Appendix 4

								Level and Sour	ce of Assurance				Internal	Planned	
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Busin	ess Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 94 Risk Title Pupil Attainmen & Achievement Risk Level Corporate	If pupils do not receive a very good education then they will not achieve the right qualifications and skills to take advantage of the Swansea Bay City Deal and to contribute effectively to the economic prosperity of the city.	High	Medium Cun		Helen Morgan-Rees / Rhodri Jones	> External regulation Estyn framework supports the definition of good quality education in schools and supports the mitigation of a bad education where too many barriers to learning remain in place. > Termly monitoring and evaluation helps to mitigate against a narrow curriculum, poor quality teaching and weak school leadership. Termly reports are quality assured by the principal school improvement adviser. School improvement advisers support and challenge schools to ensure learners' potential is maximised. Progress on each school's priorities to improve outcomes for learners is examined thoroughly as well as the school's evaluation of its own performance. Where schools' capacity to self-improve (without intervention) is compromised, more intense support packages are agreed with precise action plans. The statutory	>Positive engagement and support from Cabinet and Council. > Recovery plan during pandemic has been sufficiently addressed. >Two policy areas to improve school attendance and strengthen school leadership are in place via Corporate Delivery Committee. Cabinet Member is regularly appraised of schools causing concern.	>Dedicated Scrutiny Panel to scrutinise education work and performance. Scrutiny covers barriers to learning, access to support, school improvement activity, key delivery partners, vocational opportunities and Swansea Skills Partnership, key delivery partnership in Partneriaeth and curriculum reform readiness. Scrutiny committee is supplied with the most recent inspection outcomes.	Additional Learning Needs Board receives delivery highlight report of transformation al plan. >PSOs/ Accountancy provide support and oversight of school finance. Attendance and exclusion analysis and reports support targeted intervention. Key strategies in place to support school leadership, curriculum collaboration and vocational provision.	>Various Edu. Audits in the Audit Plan. >ESTYN reports review during school audits for finance / mgt. control.	>ESTYN prog.of external school inspection fully re- commenc ed. >Local authority link inspectors have conducted termly meetings since the inspection of local governme nt education services when high level of assurance was provided for standards and outcomes in Swansea schools.	>Audit Wales & CIW. > HSE audit of schools as Covid safe environment s to allow education to continue. > Welsh government returns, for example. Accelerated learning programme.	>Range of Education audits in the plan to be completed as part of the rolling audit schedule. >Thematic reviews included as discussed with the Director of Education.	>School and other Education / thematic audits due in 2023/24 and beyond	Service Specific - Education - Improving Education and Skills

							Level and Source	ce of Assurance				Internal	Planned	
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Business Risk	5	poor	Status	Update		Oth	er <u>Internal</u> Assura	ance	Other <u>Ir</u>	ndependent A	ssurance	Needs	Work	ın Area
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					and evaluation helps mitigate the risk of poor-quality provision for pupils. In addition, a school profiler is now established to identify schools that require the most support. Regular schools' issues meetings are held and chaired by Head of Achievement and Partnership. > Since January 2022, school and provider inspections have recommenced after a two-year pause. To date, fifteen inspections have taken place with the most schools achieving good outcomes. Schools that have not made sufficient progress in addressing recommendations set by school improvement advisers have been issued with a formal warning notice or a prewarning letter. Where intense support is needed to accelerate school improvement, a Team Around the School is created to steer improvement.									

								Level and Sour	ce of Assurance				Internal	Planned	
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Risk ID	If our					>Prioritise and target	>Directors	>Two	> Corporate	> Internal	>Regional	>Audit	>Currently	>Safeguar	
153	safeguarding					resources at	annual report	dedicated	transformation	Audit of	safeguardi	Wales	included	ding cross	
Distribution	arrangements					maintaining care and	to Council	Scrutiny	board	Safeguar-	ng board		as part of	cutting	
Risk Title Safeguardir	are not g sufficiently					support for those individuals in most	>Fortnightly meetings with	Panels in place to	oversight >Corporate	ding >Internal	> CIW inspection		standard rolling	audit is included in	
Saleguaruii	robust					critical need or	Cabinet	scrutinise	Safeguarding	audit of	regime		audit	the 22/23	
Risk Level	(particularly					at risk of suffering	Members	Social	Board	DBS	>Regional		schedule.	audit plan	E
Corporate	with regards					harm as part of the		Services Work	>Local		partnershi		repeated		Hal
	being able to					emergency planning		and	authority		p board		based on		E
	fund, recruit					infrastructure and re-		Performance	designated				audit risk		Į.
	and retain sufficient					prioritisation of the Councils COVID-19		>Safeguarding and tackling	officers for safeguarding				score.		ble
	qualified					Recovery Plan		poverty	within Social						o _e c
	social					>Monitor the		corporate	Services.						J G
	workers;					effectiveness of		development	>Mandatory						β
	ensure					safeguarding		committee	Corporate						lna
	placement					arrangements bi-		>Bi monthly	Safeguarding						feg
	sufficiency for looked after					monthly at the childrens and adults		performance reporting to	Training in place for Staff						Sa
	children and					performance		CMT	and Members.						<u> </u>
	be able to					scrutiny panels, the		>Monthly	>Corporate						l tr
	provide or					corporate		p&fm	Priority						Ö
	commission					safeguarding board			>Corporate						р
	sufficient					and the regional			plan						a
	social care for adults with					safeguarding board, quarterly at CMT			>Corporate Safeguarding						nce
	assessed					and monthly at PFM			Policy						rna
	care and					and take appropriate			1 Olloy)Ve
	support					remedial action									õ
	needs), then					>Invest in the									Cutting – Council Governance and Control – Safeguarding People from Harm
	we will not be				_	Council's direct care									l no
	doing everything we				Morgan	provision services to maximise capacity and									0
	possibly can				Į.	reduce reliance on									- gc
	to prevent the				ela N	independently									Litir
	death, injury				gel	commissioned care									ŭ
	or neglect of a	I			Ange	services for adults									Cross
	child or				_	(within the Council's									تّ
	vulnerable				Howes	overall available									
	adult and consequential				Ę	financial resources)									
	reputational		_		<u> </u>	>Implement new									
	damage.	High	High	Red	David	models for the									
	J	T	I			commissioning local									

