



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 - @ July 2020			Update / New Risk Control Measures	Change
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<b>CRR190006 - Ensuring effective People Management</b> (including capacity and compliance with Employment Law and Health & Safety Legislation)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring, appraisals and supervision, probationary policy</li> <li>Development of Employment Policies and briefings and training, audit and monitoring</li> </ul>	Assistant Chief Executive	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	OD has commenced a programme of work to modernise the Councils approach to learning and therefore support effective People Management. Examples of this include: <ol style="list-style-type: none"> <li>A revised Leadership &amp; 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 3<sup>rd</sup>/4<sup>th</sup> 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.</li> <li>Leading on the all Wales Health and Social Care Induction Framework (H&amp;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 good quality learning delivery to meet the needs of</li> <li>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.</li> </ol> <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&amp;S Advisors provide advice to managers across the authority and in schools to ensure consistency and compliance with policies and legislation.</p>	↔
<b>CRR190007 - Ensuring effective management of Procurement / Contract Management and Partnership arrangements</b>	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Participation in the National Procurement Service</li> <li>New Procurement Strategy developed and approved in April 2018</li> <li>Expenditure Stream</li> </ul>	Head of Revenues & Financial Compliance	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	Category Management approach introduced which means Procurement continue to work with departments to review and challenge current service delivery, and to consider the options for service delivery . Carmarthenshire member of the WLGA group set up to consider the approach for procuring for Wales moving forward.	↔

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CRR190009 - Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Catastrophic 5	Probable 5	Significant 25	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services	Head of Children Services	Catastrophic 5	Unlikely 2	High 10	Catastrophic 5	Unlikely 2	High 10	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.  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. 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.  All regulatory reports and recommendations are included in business planning and monitored quarterly.  Appropriate Safeguarding measures are included in all Third Party contracts.  This is regularly monitored via the Children's Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group.  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.	↔
CRR190010 - Safeguarding Arrangements - Vulnerable Adults	Catastrophic 5	Probable 5	Significant 25	<ul style="list-style-type: none"> <li>Representation at the Regional Board</li> <li>Implementing effective safeguarding policies and procedures for vulnerable adults</li> <li>Monitoring the performance of safeguarding within adult services</li> <li>Responding to regulators reviews and recommendations</li> <li>Monitoring of third party providers to ensure safeguarding procedures are being effectively operated</li> </ul>	Director of Communities	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. The Carmarthenshire multi agency Local Operational Group is also well established with good collaborative relationships. 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. 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>The following comments are from a recent CIW review:</p> <ul style="list-style-type: none"> <li>- "Safeguarding practice is well led by Senior Managers and Operationally supported by the Safeguarding Team "</li> <li>- "Good multi-agency working relationships at strategic and operational levels "</li> </ul>	↔

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CRR190011 - Develop and Deliver the Improvement Plan / Corporate Performance Plans	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Undertake detailed analysis of all lower quartile Performance Indicators to develop action plans.</li> <li>Address underperformance via Business Planning process</li> <li>Monitoring progress via Performance and Improvement Monitoring System (PIMS) and dashboards</li> </ul>	Head of ICT & Policy	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	The Well-being plan and the Corporate Plan are now consolidated and incorporated into the Corporate Strategy. PIMS continues to be used to monitor performance indicators and reported regularly to scrutiny committees. This information also forms part of the business planning and financial planning process.	↔
CRR190012 - Failure to adhere to an effective Corporate Governance Framework	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Corporate Governance Group</li> <li>Implementation of the WLGA Review of Governance</li> <li>Annual Governance Statement</li> </ul>	Head of Revenues & Financial Compliance  Head of ICT & Policy  Head of Revenues & Financial Compliance	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	Wales Audit Office Corporate Assessment Action Plan delivered  Governance arrangements have had to be changed due to Emergency measures due to Covid - Gold and Silver have met regularly with actions logged and reasons for actions noted. These have been reported to PEB on a regular basis.  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	↔
CRR190013 - Delivery of the City Deal (Outcomes / Budget)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Establishment of Swansea Bay City Region Board</li> <li>Development of Regional Joint Committees</li> <li>An agreement between the UK and Welsh Governments and 4 local authorities (Carmarthenshire, Swansea, Neath &amp; 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.</li> <li>Financial Planning</li> </ul>	Head of ICT & Policy  Director of Corporate Services	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  Carmarthenshire are host for the Programme office and maintenance of harmonious relations from collaborative working	↔
CRR190014 - Delivery of the Wellness Project (Outcomes / Budget)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Membership of Project Board</li> <li>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.</li> <li>Financial Planning</li> </ul>	Chief Executive  Chief Executive  Director of Corporate Services	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."	↔

