Report of the Head of Communications & Marketing

Governance and Audit Committee – 8 February 2023

Corporate Risk Overview - Quarter 3 2022/23

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

1.   Background

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

2.   Corporate Risk: Quarter 3 2022/23

2.1   The following summarises the status of risks recorded in the Corporate Risk Register as at Quarter 3 2022/23

2.2   There were 5 Red status risks in the Corporate Risk Register as at the end of Q3 2022/23:

- Risk ID 94 Pupil attainment and achievement.
- Risk ID 153. Safeguarding.
- Risk ID 159. Financial Control: MTFP aspects of Sustainable Swansea.
- Risk ID 222. Digital, Data and Cybersecurity.
- Risk ID 334. Cost of living crisis.

- All of the Corporate risks were recorded as having been reviewed at least once during Q3.
- 6 new risks were added to the Corporate Risk Register.
  - Risk ID 333. Corporate Transformation Plan.
  - Risk ID 334. Cost of living crisis.
  - Risk ID 335. Workforce recruitment and retention.
  - Risk ID 336. Mandatory training.
  - Risk ID 337. Social cohesion.
  - Risk ID 338. Net Zero 2030 target.
- 2 Corporate risks were deactivated during Q3 (see para 3):
  - Risk ID 276. Achieving Better Together Recovery.
  - Risk ID 320. Safeguarding mandatory training.
- No risks were escalated to the Corporate Risk Register.
- 2 Corporate risks was de-escalated from the Corporate Risk Register.
  - Risk ID 319. Escalating provider costs.
  - Risk ID 221. Availability of domiciliary care.
- 2 Corporate Risks had their RAG status changed during Q3.
  - Risk ID 309. Oracle Fusion. RED to AMBER.
  - Risk ID 94. Pupil attainment and achievement. AMBER to RED.

2.3   The report at Appendix A includes the risks as at 31/12/22 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.
- *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   Annual Review of Corporate Risks 2022/23.

3.1   The annual review of the Corporate Risks took place at Corporate Management Team during Q2 on 17th August 2022.

3.2   The outcome from the workshop was finalised at two subsequent meetings of CMT and Cabinet on 14th December 2022 and 5th January 2023.

3.3   The full list of Corporate Risks is as follows:

	Corporate Risks
1	Risk ID 94. Pupil attainment and achievement
2	Risk ID 153. Safeguarding
3	Risk ID 159. Financial Control - MTFP Delivery
4	Risk ID 222. Digital, data and cyber security
5	Risk ID 235. Emergency Planning, Resilience and Business Continuity
6	Risk ID 236. Health & Safety
7	Risk ID 269. Local economy and infrastructure
8	Risk ID 290. Impact of Poverty
9	Risk ID 309. Oracle Fusion project implementation.
10	Risk ID 333. Corporate Transformation Plan.
11	Risk ID 334. Cost of living crisis.
12	Risk ID 335. Workforce recruitment and retention.
13	Risk ID 336. Mandatory training.
14	Risk ID 337. Social cohesion.
15	Risk ID 338. Net Zero 2030 target.

3.5   As part of this work, the Council is also undertaking work to add residual and inherent risk assessments to the register, i.e. the level of risk before and after Control Measures are applied. Work to add risk appetite will be undertaken as part of the new risk management solution that is being built.

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.

4.2   The Committee requested, at the last committee review of risk at Q2, a copy of Social Services Corporate and Directorate level risks, which are attached at Appendix B.

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 A Screening form was completed. 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.

Background papers: None.

Appendices: Appendix A – Corporate Risks as at 31/12/22.
Appendix B – Social Services Corporate & Directorate Risks as at 16/01/23.
Appendix C – IIA Screening Form