

2019/20 Corporate Risk Register

Corporate Management Team

Risk (Threat to achievement of business objective)	Assessment of Uncontrolled Risk (Assume NO controls in place)			Risk Control Measures	Assigned To	Assessment of Current Risk			Updated Risk - @ February 2020			Update / New Risk Control Measures	Change
	Impact	Probability	Risk Rating			Impact	Probability	Risk Rating	Impact	Probability	Risk Rating		
CRR190004 - Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding	Catastrophic	Likely	Significant	<ul style="list-style-type: none"> Medium Term Financial Strategy - 5 Year Plan (including efficiency targets) 	Chris Moore/Randal Hemingway	Catastrophic	Possible	High	Catastrophic	Possible	High	<p>The impact of austerity and reducing budgets across the public sector, requires the Council to be a learning organisation so that it is able to reflect, adapt and implement new and better ways of working. OD have developed a recommended framework set out in a report to be considered by CMT, that will better support the management of risk in this area, whilst continuing to meet workforce development needs. The framework A revised Learning Policy which reflects the Organisations Core Values, the ethos of a learning culture and the requirements of the new Investors in People Standard.</p> <p>Proposed mechanisms to reinforce the value of the investment made in learning, so that resources are deployed in a cost effective and equitable way to deliver and improve individual and organisational performance.</p> <p>HR Business Partners are an integral part of Departmental Management Teams and provide advice to managers on workforce planning usually as part of the business planning process.</p>	↔
	5	4	20			5	3	15	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/Randal Hemingway								
				<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/Randal Hemingway								
				<ul style="list-style-type: none"> Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council receives fair funding from Welsh Government Ongoing (0% complete) 	Chris Moore/Randal Hemingway								
				<ul style="list-style-type: none"> TIC Programme to identify efficiencies and promote alternative methods of service delivery 	Paul Thomas								
			<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/Randal Hemingway									
CRR190005 - Ensuring effective management of Grant Funding (including accessing Grant Funding) Threat of having to repay significant Grant monies.	Substantial	Likely	Significant	<ul style="list-style-type: none"> Project Management Training 	Chris Moore	Substantial	Unlikely	Medium	Substantial	Possible	Medium	<p>Internal Audit plan includes a sample of grants for review annually in addition to those requiring a certificate.</p> <p>Wales Audit's Grants Review work are now identify less issues than in previous years, giving some assurance that for those grants scrutinised externally there have been some improvement in procedures .</p> <p>Grants panel continue to meet on a quarterly basis and minutes reported to Audit Committee</p> <p>Carmarthenshire CC are attracting more and more funding through grants, which requires deatiled administration, with same level of work and evidence for all elvels of grant - risk reputationaly and financially. Majority of grants do not pay towards managemetn costs. Volume - inherent risk is higher</p> <p>Roll out procurement training planned</p>	↑
	4	4	16			4	2	8	4	3	12		
				<ul style="list-style-type: none"> Grant Funding Bodies Guidance Briefings and Training 	Chris Moore								
				<ul style="list-style-type: none"> Grants Panel 	Chris Moore								
				<ul style="list-style-type: none"> Grants Manual / CPRs / FPRs 	Chris Moore								

