

2017 Corporate Risk Register

Risk (Threat to achievement of business objective)	Risk Control Measures	Assigned To	Assessment of Current Risk (Assume CURRENT controls in place)		
			Impact	Probability	Risk Rating
CR20170001 - Compliance with the Wellbeing of Future Generations (Wales) Act 2015	• Public Service Board established	Wendy Walters	Substantial 4	Possible 3	High 12
	• Well-being Assessment nearing completion	Wendy Walters			
	• Council Service Planning adapted to address the requirements of the Act	Wendy Walters			
	• Draft Well-being objectives being prepared for publication by the 31st March 2017 deadline	Wendy Walters			
	• Regular meetings with Wales Audit Office	Wendy Walters			
	• Members Seminars and Information Sheets	Wendy Walters			
	• Integrated into Budget Planning process and Revenue Report	Wendy Walters			
	• Adapting at Corporate processes Committee cover sheets, Equality Impact Assessments, Financial Planning, Risk	Wendy Walters			

CR20170002 - Managing and Developing the Welsh Language and meeting the Welsh Language Standards	<ul style="list-style-type: none"> • Monitor the Compliance Strategy received from the Welsh Language Commissioner 	Wendy Walters	<div style="background-color: #FFD700; padding: 2px;">Substantial</div> 4	<div style="background-color: #90EE90; padding: 2px;">Unlikely</div> 2	<div style="background-color: #FFDAB9; padding: 2px;">Medium</div> 8
	<ul style="list-style-type: none"> • Recruitment procedures and guidance updated and monitored 	Paul R Thomas			
	<ul style="list-style-type: none"> • Learning and development for staff 	Paul R Thomas			
	<ul style="list-style-type: none"> • Prepare an Annual Report on implementation of the Standards, for discussion with the Corporate Management Team and the Members Advisory Panel 	Wendy Walters			
	<ul style="list-style-type: none"> • Work closely with Departments to advise on the Standards and offer practical support with any challenges that may arise 	Wendy Walters			
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CR20170003 - Responding to New Legislation / Policy from Welsh Government	<ul style="list-style-type: none"> • Development and updating of current CCC policies 	Gwyneth Ayers	<div style="background-color: #FFD700; padding: 2px;">Substantial</div> 4	<div style="background-color: #90EE90; padding: 2px;">Unlikely</div> 2	<div style="background-color: #FFDAB9; padding: 2px;">Medium</div> 8
	<ul style="list-style-type: none"> • Learning and development of staff 	Wendy Walters			
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CR20170004 - Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding

			Catastrophic	Possible	High
<ul style="list-style-type: none"> • Medium Term Financial Strategy - 5 Year Plan (including efficiency targets) 	Chris Moore / Owen Bowen		5	3	15
<ul style="list-style-type: none"> • Full County Council Elected Member Engagement on an annual basis to set priorities and allocate the Budget 	Chris Moore / Owen Bowen				
<ul style="list-style-type: none"> • Challenge from Scrutiny Committees 	Linda Rees Jones				
<ul style="list-style-type: none"> • Public Consultation regarding budget priorities on an Annual Basis 	Chris Moore / Owen Bowen				
<ul style="list-style-type: none"> • Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council receives fair funding from Welsh Government 	Chris Moore / Owen Bowen				
<ul style="list-style-type: none"> • TIC Programme to identify efficiencies and promote alternative methods of service delivery 	Robin Staines				
<ul style="list-style-type: none"> • Workforce Planning to ensure staff resources are planned to match demand 	Paul R Thomas				
<ul style="list-style-type: none"> • Wales Audit Office external challenge and assessment 	Chris Moore / Owen Bowen				