								Level and Source	e of Assurance				Internal	Planned	
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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
						independent domiciliary care provision to build capacity inc. by supporting providers to provide a fair and competitive wage to their staff (within the Council's overall available financial resources) >Provide specific advice to Welsh Government as to how they can safely implement the eliminate profit from children services policy commitment (including supporting the growth of not for profit looked after children care provision) to avoid inadvertently exacerbating the current lack of placement sufficiency for looked after children >Invest in increasing the number of Foster Wales Swansea foster carers and the number of in-house residential care beds for children (both locally and regionally) whilst decreasing reliance on									
						independently commissioned foster and residential care placements (within the									

							Level and Source	e of Assurance				Internal	Planned	
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Business Risk	npact	ikelihoo	AG Stat	ner / Upo	Management Assurance	Council/	Scrutiny	Other	Internal	Other	External	_		Audit Plan Area
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater		Cabinet	Corduity	Carlor	Audit	Bodies	Audit			Audi
		<u> </u>			Council's overall									
					available financial									
					resources) >Work with the Health									
					Board to review the									
					current level of partner									
					financial contributions									
					to the funding of integrated									
					intermediate care									
					services (inc									
					maximising regional									
					and national income									
					opportunities) to ensure									
					an effective service									
					offer that reduces or									
					delays recourse to									
					long term managed care (within the									
					Council's									
					overall available									
					financial resources)									
					>Implement effective									
					recruitment processes									
					both within the Directorate and the									
					corporate centre									
					(including				1					
					maintaining a									
					sufficient workforce				1					
					infrastructure) to ensure that there are				1					
					no avoidable delays in				1					
					recruiting to				1					
					essential posts				1					
					determined as				1					
					necessary to maintain				1					
					a safe and effective social services				1					
					function (within the									
					Council's overall									
					available financial				1					
					resources)								<u> </u>	

						ce of Assurance				Internal	Planned			
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	Current Impact	Current Likelihood	Overall RAG	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
			_	I	>Implement a weekly							<u> </u>		
					Directorate workforce									
					planning meeting to									
					consider and prioritise all new recruitment									
					requests to ensure									
					that new recruitment is									
					focussed on the									
					maintenance of a safe									
					and effective service and									
					complies with current									
					spending restrictions									
					and supports delivery									
					of the Council's MTFP									
					>Remodel the workforce									
					infrastructure for social									
					services including									
					investment in capacity									
					of alternatively									
					qualified staff (both frontline and back-									
					office staff) to take on									
					functions that can be									
					safely delivered by a									
					non-registrant									
					workforce (within the Council's overall									
					financial resources)									
					>Prioritise maintaining									
					investment in and									
					maximising income for									
					the funding of									
					prevention and wellbeing									
					services that reduce or									
					delay recourse to									
					statutory services and									
					managed care and									
					support for children and									
					adults who would									
				<u> </u>	otherwise develop									

							Level and Source	ce of Assurance				Internal	Planned	
				_	Level 1		Level 2			Level 3		Audit	Internal	
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Business Risk	*	000	Stat	pd∩		Oth	ei <u>iiiteiliai</u> Assula	arice	Other <u>II</u>	<u>idependent</u> F	Surance		VVOIR	n A
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					care and support needs (within the Council's overall available financial resources) >Prioritise a sufficient budget allocation (within the Council's overall available financial resources) to maintain the Council									
					meeting at least the minimum level of statutory service across children's and adults services >Implement a social work academy in children services to support newly qualified staff to gain									
					the skills and experience to become competent child protection practitioners >Work with NPT Council and the Swansea Bay Health Board to implement a recruitment strategy									
					for overseas staff to fill critical workforce shortages across health and social care >Implement a `grow your own' strategy to support an increase in the number of internal staff to pursue the social work qualification >Recruit agency social workers to cover									

							Level and Sour	ce of Assurance				Internal	Planned	
				_	Level 1		Level 2			Level 3		Audit	Internal	
Business Risk	 15	poor	Status	/ Updater		Oth	er <u>Internal</u> Assur	ance	Other <u>I</u>	ndependent A	Assurance	Needs	Audit Work	ın Area
Business Risk	Current Impact	Current Likelihood	Overall RAG	Risk Owner /	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan
		1		•						1	T		T	
					critical gaps in social work capacity									

								Level and Sour	ce of Assurance				Internal	Planned	
					7	Level 1		Level 2			Level 3		Audit Needs	Internal Audit	
Rusina	ss Risk		poo	atus	pdate		Oth	er <u>Internal</u> Assur	ance	Other <u>Ir</u>	dependent A	Assurance	Neeus	Work	Area
Busine	SO RISK	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 159 Risk Title Financial Control – MTFP aspects of Sustainable Swansea Risk Level Corporate	If we fail to deliver Sustainable Swansea and maintain sufficient financial control, and in particular do not ensure we contain service overspending, especially now inflation is embedded at levels far above the expectation of around 2%, then we will not be able to respond appropriately to continuing austerity, demographic pressures, increasing demand and price pressures and changing public expectations.	Very High	Very High	Red	Ben Smith / Jeff Dong	>As part of the quarterly Revenue and Capital Budget Monitoring Reports to Cabinet, continue to monitor and report on slippage in Capital schemes and the effects on Capital schemes of price inflation affecting supplies and materials, including mitigating actions such as agreeing cost increases through FPR7 procedures >Covid disruption >COVID-19 Recovery Plan: Future Council -Finance - New MTFP. 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 >Identify uncontainable inflation pressures as variances in the monthly PFM budget reporting cycles and quarterly through to Cabinet. >Compliance within Financial Procedure rules so that spend	>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.	>Dedicated Scrutiny Service Improvement and Finance Performance Panel consider and scrutinise the budget on a quarterly basis.	>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.	>Audit Committee provide challenge, oversight and assurance >Periodic budget monitoring reports go to Audit Committee >Budget reports included in the 2022/23 workplan for Audit Committee		>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.		>Saving and other budget mgt to be included as part of the Achieving Better Together (trans) audit 23/24 >Fundame ntal audits included in the plan as due in 2023/24	Service Specific / Fundamental Audits - Section 151 Officer Assurance

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Business Risk	1_	Current Likelihood	Overall RAG Status	Risk Owner / Updater		Oth	er <u>Internal</u> Assura	ance	Other <u>II</u>	<u>ndependent</u> A	ssurance		Work	Audit Plan Area
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					remains within budget, including permitted									
					Virements									
					>Services to ensure									
					that inflation pressures									
					are managed and									
					contained within cash									
					limits agreed at the time									
					the budget and MFTP									
					are set.									
					>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									
					>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 (Performance and Financial									
					Management/Monitori									
					ng) process monthly is									
					well established and									
					understood by all									
					officers with									
					appropriate escalation									
					mechanism to S151									
					Officer, Chief Executive and									
		1			EXECUTIVE ALIC		I							

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Business Risk	t l	pood	Status	Update		Oth	er <u>Internal</u> Assura	nnce	Other <u>Ir</u>	ndependent A	ssurance	Necus	Work	an Area
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					Cabinet if non compliance > 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 > 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. > Further development work to progress on transformation agenda over medium term through Achieving Better Together reshaping programme.									