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CRR190006 - Ensuring effective People Management (including capacity and compliance with Employment Law and Health & Safety Legislation)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring, appraisals and supervision, probationary policy Development of Employment Policies and briefings and training, audit and monitoring 	Paul R Thomas	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	<p>OD has commenced a programme of work to modernise the Councils approach to learning and therefore support effective People Management. Examples of this include:</p> <p>a) A revised Leadership & Management Development Framework (<i>awaiting CMT endorsement</i>) has built on the outcomes of 'Evaluation of the Council's review of people performance management 2017 – Carmarthenshire County Council', Welsh Audit Office (April 2018) and the Investors in People review (May 2018). It is aimed at building capacity at potential 3rd/4th tier managers with project work as a central focus supported by targeted development, either through OD or Departmental Programmes. It also maps out the expected Leadership Journey based around leadership and management behaviours.</p> <p>b) Leading on the all Wales Health and Social Care Induction Framework (H&SCIF) a key objective of this project is to prepare new workers in the domiciliary care sector for registration with Social Care Wales by completing the Social Care Wales Principles and Values Award and the All Wales Induction Framework for health and social care (AWIF). Project which covers the region is has already established different methods of</p> <p>c) The Learning Management System Project (funded jointly by Chief Executives department and the Digital Transformation Fund) will provide a new and improved learning environment of which one aspect will be the provision of updated essential e-learning (a priority for the purposes corporate and service based requirements e.g. statutory and employment obligations). The project aims to ensure that it supports the organisations learning culture, and the application of different tools and styles of learning will be critical. It will need to include those that support mobile learning, video learning, micro-learning, social eLearning, as well as the necessary learning analytics to collect, measure and analyse the learning habits and performance levels of employees and effective people management.</p> <p>A forward work programme for employment policy updates and development is in place which tracks changes to employment legislation and ensures that Council policies are updated to reflect current legislation</p> <p>HR Advisors and H&S Advisors provide advice to managers across the authority and in schools to ensure consistency and compliance with policies and legislation.</p>	↔
	Paul R Thomas												
CRR190007 - Ensuring effective management of Procurement / Contract Management and Partnership arrangements	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Participation in the National Procurement Service New Procurement Strategy developed and approved in April 2018 Procurement Board 	Helen Pugh	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	<p>Category Management introduced and three category plans in place. Procurement continue to work with departments to review and implement the outcomes from the category plans. Two other plans are currently in the process of being developed.</p> <p>Carmarthenshire memebrr of the WLGA group set up to consider the approach for procuring for Wales moving forward.</p>	↔
					Helen Pugh								
					Helen Pugh								
CRR190009 - Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Catastrophic 5	Probable 5	Significant 25	<ul style="list-style-type: none"> Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services To have a sound procedure for professional abuse allegations effectively promptly and correctly To respond appropriately to Regulators reports and recommendations To proactively monitor adequate procedures are being effectively 	Stefan Smith	Catastrophic 5	Unlikely 2	High 10	Catastrophic 5	Unlikely 2	High 10	<p>Service Managers carry out monthly audits of assessments, plans and reviews. Internal Inspection is carried out within the Internal Audit and Evaluation sub group of the Safeguarding Board.</p> <p>A Regional Joint Safeguarding Board (adults and children) is well established along with the Local Operational Group (LOG) combined for adults and children. Meetings take place quarterly and include members from Health, education, Police, probation, Coleg Sir Gar, plus MWW Regional Safeguarding board members. We are developing a shared vision across the region for children and young people with complex needs with partners in education, health and social care services.</p> <p>Service manager to attend the IEG (Executive Group of the Regional Partnership Board) with a proposal to hold a workshop within 4th Quarter between Hywel Dda Health Board and the 3 Local Authorities to evaluate and bring together the existing complex needs panels.</p> <p>All regulatory reports and recommendations are included in business planning and monitored quarterly.</p>	↔
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				<ul style="list-style-type: none"> operated by third party providers Ensure sexual exploitation Risk Assessments (SERAFs) and Missing Persons Risk Assessments are completed as required New arrangements implemented for our leaving care services in accordance with the Social and Well-being Act 2014 	Stefan Smith Stefan Smith							<p>Appropriate Safeguarding measures are included in all Third Party contracts.</p> <p>This is regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group.</p> <p>This is part of the new revised Corporate Parenting Strategy monitored via the Corporate Parenting Panel, ensuring the council fulfils its Corporate Parenting role and that our looked after children and care leavers have the opportunity to reach their full potential.</p>	
CRR190010 - Safeguarding Arrangements - Vulnerable Adults	Catastrophic 5	Probable 5	Significant 25	<ul style="list-style-type: none"> Representation at the Regional Board Implementing effective safeguarding policies and procedures for vulnerable adults Monitoring the performance of safeguarding within adult services Responding to regulators reviews and recommendations Monitoring of third party providers to ensure safeguarding procedures are being effectively operated 	Jake Morgan Jake Morgan Jake Morgan Jake Morgan Jake Morgan	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	<p>The Regional Safeguarding Board is well established, Carmarthenshire is well represented on the Board and sub groups.</p> <p>The Carmarthenshire multi agency Local Operational Group is also well established with good collaborative relationships.</p> <p>There is evidence of the dissemination of multi-agency learning via the infrastructure for Adult Practice and Child Practice reviews.</p> <p>Two Safeguarding officers are now placed in IAA which has improved initial responses and led to a reduction in referrals coming directly to the Safeguarding team.</p> <p>Carmarthenshire led the development of a Threshold Document which is well understood by all partners.</p> <p>Timescales for responding to safeguarding referrals has improved significantly with performance in Carmarthenshire achieving above 95% for enquiries being completed within 7 days.</p> <p>Systems for collecting performance data is much improved</p> <p>A collaborative consistent approach for responding to professional concerns has been agreed.</p> <p>Recently Safeguarding Adults was included as part of a CIW inspection concerning Older People and received positive feedback, the following comments are from the review:</p> <ul style="list-style-type: none"> - "Safeguarding practice is well led by Senior Managers and Operationally supported by the Safeguarding Team" - "Good multi-agency working relationships at strategic and operational levels". 	↔
CRR190011 - Develop and Deliver the Improvement Plan / Corporate Performance Plans	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Undertake detailed analysis of all lower quartile Performance Indicators to develop action plans. Address underperformance via Business Planning process Monitoring progress via Performance and Improvement Monitoring System (PIMS) and dashboards 	Noelwyn Daniel Noelwyn Daniel Noelwyn Daniel	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	<p>The Well-being plan and the Corporate Plan are now consolidated and incorporated into the Corporate Strategy.</p> <p>PIMS continues to be used to monitor performance indicators and reported regularly to scrutiny committees.</p> <p>This information also forms part of the business planning and financial planning process.</p>	↔
CRR190012 - Failure to adhere to an effective Corporate Governance Framework	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Corporate Governance Group Implementation of the WLGA Review of Governance Annual Governance Statement 	Helen Pugh Noelwyn Daniel Helen Pugh	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	<p>Wales Audit Office Corporate Assessment Action Plan delivered</p> <p>Better use of Resources and Building a Better Council are aligned to the AGS which are structured based on the seven CIPFA principles of Good Governance</p>	↔