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CRR190015 - Delivery of the Approved Capital Programme (Outcomes / Budget)	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Strategic Asset Steering Group</li> <li>Project Management Tool Kit</li> <li>Project Management Training</li> <li>Long term Treasury management / loan funding</li> </ul>	Head of Financial Services  Head of Regeneration  Assistant Chief Executive  Director of Corporate Services	Substantial 4	Improbable 1	Low 4	Substantial 4	Possible 3	High 12	<p>SASG continues to meet regularly and has well established procedures in place to develop and oversee implementation of the capital programme but due to Covid schemes have been delayed.</p> <p>Existing schemes are being delivered but there is significant impact on cost inflation on newly tendered schemes. Delays on delivery on existing schemes due to contractors removing form site as well as delays in procuring for new schemes.</p> <p>the level of training and oversight remains satisfactory and all training is now accessible on the intranet.</p>	
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"> <li>Maintain current provision and infrastructure for recycling</li> <li>Continue education and awareness activity to improve participation</li> </ul>	Head of Waste & Environmental Services	Substantial 4	Likely 4	High 16	Substantial 4	Likely 4	High 16	<p>Established RDF (black bag waste) outlets now in place. Restrictions on waste entering our 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.</p> <p>These have had the combined effect of improving our recycling performance, but we remain close to the statutory target of 64%. The effects of Covid-19 in terms of the temporary closure of our household waste recycling centres, the suspension of our waste education and awareness programme and the resultant effect of potential increase in contamination of our kerbside collected recycling materials could place the Council at further risk. However, this is countered to a point by an increase in the weight/volume of blue bags, food and garden waste collected at the kerbside during lockdown; the situation will be monitored.</p>	

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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"> <li>Establish effective systems to ensure thresholds for access and eligibility criteria are understood and consistently applied by staff and partners</li> <li>Deliver implementation plan for Social Services and Wellbeing Act</li> <li>Collaborate with partners to deliver information, advice, assistance and preventive services</li> <li>Work with partners, local community action groups and local people to build resilient communities and community models of support</li> <li>Promote and develop social enterprises and cooperatives to provide preventative services, care and support</li> </ul> <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"> <li>We will monitor and report on Social Worker Vacancies and Caseloads quarterly</li> </ul>	Head of Adult Social Care / Head of Integrated Services	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: During Covid we have been proactively contacting those who are shielding to provide information, advice and early preventive intervention. Reviewing our " front door" arrangements to ensure that information advice an early intervention is offered . Establishing a robust multidisciplinary team within IAA.</p> <p>To introduce a range of initiatives to predict, 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> <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%). At the end of March 2020 (pre-covid) there were 3 social work vacancies (2%)</p> <p>Communities department is progressing a Workforce Strategy which will include strategies to improve recruitment and retention.</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"> <li>Raise standards at each key stage</li> <li>Support schools to develop and deliver new curriculum.</li> <li>Support schools to implement ALN reform</li> <li>Deliver the Welsh in Education Strategic Plan (WESP) and the recommendations of the Welsh Language Carmarthenshire Report</li> <li>Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM</li> <li>Manage the 21st Century School Programme and reduce the number of surplus places with the schools system</li> </ul>	Director of Education & Children Services	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, improving the number in Green at the last categorisation process;</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 but with a particular emphasis on raising the achievements of pupils entitled to free school meals and looked after children, improving our outcomes in summer 2019;</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; 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 final year, with the next 10 year strategy being produced. 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 Rhysygors 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"> <li>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</li> </ul>	Director of Education & Children Services	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	<ul style="list-style-type: none"> <li>Local Development Plan (LDP)</li> <li>Local Enforcement</li> </ul>	Head of Planning  Head of Planning	Substantial 4	Possible 3	High 12	Substantial 4	Likely 4	Significant 16	<p>LDP Review is well underway. Timetable approved by WG. Preferred Strategy consulted upon on time early 2019. Deposit Consultation closed unfortunately during covid 19. Although 6 out of the 8 weeks were outside of Covid, the final 2 weeks were within and with libraries closed it means that we could not fully comply with our delivery Agreement. To reduce the potential for challenge, a short focussed consultation will take place late August/September for 3 weeks. Covid has also disrupted evidence gathering (where site visits required) and introduced a concern regarding the validity of our evidence going forward – Covid impact. As a result a new Delivery Agreement needs to be submitted and approved to WG extending the period by 7 months. This puts the Authority in a no-plan situation post December 2021 until the plan is adopted which should now be July 2021.</p> <p>Recommended to delete from Corporate Risk Register and just keep in the Departmental Risk Register.</p>	↑
CRR190022 - Manage and Develop new external arrangements	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Governance arrangements incl management and Councillor representation on Boards</li> <li>Compliance with Companies Act and relevant legislation</li> <li>Financial Planning Financial Reporting arrangements Audit programme</li> <li>Training - arranged for Directors</li> </ul>	Corporate Management Team  Corporate Management Team  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>	↔
CRR190023 - No Deal Brexit	Substantial 4	Likely 4	Significant 16	<ul style="list-style-type: none"> <li>Officer/Member Working Group with representations from all council services</li> <li>Review all services/plan contingencies</li> <li>Follow advice from Welsh Government and WLGA</li> <li>Communications with residents and businesses</li> </ul>	Economic Development Manager	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	<p>Risk and Opportunities registers continuously reviewed</p> <p>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.</p>	↔
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	<ul style="list-style-type: none"> <li>Building condition surveys and reports to be reinstated</li> <li>Risk Management bid to be considered to fund urgent building condition surveys</li> </ul>	Head of Access to Education	Catastrophic 5	Possible 3	High 15	Catastrophic 5	Possible 3	High 15	<p>Inspections to ensure that all schools were in good condition to re-open on 29th June 2019</p>	↔