								Level and Sour	ce of Assurance				Internal	Planned	
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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 222 Risk Title Digital, data and cyber security Risk Level Corporate	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.	db			Lackenby / Jo Harley	>Constant monitoring and surveillance of cyber risks by Security Office using system and tools in place. Situation reported monthly to Digital Services Board and Information Governance Board chaired by SIRO >Communication to users to keep up awareness >New tools from Microsoft being reviewed to provide phishing test as part of continued vigilance and education to users on cyber security >DR test training completed for Digital Services team. Simulated test of a cyber attack. Training to be provided to HoS and CMT >Covid-19 – Ensure the Council's Covid-19 recovery plan accounts for increased risk form cyber-attacks and data fraud arising from new working patterns and reliance on technology >Introduce simulated cyber-attacks on staff to measure their		>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 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) complianc e certificate - tested annually. >Achieved IASME Cyber Essentials certificatio n, 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 included in the 2023/24 plan as per the rolling programm e and additional ICT reviews as a result of the annual consultation exercise and review of risk registers.	Service Specific – Digital & Customer Services and IT Audits – Transformation and Future Council
		Very High	Medium	Red	Sarah	actions, identify weaknesses and improve knowledge			accreditation achieved						

ı					Level and Source of Assurance Level 1 Level 2 Level 3								Internal	Planned	
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	Business Risk	Current Impact	Current Likelihood	Overall RAG Sta	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
						>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. >Cyber security strategy created and ready for engagement with staff >Digital services working with internal audit and emergency 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 planned and revised SIRO training >Comms. Issued to staff and members detailing impact of cyber attack at other councils. >BullWall Software purchased to protect against malware attacks.			>Member of Wales WARP & CISP sharing knowledge of threats. >Discussed at IG Board – standing agenda item						

								Level and Sour	ce of Assurance				Internal	Planned	
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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
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Risk ID 235 Risk Title Emergency Planning, Resilience and Business Continuity Risk Level Corporate	If we do not have sufficient emergency planning, resilience and business continuity arrangements in place, then we will not be able to respond effectively in an emergency, provide the necessary civic leadership or continue to run vital services and ensure compliance with the legal requirements of the Civic Contingencies Act 2004 as a Category 1 Responder.	Medium	Medium	Amber	Ness Young / Craig Gimblett	>Continue to plan for and respond to emergencies as a Category 1 responder under the Civil Contingencies Act, as follows: > Train staff at Operational, Tactical and Strategic Level via the South Wales Local Resilience Forum > Review each year and exercise every 3 years a Major incident Plan, unless activated or significant change such as a change in statute require earlier change >Maintain and review on an annual basis all subordinate plans, including Mass Fatalities, Flood, Offsite COMAH Plan, Rest Centre Plan. with exercising as appropriate >Manage a duty officer rota to effectively respond to emergencies available 24 hours per day, 365 days per year > Annually review all identified risks within the borders of Swansea Council to ensure control measures	>EMS Manager briefs leader/cabinet as required>CMT receives regular updates on key planning and agreement as required from EMS manager. >EMS manager meets monthly with the portfolio holder for political oversight and visibility. EMS Manager represents Swansea Council at Strategic level within SWLRF and Pan Wales Forums.	>EMS have been called to several Scrutiny panels, with none currently in the calendar.	>Multi agency exercising and training >Internal development/ training of new officers including newly created assistants post. >Joint work programs and information sharing with Welsh Civil Contingencies managers and South Wales Resilience Team. >Service Manager part of the National and Regional PSPG group and CONTEST Group with local PSPG arrangements in-place. >EMS is embedded within the SWLRF at Executive, Strategic and Tactical levels BC plans in-place with each HoS.	>EMS were audited in Nov 22 with an outcome of High assurance rating.	>EMS have been part of the consultatio n group for Welsh Governme nts Civil Contingen cies review this will lead to independe nt external audit of Civil Contingen cies when final structures are establishe d in 2023. > The Protect Act, which places responsibil ity for CT planning based on organisati onal risk, as part of this a new Regulator will be appointed to enforce complianc e/breache s and audit	>Independe nt external Audits will by conducted through Welsh Government and the new regulator appointed to enforce the Protect Duty in 2023/24 to establish maturity and mitigation.	>Standard audits in the plan cover this area on rolling basis.	>Audits in the plan to be completed in as part of the rolling programm e include disaster recovery & Business Continuity, Emergenc y Planning & Business Continuity	Service Specific Audits – Communications / ICT / Council wide assurance

				Level and Source of Assurance Level 1 Level 2 Level 3								Internal	Planned	
					Level 1					Level 3		Audit	Internal	
			ဟ	ater						 		Needs	Audit	a
Business Risk	1	Current Likelihood	Overall RAG Status	Owner / Updater		Oth	er <i>Internal</i> Assura	ance	Other <u>II</u>	<u>ndependent</u> A	ssurance		Work	Audit Plan Area
	Current Impact	eii⊢	S)	١,٠	Management									Jar
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	l III	urre	Ver	Risk (
	S	S	0	2										
					remain relevant and			>Plans and		arrangeme				
					proportionate.			Action cards		nts.				
					>. Redistributed to all			reviewed						
					Heads of Service and			annually and EMS audited						
					review each year the									
					Council's Corporate			in 2022. >Collaborative						
					Business Continuity			working with						
					policy and guidance to ensure business			SWP on call						
					continuity plans are			out protocols						
					robust and reviewed annually.			in-place and reviewed.						
					>Review each year for all significant risks the			>ACT App and free training						
								promoted						
					Emergency									
					Management Service			across						
					(EMS) guidance, procedures and action			Authority. Local Partner						
								CT comms						
					cards. >The EMS acts as the			-						
								strategy and						
					conduit for security			alerts system established.						
					and counter terrorism			established.						
					information from the									
		1			Welsh Extremism &									
					Counter Terrorism									
		1			Unit, disseminating									
					information to key									
					internal and external									
					partners as required.									
					> EMS maintains a									
					fully stocked Incident									
					Response Vehicle, to									
					protect/support the									
					public during an									
					emergency.									
					A Swansea Risk									
					Group with Partner									
					Agencies has been									
					established.									
					Plans are in-place for									
					further Covid-19 or									
					other infectious									
		1			disease outbreaks							1		