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CRR190013 - Delivery of the City Deal (Outcomes / Budget)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Establishment of Swansea Bay City Region Board Development of Regional Joint Committees 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. Financial Planning 	Noelwyn Daniel Noelwyn Daniel Noelwyn Daniel Chris Moore	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	Two separate reviews completed. Reviews looked into the governance arrangements of the Swansea Bay City Deal. One commissioned by Westminster and Welsh Government, the other internal review commissioned by the Joint Committee. The outcomes of these reviews have been issued and considered by the Joint Committee.	↔
CRR190014 - Delivery of the Wellness Project (Outcomes / Budget)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Membership of Project Board 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. Financial Planning 	Wendy Walters Wendy Walters Chris Moore	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	Two independent reviews commissioned by Carmarthenshire CC with regard to the project WAO concluded that 'Carmarthenshire County Council has followed appropriate processes and effectively managed risk to protect public money in its actions relating to the Wellbeing and Life Science Village' and Acuity concluded that Council Officers have taken prudent steps to manage the project in a safe and well considered legal and financial environment."	↔
CRR190015 - Delivery of the Approved Capital Programme (Outcomes / Budget)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Strategic Asset Steering Group Project Management Tool Kit Project Management Training Long term Treasury management / loan funding 	R Hemmingway Jason Jones Paul R Thomas Chris Moore	Substantial 4	Improbable 1	Low 4	Substantial 4	Improbable 1	Low 4	SASG continues to meet regularly and has well established procedures in place to develop and oversee implementation of the capital programme. the level of training and oversight remains satisfactory and all training is now accessible on the intranet.	↔
CRR190016 - Delivery of the Authority's waste management and recycling obligations (including meeting Landfill Targets)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Maintain current provision and infrastructure for recycling Continue education and awareness activity to improve participation 	Ainsley Williams Ainsley Williams	Substantial 4	Probable 5	Significant 20	Substantial 4	Likely 4	High 16	Alternative RDF outlets now in place. Restrictions on waste entering our in household waste recycling centres have been affected in April 2019. Further restrictions on black bags limit (4 to 3) introduced at the kerbside in November 2019 together with targeted advisor programme. These have had the combined effect of improving our recycling performance, but we remain close to the statutory target.	↓

