government initiative to exchange cyber threat information >Part of Wales Warning Advice and Reporting Point to share cyber threats and defences with other public bodies > Cyber Essentials and Cyber Essentials Plus accreditation >New regional multi-agency cyber cell meetings being attended to share intelligence and actions >PSN Certification Achieved >Cyber essential	>Various IT / System audits in Audit Plan. >GDPR audit added 18/19.	>Public Services Network (PSN) compliance certificate – tested annually. >Achieved IASME Cyber Essentials certification, working towards Cyber Essentials Plus by March 2019	>WAO review undertake an IT audit each year as part of reviewing financial accounts	>Range of IT audits in the plan to be completed as part of the rolling audit schedule.	>IT audits due in 2019/20 deferred to 2020/21	
--	--	-------	-----	-----	---	--	---	--	--	---	---	--	---	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3					
				Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
					Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies				External Audit
Corporate Risk Register													

	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.			planning to further improve the ICT disaster recovery plan >Live testing of the DR Plan, options being reviewed potentially in line with wider corporate business continuity exercise >LrF Cyber exercise planned and revised SIRO training >Comms. Issued to staff and members detailing impact of cyber attack at other councils.			accreditation achieved >Member of Wales WARP & CISP sharing knowledge of threats. >Discussed at IG Board – standing agenda item					
--	---	--	--	--	--	--	---	--	--	--	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3				
				Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance				
					Council/ Cabinet	Scrutiny	Other	Internal Audit				Other Bodies
Corporate Risk Register												

Risk ID 223 Risk Title Sustainable Swansea Transformation Programme Delivery Risk Level Corporate Risk Category Strategic Responsible Officer Adam Hill Updater Sarah Lackenby Last updated 01/02/21	CR103- If the Sustainable Swansea Transformation Programme does not deliver radical cross-cutting change, then the Council and its workforce are at risk of being unsustainable in the longer term RR 19/07/19 - Corporate Services Risk CS92 Sustainable Swansea Programme Delivery closed and matter escalated to Corporate Risk Register, as per CMT 10/07/19	Amber	Amber	n/a	>Covid-19 – New Transformation Plan in development by Deputy Chief Executive linked with Covid recovery >Annual programme review reflecting lessons learned into revised programme >Links with corporate governance risk around reporting for major projects >Robust programme management for risks, issues, changes >Monitoring and reporting at CMT away days >Robust programme governance and reporting >Sustainable Swansea programme plan	>Monitoring and reporting at CMT/ Cabinet away days	>Annual Report to Scrutiny	>Reshaping board in place			>Sustainable Swansea review being completed by WAO, likely to be focused on MTFP Savings Plans and progress to date.	>Work needed to cover non MTFP Savings that is not covered by WAO review to be included in Achieving better together (trans) audit.	>Replaced by Achieving Better Together (trans) on the audit plan 2021/22	
--	--	-------	-------	-----	--	---	----------------------------	---------------------------	--	--	--	---	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3					
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance					
					Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies				External Audit
Corporate Risk Register													

Risk ID 235 Risk Title Emergency Planning, Resilience and Business Continuity Risk Level Corporate Risk Category Governance Responsible Officer Adam Hill Updater Craig Gimblett Last updated 29/01/21	<p>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.</p>	Red	Red	n/a	<p>>Covid-19 – Prepare for further Covid-19 or other infectious disease outbreaks >Rest Centre Plan and arrangements >Additional dedicated PPE reserve for responders and public during evacuation and additional rest centre location for mass evacuation to be established from bay >Additional strategic training to increase organisational resistance agreed for 3rd Nov >Specific Covid Rest Centre arrangements developed and implemented complete with evac PPE and hygiene supplies >Restructure of EMS to include additional EMS Officer and Principle for 12 months >Review and update business continuity plans >Crisis Media Plan >Temporary Mortuary arrangements >Major Incident Plan >Flood Management Plan >Emergency Recovery Plan</p>			<p>>Multi agency exercising and training</p>	<p>>Emerg. Mgt audit in Audit Plan for CBS. >H&S, Emerg. Planning / Civil Cont. and Business Continuity in Audit Plan for HR&OD</p>		<p>>Standard audits in the plan already cover this area.</p>	<p>>Audits in the plan to be completed when due as part of the standard rolling schedule. > CCS and ICT disaster recover audits on the 2021/22 plan.</p>	
--	--	-----	-----	-----	--	--	--	---	--	--	---	---	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3				
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance				
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit						
Corporate Risk Register												