				Level and Source of Assurance Level 1 Level 2 Level 3								Internal	Planned	
					Level 1			,		Level 3		Audit	Internal	
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Business Risk	ಕ	pooq	Statu	Upda		Othe	er <u>Internal</u> Assura	ince	Other <u>Ir</u>	<u>ndependent</u> A	ssurance		Work	an Are
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
	1													
					>Rest Centre Plans and arrangements have been tried and tested with partners, including infection control arrangements for evacuation > PPE reserve for responders and public during evacuation is in-place > Additional Gold strategic training increased to 2 per year to maintain organisational resilience. > Review and update business continuity plans annually on need completed by HoS. > Crisis Media Plan in-place > Mass Fatality Mortuary arrangements in-place > Major Incident Plan > Flood Management Plan > Emergency Recovery Plan									

					Level and Source of Assurance Level 1 Level 2 Level 3								Planned	
				<u>_</u>	Level 1					Level 3		Internal Audit Needs	Internal Audit	
Business Risk	ಕ	pood	Status	Update		Oth	er <u>Internal</u> Assura	ance	Other <u>Ir</u>	ndependent A	ssurance	Needs	Work	an Area
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					>ACT training promoted across organisation. >Call out & activation									
					protocols/ action cards in-place with 24/7 duty rota. >RAG alert system									
					across H&S, Emergency Management >Service and									
					Corporate Business Impact Assessments and business continuity plans in- place									
					Continual review of plans & protocols >Vehicle mitigation & protective security									
					advice provided and submission for additional HVM submitted via DLUC.									
					>PSPG Core Group established, and PSPG wider comms cell for information to									
					be shared with local partners established.									

								Level and Sour	ce of Assurance				Internal	Planned	
						Level 1		Level 2			Level 3		Audit	Internal	
			b	tus	date		Oth	er <i>Internal</i> Assur	ance	Other I	ndependent A	ssurance	Needs	Audit Work	۱rea
Busines	ss Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 236 Risk Title Health & Safety Risk Level Corporate	If we fail to have robust Health & Safety policies and arrangements in place, then there could be a health and safety breach identified as a corporate failing with associated legal, financial and reputational consequence.	High	Low	Amber	Ness Young / Craig Gimblett	>Maintain the Corporate Health & Safety Policies, which clearly identifies the Health & safety responsibilities of every level of employee, and review (including subordinate policies) every 3 years or if significant change occurs, such as a change in statute, leader, CX or statute changes. > Provide the Corporate Health & Safety Policy to all staff during induction and provide mandatory Health & Safety training framework for all employees. > Continue Bi-annual Health & Safety Committee meetings chaired by each Director and made up of employee and management representatives and trade unions, supported by competent H&S Officers who provide statistical reports, advice and any updates from the Health & Safety Executive. > Continue to undertake an annual program of Health &	>H&S Manager provides regular updates, reports, presentations, and statistics. to CMT. >H&S Manager meets monthly with portfolio holder to provide briefing and political oversight and awareness. >Accident Statistics and investigations finding provided to all H&S Committees' and sub groups.	>H&S Manager has provided updates to numerous scrutiny panels, none currently in diary. >Service has been fully audited internally in 2019.	>Member of British Association of Counsellors and Psychotherapi sts (Bacp). >Directors H&S Committees & Sub Safety Groups >Increased accessibility to H&S training via teams and online. >Policy development and review plan in-place under full consultation. >Officer representation at trade union meetings. >Additional resources placed in Occupational Health (31/03/230 & Stress Management and Counselling, with extension of Psychological Support project until 31/03/23	>H&S Audit Plan	> H&S Manager represents Swansea on a Pan Wales/regi onal basis as part of the Managers forum to share best practise and coproduce where appropriat e.		>Standard audits in the plan already cover this area.	>Health, Saftey & Wellbeing audit completed in 22/23 on the rolling programm e	Service Specific Audits – Communications / ICT / Council wide assurance

				Level and Source of Assurance Level 1 Level 2 Level 3								Internal	Planned	
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Business Risk		poo	tatu	pd		Othe	er <u>Internal</u> Assura	ance	Other <u>Ir</u>	<u>idependent</u> A	ssurance		Work	Ā
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					Management audits and inspections across all service areas to maintain and improve arrangements and compliance with policy and ensure that agreed improvement plans are put in-place and monitored by the Principal H&S Officer through monthly 1-2-1's for			CORITY OH management software management package due for implementatio n March 2023. > SEQOHS accreditation submission and assessment due March 2023.						
					completion. >Continue to ensure that there is appropriate H&S training and administer Corporate H&S training records and qualification refresher recalls and issue compliance reports to services on a bi-annual basis monitored by the Senior H&S			> Application for evaluation for Welsh Government Gold Corporate Health Standard October 2023.						
					Training Officer. >Continue to investigate more significant accidents falling under the remit of the RIDDOR regulations and provide a management report to prevent re-occurrence, ensure legal compliance and an improvement of									

					Level and Source of Assurance								Internal	Planned	
					_	Level 1		Level 2			Level 3		Audit	Internal	
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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit
						standards; in addition,								 [
						provide these reports									
						with statistical									
						information to									
						Directors bi-annually and within									
						an annual corporate									
						accident report and									
						trend analysis.									
						>Manage a preventative RAG									
						rated alert system									
						allowing									
						communication of best									
						practise, legal/policy									
						changes and areas for									
						action across the Authority and									
						document control and									
						store for evidence									
						purposes									
						and liaison with the									
						Health & safety Executive, fire and									
						rescue services and									
						legal representatives									
						>Provision of H&S									
						advice/guidance/traini									
						ng to staff. >H&S toolkits									
						>Noise, dust, light,									
						humidity, vibration									
						sampling									
						>Riddor procedures									
						for reportable									
						incidents to HSE. >RAG alert system									
						across H&S,									
						emergency mgt, well-									
						being									
						>Corporate Health,									
						Safety and Wellbeing									
						action plan in-place with monitoring and									
			1			with monitoring and	1	1		l			1	1	

				_	Level 1		Level and Source Level 2	ce of Assurance		Level 3		Internal Audit	Planned Internal	
Business Risk	+	poor	Status	Updater		Oth	er <u>Internal</u> Assura	ance	Other <u>Ir</u>	ndependent A	Assurance	Needs	Audit Work	n Area
	Current Impact	Current Likelihood	Overall RAG	Risk Owner / I	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan
					reporting arrangements 2022-24 >H&S mandatory training / e-learning >RAG fire risk profiling for all premises									