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CRR190017 - Effective Management of demand for Social Care (Adult & Children)	Significant 3	Likely 4	High 12	<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 Deliver implementation plan for Social Services and Wellbeing Act Collaborate with partners to deliver information, advice, assistance and preventive services Work with partners, local community action groups and local people to build resilient communities and community models of support Promote and develop social enterprises and cooperatives to provide preventative services, care and support <p>To introduce a range of initiatives to manage and/or reduce demand</p> <p>To commission an effective, efficient and economical model for the provision of domiciliary care</p> <p>To focus on positive recruitment and retention practices to motivate and sustain the workforce in order that we maintain a sufficient workforce and one that is equipped to perform their work requirements Promote and develop social enterprises and cooperatives to provide preventative services, care and support</p> <ul style="list-style-type: none"> We will monitor and report on Social Worker Vacancies and Caseloads quarterly 	Avril Bracey / Neil Edwards	Significant 3	Possible 3	Medium 9	Significant 3	Possible 3	Medium 9	<p>Families First and Flying Start programmes to deliver early intervention with children and families</p> <p>Further control measures put in place: To introduce a range of initiatives to manage and/or reduce demand To commission an effective, efficient and economical model for the provision of domiciliary care To focus on positive recruitment and retention practices to motivate and sustain the workforce in order that we maintain a sufficient workforce and one that is equipped to perform their work requirements Promote and develop social enterprises and cooperatives to provide preventative services, care and support</p> <p>Families First and Flying Start programmes to deliver early intervention with children and families</p> <p>Children's Social Worker caseloads and vacancies are monitored on a regular basis at senior management level. At the end of December '19 there were 2 social work vacancies (1.3%)</p>	↔

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CRR190018 - Failure to deliver a quality Education Service	Substantial 4	Possible 3	High 12	<ul style="list-style-type: none"> Raise standards at each key stage Support schools to develop and deliver new curriculum. Support schools to implement ALN reform Deliver the Welsh in Education Strategic Plan (WESP) and the recommendations of the Welsh Language Carmarthenshire Report Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM Manage the 21st Century School Programme and reduce the number of surplus places with the schools system 	Gareth Morgans Gareth Morgans Gareth Morgans Gareth Morgans Gareth Morgans	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	<p>We continue to:</p> <p>Improve the proportion of schools with a Green or Yellow categorisation in the National School Categorisation System;</p> <p>We will support schools, in tandem with ERW (Education through Regional Learning), to further improve outcomes for all pupils outcomes at the end of the Foundation Phase, Key Stage 2, Key Stage 3 and Key Stage 4</p> <p>We shall continuing to promote regular school attendance to maximise educational opportunities and child welfare, robustly challenging poor attendance and persistent absenteeism;</p> <p>We will implement the Attendance Forward Working Plan;</p> <p>Continue to hold all schools and ERW to account for further improving standards and outcomes for learners, intervening in schools where performance is not satisfactory;</p> <p>We will continue to support, challenge and improve the quality of leadership and its impact on improving provision and outcomes in collaboration with senior school leaders e.g. provision of Leadership Seminars and Networks.</p> <p>We will continue with the design of the Carmarthenshire Curriculum in partnership with Education through Regional Working (ERW), schools and other providers, framed within the national context. Pursue opportunities to link corporate and economic strategy with the design of the new curriculum.</p> <p>We are dovetailing local opportunities for curriculum enrichment and extension with the national architecture with a view towards developing a Carmarthenshire Learner Offer.</p> <p>Inclusion Officers continue to support the 10 priorities outlined in the Regional Additional Learning Needs (ALN) Transformation Implementation Plan and are involved in delivering outcomes in each priority delivery schedule. Progress monitoring is on-going with a review of priorities scheduled during the Spring Term.</p> <p>The current WESP document is now in it's penultimate year. We will continue to ensure that the key messages are adhered to and that specific changes in school provision continue to progress.</p> <p>The AGGaD service continue work within schools in accordance to need and effectiveness regarding moving all schools along the language continuum.</p> <p>On-going collaboration and partnership working between Rhysygons and our services continues to support integrated approaches effectively. This continues to be enhanced by additional inter-departmental collaboration that will continue throughout the Spring Term, providing a positive platform for continued development and improvement.</p> <p>Continue to work with partnership with specialist setting staff to share expertise to support low incidence high complexity needs in mainstream settings.</p> <p>The majority of projects within the Band A Programme have been completed, with schemes being progressed for the remaining projects, including Ysgol Rhys Prichard and Ysgol Llangadog (on site) and Ysgol Gorslas (expected to start on site in March 2020) With regards to the Band B Programme, the project for Five Roads has commenced on site and the scheme for Ysgol Pembrey has also been approved by Welsh Government. The scheme for Ysgol y Castell has been approved with an on site target date of March 2020.</p>	↔
CRR190019 - Failure to ensure that schools effectively manage their resources and respond to challenges	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Lead the TIC Schools project, working with colleagues and schools to identify significant savings as set by the County Council through the budget efficiency programme 	Gareth Morgans	Substantial 4	Likely 4	Significant 16	Substantial 4	Likely 4	Significant 16	<p>Levels of risk continue to be monitored via a detailed focus on individual school budget performance. Analyses are ongoing throughout the financial year. Progress updates and ensuing actions are monitored closely by a range of officers / groups, including the Schools Budget Forum, Educations Services Forum, DMT, ECS Scrutiny. The Federation agenda analyses and seeks to improve the viability of smaller schools. The Change Review Panel challenges schools in deficit on budget and business management. Business Management within schools is currently being evaluated.</p> <p>Schools surplus spaces review to be carried out</p>	↔