Risk ID 236 Risk Title Health & Safety Risk Level Corporate Risk Category Governance Responsible Officer Adam Hill Updater Craig Gimblett Last updated 01/02/21	If we fail to have robust Health & Safety policies and arrangements in place, then there could be a health and safety breach identified as a corporate failing with associated legal, financial and reputational consequence	Amber	Amber	n/a	>Covid-19 – Additional guidance on H&S assessments and general Covid information as a priority >Retrospective entered Covid assessments, standard operating procedures for schools and premises, BAME and health assessment process created and PPE guidance. >Early review of lone working, DSE and mental health policies >Well-being policies. New mental health policy under consultation includes social isolation and impact of home working >Staff well-being part of future council stream of Covid recovery plan >Stress management and counselling and H&S advice to staff during Covid-19 >Review business continuity plan to prepare for EU exit >H&S toolkits >Noise, dust, light, humidity, vibration sampling			>Member of British Association of Counsellors and Psychotherapists (Bacp). >Directors H&S Committees & Sub Safety Groups	>H&S Audit Plan			>Standard audits in the plan already cover this area.	>Audits in the plan to be completed when due as part of the standard rolling schedule.	
---	--	-------	-------	-----	--	--	--	---	-----------------	--	--	---	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3					
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance					
					Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies				External Audit
Corporate Risk Register													

Risk ID 259 Risk Title Regional Working Risk Level Corporate Risk Category Strategic Responsible Officer Phil Roberts Updater Liz Edmonds Last updated 25/01/21	<p>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.</p>	Amber	Amber	n/a	<p>>Covid-19 – Maintain stronger partnership working relationships post Covid-19 and as part of the Council's Covid-19 recovery plan and continue to make use of MS Teams to ensure regional meetings are more frequent and effective >Collaboration on the delivery of school improvement services >Playing a leading and proactive role in major regional collaborations >Representations made to WG on reforming the grant regime >Governance structures in place for all major collaborations >Partnerships have been mapped >Director leads for each partnership >Senior Management restructure strengthening capacity for regional working</p>	<p>>Council is playing a leading and proactive role in major regional collaborations. >Leader of the Council is the City Region Joint Committee Chair. >Council meets up regionally with 5 other local authorities to discuss collaboration projects. >Annual Report on Regional Working presented to Council.</p>	<p>>Scrutiny inquiry findings documented as required actions on the Risks Register. >Annual Report on Regional Working is produced by Scrutiny providing overview of three key collaborations s inc. ERW, West Glam. Regional Partnership (prev. Western Bay), and Swansea Bay City Deal.</p>	<p>>Chief Executive takes the lead role for ERW and Western Bay as well as being an executive member of the City Deal Joint Committee. ERW has fully formed Governance Arrangements. >City Deal has Joint Committee Agreement and joint scrutiny arrangements agreed by Council. >Western Bay has a Joint Committee and scrutiny arrangements in place.</p>	<p>>City Deal has a Joint Working Agreement in place, which was approved at Council on 26th July 2018. >Review of progress by IPC on the Western Bay Health & Social Care collab'n.</p>	None	n/a	
---	---	-------	-------	-----	--	--	---	--	--	------	-----	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area		
				Level 1	Level 2			Level 3					
				Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit							
Corporate Risk Register													

Risk ID 264 Risk Title COVID-19 Risk Level Corporate Risk Category Operational Responsible Officer Adam Hill Updater Richard Rowlands Last updated 26/01/21	<p>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.</p>	Red	Red	n/a	<p>> Prepare And Implement A Covid-19 Recovery Plan To Restart, Adapt, Recover And Transform Council Services. > Work With Partners To Provide Social Care And Other Critical Front-Line Staff With Ppe. > Work With Partners To Ensure Resilient Supply Chains, Especially Food And Ppe Supply. > Work With Partners To Redeploy Staff And Seek Recruits To Critical Areas, Such As Social Care And Food Distribution To Food Banks. > Prepare For The Possibility Of Further Covid-19 Outbreaks. > Provide Council-Led To Support To Local Businesses, E.G. Advice, Grants And Rate Relief. > Work With Partners To Inform And Reassure The Public And Reinforce Health And Social Distancing Messages Through Social And Other Media. > Work With Partners To Support Education</p>	<p>>Covid-19 Recovery and transformation Plan 'Achieving Better Together' approved At Cabinet. >Various Cabinet reports through 2020/21 to support work to respond to the pandemic, e.g. Financial Procedure Rule 19.1c and FPR7. Authorisation for Alteration and Conversion of Bay Studios, Fabian Way, Swansea into an 1000 Bed Surge Hospital on Behalf of the Swansea Bay University Health Board – See Cabinet 27/04/20.</p>	<p>>Scrutiny has kept a watching brief. SPC to review local position and progress with Recovery Plan.</p>	<p>>Covid-19 Recovery and transformation Plan 'Achieving Better Together' reviewed by Audit Committee. >Audit Committee quarterly overview of risk management, including Corporate Risks. >Audit Committee oversight of relevant reports and impact of Covid-19, e.g. See Audit Committee review of Revenue and Capital Budget Monitoring - 2nd Quarter on 09/02/21, including Welsh Government funding and Covid-19 grant payments made to local businesses</p>	<p>>Matters arising addressed in some Internal Audit work, e.g. See report to Audit Committee 09/02/21 Internal Audit Annual Plan 2020/21 - Monitoring Report for the Period 1 October 2020 to 31 December 2021 – detailing additional work done in the quarter, including Lloyds pre-paid card review in relation to the Covid-19 Foodbank setup and operation.</p>	<p>>Report providing an assessment of the key issues following the Covid-19 response with a particular focus on how we have collectively managed Care Home settings reviewed at the Regional Partnership Board.</p>	<p>>Audit Wales has shaped their work to provide assurance and challenge in a way which helps to support the Council through this period. 2020-21 work includes: • recovery planning in response to the COVID-19 pandemic; • COVID-learning project – helping to identify and share learning from the way in which public bodies have responded to the pandemic;</p>	<p>> Achieving Better Together (Recovery) included on the 2021/22 plan.</p>	
---	---	-----	-----	-----	---	---	--	---	---	--	---	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance					Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3				
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance				
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit						
Corporate Risk Register												