								Level and Sour	ce of Assurance				Internal	Planned	
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		Current Impact	Current Likelihood	Overall RAG Status	Risk (
Risk ID	If the local					>Organise and	> Cabinet	> Regular	> Regional		>Collabor		>Number	> Regen	
269	economy and					facilitate virtual Meet-	considered	scrutiny	directors and		ate With		of Regen	and	
D: 1 T::	infrastructure					the-Buyer events to	economic .	undertaken on	regional		Welsh		and	Planning	
Risk Title Local Economy	is not transformed					help local businesses at key milestones to	recovery plan >Cabinet	post Covid economic	transport forum		Governme nt On		Planning audits	audits included	
and	and					identify	considered	recovery and	improved		Regional		included	on the	ø
Infrastructure	supported to					opportunities to bid for	FPR7 where	specifically on	regional and		Economic		on the	23/24	t dr
	be resilient					Council work and	appropriate	phase 1	joint working		Framewor		audit plan	audit plan	truc
Risk Level	and to take					contracts that will help	>Quarterly PI	arena/digital	as a precursor		k		to be	> Added	ras
Corporate	advantage of national and					retain spend locally, creating a multiplier	reporting via DART.	district project >Regeneration	to the formation of		>Gateway Review		completed on a	review of City Deal	<u>l</u>
	global trends					effect. Frequency and	DAINT.	Dashboard	the CJC		for City		rolling	and	- &
	and events					timing to be		regularly	> Deliver		Deal		basis.	Swansea	atio
	and attract					coordinated with		reported to	Covid		projects			Central	rma
	investment,					contractor according		Scrutiny	Economic		undertake			Phase 1	sfo
	then it will not fulfil its					to build programme. >Work with partners to			Recovery Plan		n by independe			for 2023/24	ran
	potential as a					deliver the Swansea			in collaboration		nt panel			2023/24	L
	regional					Bay City Deal to			with		>Independ				ioi
	centre to raise					attract investment			Regeneration		ent				erat
	aspirations,					across the region to			Swansea		evaluation				ene
	improve services, lift					deliver highly skilled and well-			partners.		undertake n of				Seg
	skills, improve					paid jobs, with			>City Deal Regional		Kingsway				ty F
	connectivity,					outcomes and			Scrutiny Panel		project.				Ö
	create well-					programme achieved			overview of		•				g
	paid					in line with the City			progress on						nin
	employment opportunities					Deal Funding Agreement.			Swansea						lan
	and improve					> Refresh Regional			Waterfront						
	the well-being					Economic			City project >Reporting of						<u>इ</u>
	of Swansea					Regeneration Strategy			programme						Specific Audits – Planning & City Regeneration /Transformation & Infrastructure
	citizen.				Holmes	> Develop A Covid			outputs to						ic /
					등	Economic Recovery Plan			funding						ecif
						> Attract Sufficient			bodies, WG, WEFO HLF						Sp
					Ē	Investment And			etc.						<u>s</u>
					Mark Wade / Phillip	Development And									Service
					le /	Regenerate The City									Ñ
		_	_		Vad	Centre. > Work With Partners									
		Medium	Medium	Amber	¥	To Deliver The									
		Лес	Jec	Ē	Лaг	Swansea Bay City									
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				Level and Source of Assurance								Internal	Planned	
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Business Risk	—	000	itatı	pdr		Oth	er <u>Internal</u> Assura	ince	Other <u>ir</u>	ndependent A	ssurance		VVOIK	٦Ar
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					Investment Assess									
					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 Welsh Government Businesse Grants And Funds, To Assist Them During Covid-19. > Assist Tourism Businesses To Reopen Safely Following Closure As A Result Of Covid-19. > Work With The Welsh Government On A Foundational Economy Approach To Help Establish A Firm Base Of Medium Sized Firms In Swansea, Strengthen									

					Level and Source of Assurance Level 1 Level 2 Level 3						Internal	Planned		
				ē	Level 1		Level 2			Level 3		Audit Needs	Internal Audit	g
Business Risk	#	poor	Status	Updat		Oth	er <u>Internal</u> Assura	ance	Other <u>Ir</u>	ndependent A	ssurance		Work	n Area
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan
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					Local Supply Chains And Add Social Value									
					In Procurement.									
					> 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									

								Level and Sour	ce of Assurance				Internal	Planned	
					<u></u>	Level 1		Level 2			Level 3		Audit Needs	Internal Audit	
Bus	iness Risk		po	atus	odate		Oth	er <u>Internal</u> Assura	ance	Other <u>I</u>	ndependent A	Assurance	Needs	Work	Area
Dus	illess Kisk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 290 Risk Title Impact of Poverty Risk Level Corporate	If there is increased demand on Council services due to an increased number of residents experiencing the impact of poverty due to the pandemic and cost of living pressures. Then the impact includes increased debt, reduction in household income and negative impact on health and well-being.	Medium	Medium	Amber	Amy Hawkins / Diane Rowden	>Directly support people through Local Area Co-ordination to access the support they require in a place and time that meets their needs, to address the impacts of poverty and its effects on their health and well-being > Support people to gain employment through referrals into mentoring and development of employability skills as part of an agreed personal development plan, to improve the number of people increasing their household income through employment. > Provide weekly access to Welfare Rights Advice helpline for frontline social care staff to improve their knowledge on benefit entitlements and directly apply this to the people they support in order to increase take-up of benefits. > Provide targeted advice on financial inclusion to people who are struggling with accessing the support to manage their debts, to address	>Cabinet Member briefings, Cabinet reports where applicable	>Part of annual scrutiny programme looking at the corporate priority of Tackling Poverty >Part of Adult Services Performance Scrutiny quarterly performance reports	>Reports to CMT on progress and actions required, >Reports to Audit Committee following WAO report on Tackling Poverty and associated action plan. >Included in the corporate Transformatio n Plan projects focused on Tackling Poverty and Enabling Communities, reports via Transformatio n Board >Internal cross directorate Poverty Forum		>Part of Poverty Partnershi p Forum, multi- agency forum.	>WAO reviews (x3) on the challenges of alleviating and tackling poverty.	>Standard rolling audit schedule, repeated based on audit risk score.	>Audits included in the 'Poverty' area of the audit plan as a result of consultatio n to be compelete d in rotation.	Service Specific Audits – Commissioning & Tackling Poverty Safeguarding & Poverty