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CRR190021 - Maintain and develop effective Planning Policies (including delivering effective enforcement)	Substantial 4	Possible 3	High 12			Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	<p>LDP Review is well underway. Timetable approved by WG. Preferred Strategy consulted upon on time early 2019. Deposit Consultation due late 2019 early 2019. Progress currently on track and in line with required adoption by December 2021.</p> <p>Enforcement: The Council has one of largest case loads per population in Wales. An internal review is occurring with regards enforcement processes - the results of this are currently being firmed up (Feb 2020). Enforcement is also part the Strategic Review of Planning which has been reported on late January 2020. Actions from both reviews will help inform the way forward and a Review Steering Group has been set up to take forward the various actions. Lead Officers are being nominated during February and a timescale for delivery will be firmed up early March. The Enforcement specific internal review needs to be brought within this overall Review.</p>	↔
				<ul style="list-style-type: none"> Local Development Plan (LDP) 	Llinos Quelch								
CRR190022 - Manage and Develop new external arrangements	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Governance arrangements incl management and Councillor representation on Boards 	Corporate Management Team	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	<p>All proposals and initiatives must be considered by CMT, this ensures moderating and consistency in approach.</p> <p>WAO review programmed for 2019/20</p>	↔
				<ul style="list-style-type: none"> Compliance with Companies Act and relevant legislation 	Corporate Management Team								
				<ul style="list-style-type: none"> Financial Planning Financial Reporting arrangements Audit programme 	Corporate Management Team								
				<ul style="list-style-type: none"> Training - arranged for Directors 	Corporate Management Team								

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CRR190023 - No Deal Brexit	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> Officer/Member Working Group with representations from all council services Review all services/plan contingencies Follow advice from Welsh Government and WLGA Communications with residents and businesses 	HLMorgan HLMorgan HLMorgan HLMorgan	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	Risk and Opportunities registers continuously reviewed Officer / Member working group meet as and when appropriate. When deadlines have been approaching regular meetings held, and dedicated officers nominated to feed into the LRF updates.	↔
CR19/20022 Schools do not undertake routine property repair and maintenance using delegated funding or undertake work that is not compliant	Catastrophic 5	Probable 5	Significant 25	Building condition surveys and reports to be reinstated Risk Management bid to be considered to fund urgent building condition surveys	Simon Davies	Catastrophic 5	Possible 3	High 15	Catastrophic 5	Possible 3	High 15	Ongoing	↔
CR19/20023 Ash die back and the risk to public safety	Substantial 4	Probable 5	Significant 20	Officers developing strategy for managing risk for ash die back for trees adjacent to the highway. Identification and consideration of risk where Ash trees are located on Council land. Pilot survey proposed for Highways Inspectors to establish the extent of Ash tree adjacent to the highway. Chainsaw training for Council operatives, specific to Ash die back	Linos Quelch	Substantial 4	Probable 5	Significant 20	Substantial 4	Likely 4	Significant 16	Further work has occurred as follows which marginally reduces some of the risk identified: Some tree felling now underway, e.g. works are due to start on the A4138 A and B roads now surveyed Procurement being undertaken for tree felling works Survey for 2020/21 being scheduled Member training in the diary prior for year end Ash Dieback Officer post recruitment almost complete	↓
CR19/20024 Fraud & Corruption The cost of fraud to the Welsh public sector is estimated to be in the region of between £100 million and £1 billion annually (as reported by the WAO).	Catastrophic 5	Likely 4	Significant 20	Anti-Fraud & Anti-Corruption Strategy Whistleblowing Policy Financial Procedure Rules Code of Conduct - Members & Officers Participation in the National Fraud Initiative Exercise Dedicated Fraud Investigation Officer dealing with Revenue and Benefit Frauds Counter Fraud proficiency within the Internal Audit team Effective relations with Dyfed Powys Police	Head of Revenues & Financial Compliance / Director of Corporate Services	Catastrophic 5	Possible 3	High 15	Catastrophic 5	Possible 3	High 15	Anti-fraud and corruption strategy currently being reviewed and updated, has been presented to CMT. Will now be taken to PEB and Audit Committee MoU drafted and agreed with Dyfed Powys Police, to support the way forward and working together. Training programme being discussed and developed in conjunction with Dyfed Powys Police - they will facilitate a workshop session on Fraud and Corruption for Members and officers in April 2020	↔