CR20170005 - Ensuring effective management of Grant Funding (including accessing Grant Funding) Threat of having to repay significant Grant monies. Although improvements have been made, some problems still exist which could result in claw backs of funding.	• Project Management Training	Chris Moore	Substantial 4	Possible 3	High 12
	• Grant Funding Bodies Guidance Briefings and Training	Chris Moore			
	• Grants Panel	Chris Moore			
	• Grants Manual	Chris Moore			
CR20170006 - Ensuring effective People Management (including capacity and compliance with Employment Law and Health & Safety Legislation)	• Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring, appraisals and supervision, probationary policy	Paul R Thomas	Substantial 4	Possible 3	High 12
	• Development of Employment Policies and briefings and training, audit and monitoring	Paul R Thomas			
CR20170007 - Ensuring effective management of Procurement / Contract Management and Partnership arrangements	• Welsh Government Procurement Fitness Checks - Implementation of Areas for Improvement	Helen Pugh	Substantial 4	Unlikely 2	Medium 8
	• Participation in the National Procurement Service	Helen Pugh			
	• Development of New Procurement Strategy (involving Policy & Resources Members Focus Group)	Helen Pugh			

CR20170008 - Transforming business operations through effective Digital Transformation	• Implementation of Digital Transformation Strategy	Noelwyn Daniel	Substantial 4	Possible 3	High 12
	• Members and staffing workshops	Noelwyn Daniel			

CR20170009 - Maintaining high standards of governance in relation to Information Management	• Dedicated Senior Information Risk Owner on Corporate Management Team	Wendy Walters	Substantial 4	Possible 3	High 12
	• IT Security Officer	Noelwyn Daniel			
	• Annual Information Management & Governance Report to Corporate Governance Group and Audit Committee	Wendy Walters			

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CR20170010 - Deliver Effective Safeguarding Arrangements for both Children and Vulnerable Adults

(Detail in separate Safeguarding Risk Register)

			Catastrophic 5	Unlikely 2	High 10
<ul style="list-style-type: none"> • Continue to improve the quality of Care Plans ensuring a multi-agency assessment 	Stefan Smith				
<ul style="list-style-type: none"> • Ensure Sexual Exploitation Risk Assessments (SERAF's) and Missing Persons Risk Assessments are completed as required 	Stefan Smith				
<ul style="list-style-type: none"> • Review our assessments in light of the implementation of the Social Services and Well-being Act 2014 	Stefan Smith				
<ul style="list-style-type: none"> • Implement the "Signs of Safety" model within Carmarthenshire and incorporate into practice 	Stefan Smith				
<ul style="list-style-type: none"> • Continue to work with partners to improve appropriate accommodation options and housing support for all vulnerable young people (aged 16-25). 	Stefan Smith				
<ul style="list-style-type: none"> • Implement new arrangements for our leaving care services in accordance with the Social Services and Well-being Act 2014 	Stefan Smith				
<ul style="list-style-type: none"> • Ensure that all councillors are equipped to act as corporate parents to looked after children 	Stefan Smith				
<ul style="list-style-type: none"> • Ensure the Independent Reviewing Service (IRO) becomes more outcome focused 	Stefan Smith				
<ul style="list-style-type: none"> • Carmarthenshire's Multi Agency Adult Safeguarding Board 	Jake Morgan				
<ul style="list-style-type: none"> • Duty Safeguarding Service operating within normal working hours 	Jake Morgan				
<ul style="list-style-type: none"> • Trained Standby Officers for out of hours emergencies during evenings and weekends 	Jake Morgan				
<ul style="list-style-type: none"> • Clear point of access has been provided to the public and professionals for accepting Adult Protection referrals 	Jake Morgan				