			Level and Source of Assurance Level 1 Level 2 Level 3 Other <u>Internal Assurance</u> Other <u>Independent Assurance</u>									Internal	Planned	
				_	Level 1					Level 3		Audit	Internal	
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	Current Impact	Current Likelihood	Overall RAG	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
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					their needs in a timely, effective manner. >Co-ordinate targeted and time-bound grant schemes for helping people with Cost of Living challenges (e.g. fuel poverty) to reduce the impact of poverty on people and businesses. >The provision of Employability support, Debt and Benefit advice and guidance commissioned and inhouse, increase take up of benefit entitlements, skills support and administration of Covid Self isolation payments. Work across the Authority through the Poverty Forum and with external partners through the Poverty Partnership Forum to identify risk management strategies to mitigate the impact. > Increased demand on council services due to an increased number of residents experiencing the impact of poverty due to the cost of living crisis and the ongoing impact of the pandemic. The impact includes increased									

							Internal	Planned						
				_	Level 1		Level 2			Level 3		Audit Needs	Internal Audit	
Business Risk	#	poor	Status	Jpdate		Oth	er <u>Internal</u> Assura	ance	Other <u>Ir</u>	ndependent A	ssurance	Neeus	Work	n Area
	Current Impact Current Likelihood		Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					debt, reduction in household income and negative impact on health and well-being. The cost of living payments have been automatically been paid to those who we									
					have details for other's the online application is open. Additional funding has been allocated for energy crisis payments which residents are									
					accessing. Increased funding has been allocated to community and voluntary organisations for addressing food poverty and addressing period poverty.									

								Level and Sour	ce of Assurance				Internal	Planned	
					_	Level 1		Level 2			Level 3		Audit	Internal	
Business Ri	Risk	.	poor	status	Jpdate		Oth	er <u>Internal</u> Assur	ance	Other <u>II</u>	ndependent A	Assurance	Needs	Audit Work	n Area
		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk Title Oracle Fusion Project Implementation Risk Level Corporate Corporate	the impact of the ongoing coVID esponse and obsequent olume of coVID esponse and obsequent olume of coVID esponse and obsequent olume to ressure ontinue to ressure ontinue to ressure of council's esponse and obsequent esponse and obsequent esponse of council's esponse of council's esponse of council esponse of council esponse of council esponse of council.	High	Гом	Amber	Sarah Lackenby / Jo Harley	> Appointment of Interim Director of Corporate Services as sponsor and chair of Steering Board > Weekly monitoring by project team and SRO > Weekly progress reports to and update meetings with sponsor, SRO & project manager > Executive Steering Board meet fortnightly and escalated to CMT/Cabinet where appropriate > Heads of Service added to the Executive Steering Board > Heads of Service monitoring capacity and remedial actions plans put in place where appropriate > Daily monitoring by the implementation Team of the programme risk register with red risks and issues escalated to the Design Authority and Executive Steering Board fortnightly > CMT updated	> The Leader and Deputy Leader updated weekly > Reports to Cabinet where significant change required, e.g. October 2022	>Pre-decision Scrutiny, e.g. Oracle Project Investment Update report presented to Scrutiny 18/10/22.	Oracle project audit is scheduled on the Audit Plan for 2023-24			Audit Wales audit of controls as part of statement of accounts. Significant review once the new system is live		Oracle project audit in 2023-24	Cross Cutting Audits – Section 151 Assurance / Council Governance & Control

								Level and Sour	ce of Assurance				Internal	Planned	
						Level 1		Level 2			Level 3		Audit	Internal	
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		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID	If the council		1		<u> </u>	>Corporate	>Transformati	> Scrutiny	> Governance	>Independ		>Independe		>Audit of	
Risk ID 333 Risk Title Corporate Transformatic Plan Risk Level Corporate	does have a robust and deliverable Corporate	High	Low	Amber	Ness Young / Ness Young	>Corporate Transformation Plan to be developed, articulating specific projects and programmes and governance, to be presented to Cabinet for approval > Workforce and Organisational Development Programme(s), supported by business cases, to be developed to implement the Council's Workforce Strategy as a key programme(s) in the Corporate Transformation Plan > Digital Transformation Programme, supported by a business case, to be developed to implement the Council's Digital Strategy as a key programme in the Council's Digital Strategy as a key programme in the Corporate Transformation Plan > Directors to identify key strategic change projects / programmes that should form part of the Corporate Transformation Plan . All programmes within the plan will have formal governance arrangements in place	>Transformati on Delivery Board established, Chaired by the Deputy Leader for Transformatio n. All Directors are members. Audit Wales observers on Board. Formal terms of reference in place. >Transformati on Delivery Board meets quarterly and reports at least three times a year to Cabinet/CMT. Annual report of progress against plan to Cabinet.	> Scrutiny Committee to consider lessons learned from Sustainable Swansea and Achieving Better Together Programmes to inform development of Corporate Transformatio n Plan	> Governance and Audit Committee to consider lessons learned from Sustainable Swansea and Achieving Better Together Programmes to inform development of Corporate Transformatio n Plan > Organisation al Transformatio n Corporate Development Committee to contribute to develop of new Corporate Transformatio n Plan informed by a lessons learned report on the Sustainable Swansea and Achieving Better Together Programmes > Establish a Transformatio n Delivery Board to provide strategic	>Independ ent Assurance Is Provided From Internal Audit >		>Independe nt Assurance is provided by Audit Wales, who attend Transformati on Delivery Board as observers and will include transformati on performance and risk in annual risk assessment work		>Audit of ABT Transform ation included for 2023/24	Cross Cutting Audits – Section 151 Assurance / Council Governance & Control

								Level and Sour	ce of Assurance				Internal	Planned	
					_	Level 1		Level 2			Level 3		Audit	Internal	
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		Current Impact	Current Likelihood	Overall RAG	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 334 Risk Title Cost of Living Crisis Risk Level Corporate	If the cost of living crisis continues or gets worse, then it will lead to greater pressure on housing supply, increased housing costs, higher levels of homelessnes s and increased demand on housing, tenancy support, homelessnes s and other Council services.	High	High	Red	Sarah Jordan / Peter Williams	to oversee their delivery, reporting to the Transformation Delivery Board quarterly > Provide individuals with help and advice regarding homelessness issues, housing benefit and rent arrears. > Lobby Welsh Government to supply more financial resources to Local Authorities to tackle the cost of living crisis. > Increase supply of social housing via the More Homes Programme, Planning policy and indirectly through the allocation of social Housing Grant to Registered Social Landlords.	>Homelessne ss and Housing Support Strategies approved by Cabinet	>Scrutiny Programme Committee examination of the the development and implementatio n of Homelessness and Housing Support Strategies > Service Improvement & Finance Improvement Panel has regularly examined progress towards improving and increasing housing stock	direction and leadership to ensure that between 2022 and 2027 Swansea Council develops and delivers a robust and deliverable Corporate Transformation Plan	>Housing Options service and assessme nt features on internal Audit Programm e	>Homeles sness services subject to scrutiny and mystery shopping by 3 rd Sector orgs e.g. Shelter			>Audits to be added as required following consultatio n if necessary	TBC