Risk ID 269 Risk Title Local Economy and Infrastructure Risk Level Corporate Risk Category Strategic Responsible Officer Martin Nicholls Updater Phillip Holmes Last updated 13/01/21	<p>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.</p>	n/a	Red	n/a	<ul style="list-style-type: none"> > Refresh Regional Economic Regeneration Strategy > Develop A Covid Economic Recovery Plan > Attract Sufficient Investment And Development And Regenerate The City Centre. > Work With Partners To Deliver The Swansea Bay City Deal And Attract Investment Across The Region To Deliver Highly Skilled And Well-Paid Jobs. > Organise And Facilitate Virtual Meet-The-Buyer Events To Help Local Businesses To Identify Opportunities To Bid For Council Work And Contracts. > 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. > Provide Business Advice And Support, Including Administering Uk And 					<ul style="list-style-type: none"> >Collaborate With Welsh Government On Regional Economic Framework 			
---	---	-----	-----	-----	---	--	--	--	--	--	--	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3					
				Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance					
					Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies				External Audit
Corporate Risk Register													

Risk ID 276 Risk Title Achieving Better Together – Recovery Risk Level Corporate Risk Category Strategic Responsible Officer Adam Hill Updater Sarah Lackenby Last updated 29/01/21	<p>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.</p>	Amber	<p>> Monitoring capacity. Capacity Is A Significant Risk Across The Council With Staff Working On Ttp, Some Staff Still Diverted Onto Urgent Covid Tasks, Staff Off Sick With Covid Or Self-Isolating, And The General Pressure Of Business As Usual Alongside The Continuing Pandemic. Delivery Of The Recovery Plan Must Be Viewed In This Context And Any Risks Or Issues Flagged By Workstream Leads. Overall Programme Management Capacity Is Required. A Post Has Now Been Created And Recruited Will Begin Shortly</p> <p>> Robust governance and recovery plan monitoring and reporting. Governance Established For The Recovery Plan Utilising Existing Groups And Boards. Reporting Monitoring In Place With Workstream Leads.</p>									<p>Audit added to plan for 2021/22</p>	
---	---	-------	--	--	--	--	--	--	--	--	--	--	--

Business Risk	2 Month Overall RAG	Previous Overall RAG	Current Overall RAG	Level and Source of Assurance						Internal Audit Needs	Planned Internal Audit Work	Audit Plan Area	
				Level 1	Level 2			Level 3					
				Management Assurance	Other <i>Internal</i> Assurance			Other <i>Independent</i> Assurance					
Council/ Cabinet	Scrutiny	Other	Internal Audit		Other Bodies	External Audit							
Corporate Risk Register													

Risk ID 277 Risk Title Achieving Better Together – Transformation Risk Level Corporate Risk Category Strategic Responsible Officer Adam Hill Updater Sarah Lackenby Last updated 29/01/21	If the Council does not transform effectively it will not be sustainable and financially resilient in the longer term			> Transformation activities in the programme plan must align with the MTFP to ensure future financial sustainability > Programme documents need to be in place: Programme plan (milestones and deadlines), governance, benefits realisation plan, RAID log, change plan > Learning from the previous transformation programme, Sustainable Swansea adapted into the new programme following final report to Scrutiny in June 2021									Audit added to plan for 2021/22	
---	---	--	--	---	--	--	--	--	--	--	--	--	---------------------------------	--

Updates:

08/12/20 (MAP consultation responses from TM, BS, HMR, SL)

27/01/21. 03/02/21.