Carmarthenshire CC

CR20170011 - Develop and Deliver the Improvement Plan / Corporate Performance Plans	• Undertake detailed analysis of all lower quartile Performance Indicators to develop action plans.	Wendy Walters	Substantial 4	Unlikely 2	Medium 8
	• Address underperformance via Business Planning process	Wendy Walters			
	• Monitoring progress via Performance and Improvement Monitoring System (PIMS) and dashboards	Wendy Walters			
CR20170012 - Failure to adhere to an effective Corporate Governance Framework	• Corporate Governance Group	Helen Pugh	Substantial 4	Unlikely 2	Medium 8
	• Wales Audit Office Corporate Assessment Action Plan monitored via Dashboard	Wendy Walters			
	• Implementation of the WLGA Review of Governance	Wendy Walters			
	• Annual Governance Statement	Helen Pugh			
CR20170013 - Delivery of the City Deal (Outcomes / Budget)	• Establishment of Swansea Bay City Region Board	Wendy Walters	Substantial 4	Possible 3	High 12
	• Development of Regional Joint Committees	Wendy Walters			
	• An agreement between the UK and Welsh Governments and 4 local authorities (Carmarthenshire, Swansea, Neath & Port Talbot and Pembrokeshire) and successful private and public collaboration will address the economic underperformance of the region, with emphasis on uplifting productivity, skills, employment and prosperity.	Wendy Walters			
	• Financial Planning	Chris Moore			

CR20170014 - Delivery of the Wellness Project (Outcomes / Budget)	• Membership of Project Board	Wendy Walters	Substantial 4	Possible 3	High 12
	• Memorandum of Understanding	Wendy Walters			
	• Development of Life Science and Well-being network of campuses and villages, consisting of primary / community care facility, an Institute of Life Science and an educational and skill development capability.	Wendy Walters			
	• Financial Planning	Chris Moore			
CR20170015 - Delivery of the Approved Capital Programme (Outcomes / Budget)	• Strategic Asset Steering Group	Jonathan Fearn	Substantial 4	Unlikely 2	Medium 8
	• Project Management Tool Kit	Wendy Walters			
	• Project Management Training	Paul R Thomas			
CR20170016 - Delivery of the Authority's Waste Management Strategy (including meeting Landfill Targets)	• Maintain current provision and infrastructure for recycling	Ainsley Williams	Substantial 4	Possible 3	High 12
	• Continue education and awareness activity to improve participation.	Ainsley Williams			

CR20170017 - Effective Management of demand for Social Care (Adult & Children)	<ul style="list-style-type: none"> Establish effective systems to ensure thresholds for access and eligibility criteria are understood and consistently applied by staff and partners 	Stefan Smith/Avril Bracey/Rhian Dawson	Significant 3	Possible 3	Medium 9
	<ul style="list-style-type: none"> Deliver implementation plan for Social Services and Wellbeing Act 	Stefan Smith/Avril Bracey/Rhian Dawson			
	<ul style="list-style-type: none"> Collaborate with partners to deliver information, advice, assistance and preventive services 	Stefan Smith/Avril Bracey/Rhian Dawson			
	<ul style="list-style-type: none"> Recommission Families First and Flying Start programmes to deliver early intervention with children and families 	Stefan Smith			
	<ul style="list-style-type: none"> Work with partners, local community action groups and local people to build resilient communities and community models of support 	Avril Bracey / Rhian Dawson			
	<ul style="list-style-type: none"> Promote and develop social enterprises and cooperatives to provide preventative services, care and support 	Avril Bracey / Rhian Dawson			
CR20170018 - Delivery of quality Education Service. Ensuring that Schools effectively manage their financial resources and respond to the challenges of reduced funding.	<ul style="list-style-type: none"> Implement the actions detailed in the Modernising Education Programme for 2016/17 	Gareth Morgans	Substantial 4	Possible 3	High 12
	<ul style="list-style-type: none"> Steering Group monitors work on an ongoing basis 	Gareth Morgans			

CR20170019 - Ensure quality and adequate supply of Housing within the County	• Implement Carmarthenshire Homes Standard project plan	Robin Staines	Substantial 4	Improbable 1	Low 4
	• Continue work of Affordable Housing Partnership Group	Robin Staines			
	• Continue work of review of access Social Housing	Robin Staines			
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CR20170020 - Maintain and develop effective Planning Policies (including delivering effective enforcement)	• Rural Development Plan (RDP)	Llinos Quelch	Substantial 4	Unlikely 2	Medium 8
	• Local Development Plan (LDP)	Llinos Quelch			
	• Local Enforcement	Llinos Quelch			
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