								Level and Sour	ce of Assurance				Internal	Planned	
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Busines	s Risk	ಕ	hoo	Sta	ď										an A
		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/	Scrutiny	Other	Internal	Other	External			Audit Plan Area
		ent	ent	la I	ŏ		Cabinet			Audit	Bodies	Audit			Anc
		Curr	Curr	Ove	Risk										
Risk ID	If the Council					> Establish a	>Cabinet	>Regular	>Quarterly	>Internal			>Standard	>Audits	
335	is not able to recruit and					recruitment data set by April 2023 to	Member briefings,	reporting to Scrutiny	reporting provided to	audit of recruitmen			rolling audit	included on rolling	
Risk Title	retain the					include agreed	Cabinet	Working	Directorates	t			schedule,	programm	- HR & OD, Service Centre / Transformation & Future Council Development
Workforce	right staff,					measures on; for	reports where	Group -	for PFM to	procedure			repeated	e in HR &	md
recruitment and	then there					example, turnover	applicable	Regular	highlight areas	s			based on	OD /	lelo
retention	may be reduced					rates, length of time to recruit, identification of		reporting to Organisational	of concern and consider				audit risk score.	Service Centre.	De
Risk Level	workforce					difficult to fill roles by		Development	targeted				30010.	Includes	i
Corporate	capacity and					April 2023 in order to		CDC	approaches					Recruitme	onu
	capability, leading to					identify areas to improve efficiency in			accordingly. Quarterly					nt and Staff	C
	lower staff					recruitment processes			reporting to					Contracts	ıtur
	morale and					where time to recruit is			Workforce					for	교
	productivity,					challenging, and to			Transformatio					2023/24	8 L
	poor work quality,					better understand areas where turnover			n Programme Board						atic
	increased					is predicted to impact			Bould						Dr.m
	staff costs					service delivery.									nsfe
	and reduced staff well-					> Establish exit									Tra
	being / higher					interview process by June 2023 for `difficult									
	sickness					to fill' roles to better									ntre
	rates.					understand the									Ce
						reasons for leaving the Council and review									<u>ic</u>
						whether action can be									e⊵
						taken to prevent), S
						numbers from leaving.									0
						> Identify difficult to fill roles from each									∞ ~
					v	Directorate by April									🖺
					ĭĕ	2023 to target									
					ael Davies	resource to prioritise									Audits
					ael	these hard to fill roles above other regular									c Ā
					Rach	recruitment.									Service Specific
						> Review market									Spe
					Young	supplement policy and									ce
		_			,ou	those posts receiving supplements by April									ΘZ
		ļ in		ber	Si Y	2023 to assess impact									Š
		Medium	Low	Amber	Ness	on attraction strategy									
		_	_			and retention rates in									

				Level and Source of Assurance Level 1 Level 2 Level 3 Other <u>Internal Assurance</u> Other <u>Independent Assurance</u>									Planned	
				ڀ	Level 1					Level 3		Internal Audit	Internal	
		ō	tus	date		Oth	er <i>Internal</i> Assura	ince	Other Ir	ndependent A	ssurance	Needs	Audit Work	rea
Business Risk	Current Impact	Current Likelihood	all RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit	_		Audit Plan Area
	Curre	Curre	Overall	Risk	critical posts, and									
					make decisions on whether to cease or									
					continue with such supplements.									
					Quarterly reporting provided to									
					Directorates for PFM to highlight areas of									
					concern and consider targeted approaches									
					accordingly. > Review the existing									
					recruitment policy and assess weaknesses in application processes									
					and selection processes for									
					improvement by April 2023, to ensure the									
					most appropriate application and									
					selection techniques are being used to hire									
					talent into the organisation.									
					> Wellbeing initiatives. Implement activities									
					contained in the Workforce Strategy;									
					particularly those covered in Strand 8									
					Supporting Our Workforce.									
					> Within the first 12 months of the									
					Workforce Strategy (i.e. by October 2023),									
					have implemented the following activities									
					contained in the Workforce Strategy:									
					Review and update the Recruitment and									

				Level and Source of Assurance Level 1 Level 2 Level 3									Planned	
					Level 1			,		Level 3		Internal Audit	Internal	
Business Risk		poot	Status	Jpdate		Oth	er <u>Internal</u> Assura	nnce	Other <u>II</u>	ndependent A	ssurance	Needs	Audit Work	n Area
	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
					Selection Policy so that it meets with employment legislation, best practice and Council need; further development of our Recruitment Attraction Approach; a review of Application Process so that it is compliant with legislation and is seen to be supportive to applicants; upskilling of recruiting managers so that they are appropriately trained in unconscious bias training; and that all employees who are involved in recruitment panels follow correct processes in conducting recruitment interviews. particularly those covered in Strand 4 Workforce Planning, Strand 5 Workforce Development, Strand 6 Recruitment and Retention, Strand 7 Recognising Performance.									

									Level and Sour	ce of Assurance				Internal	Planned	
						_	Level 1		Level 2			Level 3		Audit Needs	Internal Audit	
F	Susiness Risk		3	000	tatus	pdate		Oth	er <u>Internal</u> Assura	ance	Other <u>//</u>	ndependent A	ssurance	Needs	Work	Area
	oomoo rasa	Current Impact		Current Likelinood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 336 Risk Title Mandatory Training Risk Leve Corporate	completion of mandatory			Low	Amber	Ness Young / Rachael Davies	> 12 month Corporate objective rolled out to organisation on completion of mandatory training to be included in new Performance and Goals Fusion module, commencing April 2023. > Regular Quarterly and annual reports to CMT on compliance levels by Directorate. > Managers to record in Oracle Fusion when training is undertaken and ensure any refresher training is undertaken and report on compliance from April 2023. > Annual review of the mandatory training list to ensure list is up to date and appropriate. > Corporate Safeguarding policy in place for all staff and councillors to follow and reviewed annually. > By April 2023, Statutory officers identified and suitably qualified to ensure safeguarding arrangements are in place and policies and procedures are implemented. > Establishment of Corporate objective to	>Cabinet Member briefings, Cabinet reports where applicable	>Scrutiny Panels in place to scrutinise Social Services Work and Performance, of which safeguarding training is included; Scrutiny Working Group – Workforce in place	>Mandatory Corporate Training available for all Staff and Members. Reports to CMT on progress and actions required	>Internal Audit of mandatory training complianc e Governan ce and Audit Committee reporting	>HSE where applicable CIW/EWC where applicable		>Standard rolling audit schedule, repeated based on audit risk score.	>Safeguar ding cross cutting audit is included in the 22/23 audit plan in relation to Safeguarding specifically >Corporat e Learning & Developm ent team audit due for 2024/25 following Fusion implement ation linked to training records	Service Specific Audits - HR & OD, Service Centre / Transformation & Future Council Development