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CR19/2025 - School Leadership Our ability to recruit and retain high quality and resilient school leaders who can respond to and deal with the transformation of education in Wales.	Substantial 4	Likely 4	Significant 16	Develop and use a more robust competency based process to recruit school leaders. Provide each new school leader with a mentor who's an experienced and successful school leader. Encourage leaders and prospective leaders to enrol on ERW's leadership courses/programmes. Provide Challenge Adviser support for all new school leaders and provide a bespoke induction/mentoring programme. Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders.	Director of Education & Children's Services	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	The Control Measures for this new Risk for 2020 are in the process of being developed with assistance from HR.	↔
NEW: Net zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local by 2030	Substantial 4	Probable 5	Significant 20	The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan. Careful prior evaluation will be required before extending the scope and/or pace of the Council's commitments to ensure that implications are fully appreciated and matched by appropriate staff and financial resources	Director of Environment / Head of Regeneration	Substantial 4	Unlikely 2	Medium 8					
NEW: Coronavirus - Risk to business continuity, system failure and service delivery as currently its predicted that this will be an issue through to May / June 2020	Catastrophic 5	Likely 4	Significant 20	Services are updating their business continuity plans, with ongoing review carried out. Regional planning group in place with other public sector organisations Risks will be managed service by service Daily monitoring Service specific plans prepared - assessing impact of 10% / 20% / 30% staff sickness Identify where there may be potential to free up capacity in some areas, so that resources can be released to assist with the essential services	Director of Community Services	Catastrophic 5	Likely 4	Significant 20					

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New: Failure to comply with the requirements of the Local Government and Elections (Wales) Bill	Substantial 4	Possible 3	High 12	Public participation strategy being produced Petition scheme being developed In discussions with WG on proposal in the Bill for webcasting formal meetings Remote attendance of members being discussed with WG and Public-i Collaborative working with Principal councils - awaiting further guidance from WG Corporate Joint Committees - Guidance awaiting from WG - LG engagement will be expected in developing regulation	CMT	Substantial 4	Possible 3	High 12					
NEW: Flood - Strategic risk: The effects of more frequent and intense storm conditions that compromise homes, businesses, essential infrastructure and services.	Substantial 4	Probable 5	Significant 20	Flood Risk Strategy and FRMPs Community plans in terms of self-help where practicable. Continue to work with our professional partners (as a LLFA). S19 Reports and action plans. Pro-active maintenance programme for flood assets. Making more use of contemporary flood data and information from partner agencies. SAB for future development and TAN 15 compliance. Effective communication strategy.	Director of Environment	Substantial 4	Probable 5	Significant 20					
NEW: Flood - Operational risk: The effects of more frequent and intense storm conditions that compromise our operational ability to respond to widespread and prolonged emergencies both in the immediate response phase and recovery phase of an incident.	Substantial 4	Probable 5	Significant 20	WG grants are available to assist with funding of investigation work and capital works	Director of Environment	Substantial 4	Probable 5	Significant 20					
NEW: Cyber risk such as: - Ransomware or malware infection - Denial of Service Attack (DOS) - Unauthorised network access (hacking) - External and Internal - Phishing Email Attack - staff	Catastrophic 5	Likely 4	Significant 20	Cyber incident response plan Staff awareness training Firewalls Application control on servers	Head of ICT & Policy	Catastrophic 5	Possible 3	High 15					