							Internal	Planned						
				ē	Level 1		Level 2			Level 3		Audit Needs	Internal Audit	a
Business Risk	#	poor	Status	Jpdat		Oth	er <u>Internal</u> Assura	ince	Other <u>Ir</u>	ndependent A	ssurance		Work	n Are
	Current Impact	Current Likelihood	Overall RAG	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
				ı					1			1	1	
					measure against completion of									
					mandatory training,									
					reportable quarterly via Oracle post April									
					2023.									
					> Establishment of Corporate objective for									
					Completion of 121s									
					and appraisals,									
					reportable quarterly via Oracle post April									
					2023. To be									
					developed under									
					Goals and Performance Model									

								Level and Sour	ce of Assurance				Internal	Planned	
					_	Level 1		Level 2			Level 3		Audit	Internal	
				Sn	ate		Oth	er <i>Internal</i> Assur	3000	Other I	ndependent A	ecuranco	Needs	Audit Work	ea
Bus	iness Risk	یپ ا	000	Stati	pd		Otti	ei <u>iiiteiriai</u> Assui	ance	Other <u>II</u>	<u>luepenuem</u> A	ssurance		VVOIK	l A
		Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
Risk ID 337 Risk Title Social Cohes	involvement					>Implement the findings from the Independent Learning Review into the events at Mayhill. >Prevention of hate, exploitation and	>Cabinet Member briefings, Cabinet reports where applicable	>Scrutiny Panel in place to scrutinise Councils response to ASB, which a	>Reports to CMT on progress and actions required		>Part of Safer Swansea Communit y Safety Partnershi		>Standard rolling audit schedule, repeated based on	>Partners hip cross cutting audit carried out in 21/22	
Risk Level Corporate	and break down barriers amongst people in terms of economic disparities, encourage tolerance to avoid social discord and strengthen community development throughout all ages, then we could see increasing community tensions, disorder and civic unrest exacerbated by the cost of living crisis and perceived differences and people not feeling heard or listened to.	Medium	Medium	Amber	David Howes / Jane Whitmore	exploitation and extremism through Community Cohesion Regional Programme. >Complimentary and inclusive policy and decision-making to ensure social cohesion issues are considered in the development of plans and strategies. >Tension Monitoring to understand ongoing and emerging community tensions and put in place mitigations, through Community Safety Partnership. >Whole Council training and capacity building to implement the Public Sector Equality Duty and the Human Rights Approach, through Strategic Equalities and Future Generations Board. >Community engagement and involvement with all ages and all communities to develop shared values and empowered communities, through	аррисавіе	lack of social cohesion can lead to an increase >Part of annual scrutiny programme to review progress of Swansea's Community Safety Partnership			p, which is multi-agency and reports into Public Service Board		audit risk score.	audit schedule >Further audits to be added following consulatio n as required >Commun ity Safety standard audit on the rolling programm e	Cross Cutting Audits –Safeguarding / Council Governance & Control

Business Risk				Į.	Level and Source of Assurance						Internal	Planned		
					Level 1		Level 2		Level 3			Audit Needs	Internal Audit	
	 #	poor	Overall RAG Status	Update	Management Assurance	Other <u>Internal</u> Assurance			Other <u>Independent</u> Assurance			INCCUS	Work	n Area
	Current Impact	Current Likelihood		Risk Owner / Updater		Council/ Cabinet	Scrutiny	Other	Internal Audit	Other Bodies	External Audit			Audit Plan Area
		1		<u> </u>	Local Area Co-	T	1		<u> </u>	<u> </u>	1	1	1	_
					ordination.									
					> Effective partnership working arrangements									
					to develop supportive									
					networks together through PSB and									
					other key partnership									
					arrangements. > Engagement and									
					involvement with									
					minority communities									
					to understand what matters and promote									
					community cohesion									
					and mitigate tensions,									
					through the Partnership &									
					Involvement Team.									

				je.	Level and Source of Assurance						Internal	Planned			
						Level 1 Level 2			Level 3			Audit Needs	Internal Audit		
Busine	ess Risk	Current Impact	Current Likelihood	Overall RAG Status	Risk Owner / Updater	Management Assurance	Council/ Cabinet	er <u>Internal</u> Assur Scrutiny	Other	Other <u>I</u> Internal Audit	Other Bodies	External Audit	Needs	Audit Work	Audit Plan Area
Risk ID 338 Risk Title Net Zero 2030 target Risk Level Corporate	If we do not transform the Council to meet the collective net zero commitments asked of public bodies by Welsh Government at sufficient pace and scale, then there is a possibility that the net zero target will not be met by 2030.	Medium	Medium	Amber	Mark Wade / Rachel Lewis	> Source external funding to deliver sizable reductions in emissions. Monitor funding received through annual reporting of delivery plan and respective emission reductions to be reported in annual welsh government submission > Implement the Councils 2030 Net Zero delivery plan, with specific focus on carbon reductions in the Buildings and Energy and Fleet & Mobile Equipment categories. Measure success annually through WG emissions reporting figures. > Develop a suite of actions to offset the emissions balance as unlikely to deliver zero emissions to be monitored and reported annually as part of overall WG reporting.	>Two Cabinet members on CC&NR steering group, running bi monthly with key officers as part of the CC&NR governance. >CC&NR CDC established – running monthly to support the development of action plan and respective policy in regard of the 2030 target.	>CC&NR scrutiny establish to challenge SC activity on the 2030 activity.	>Programme Board and Emissions reporting groups established, the latter to collate the required data for annual reporting of data to Welsh Government.		>CCS reports emissions data for review annually to Welsh Governme nt.	>WAO recently conducted interviews with staff and set out five proposals for improvemen ts on this agenda across Wales. CCS has responded to all, being the first welsh authority to meet one specific ask and produce a costed delivery plan. (Dec 15th 2022 Cabinet Report)		>Net Zero 2030 audit added for 2023/24 plan following Risk Register review and consultaito n	Cross Cutting Audits/Miscellaneous – Council Governance & Controll

Last Updated: 10/02/23