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<b>CR19/20023 Ash die back and the risk to public safety</b>	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	Head of Planning	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. A & B roads  A and B roads now surveyed (October 2019)  Procurement being undertaken for tree felling works, specific to Ash Dieback  Survey for 2020/21 being scheduled  Member training scheduled for the Autumn  Ash Dieback Officer in post and support officer being recruited.  Surveys at schools also ongoing	
<b>CR19/20024 Fraud &amp; Corruption</b>  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  Financial Procedure Rules updated and presented to Audit Committee - Sept 2020	
<b>CR19/20025 - School Leadership</b> 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.	
<b>NEW: Net zero Carbon</b> 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.	Director of Environment / Head of Regeneration	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	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	

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<b>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</b>	Catastrophic 5	Likely 4	Significant 20	<p>Services are updating their business continuity plans, with ongoing review carried out.</p> <p>Regional planning group in place with other public sector organisations</p> <p>Risks will be managed service by service Daily monitoring</p> <p>Service specific plans prepared - assessing impact of 10% / 20% / 30% staff sickness</p> <p>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</p>	Director of Community Services	Catastrophic 5	Likely 4	Significant 20	Catastrophic 5	Likely 4	Significant 20	<p>Regular Gold and Silver meetings held to review and manage</p> <p>All actions logged with rational for actions noted</p> <p>Regular reporting to PEB</p> <p>Process in place to ensure resources can be released to critical service delivery areas through staff redeployment</p> <p>Daily monitoring of front line service needs in Social Care - staff resources / PPE</p>	↔
<b>New: Failure to comply with the requirements of the Local Government and Elections (Wales) Bill</b>	Substantial 4	Possible 3	High 12	<p>Public participation strategy being produced</p> <p>Petition scheme being developed</p> <p>In discussions with WG on proposal in the Bill for webcasting formal meetings</p> <p>Remote attendance of members being discussed with WG and Public-i</p> <p>Collaborative working with Principal councils - awaiting further guidance from WG</p> <p>Corporate Joint Committees - Guidance awaiting from WG - LG engagement will be expected in developing regulation</p>	CMT	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	<p>Due to Covid restrictions - remote attendance of Members to meetings has had to be developed and has been implemented.</p>	↔

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 - @ July 2020			Update / New Risk Control Measures	Change
	Impact	Probability	Risk Rating			Impact	Probability	Risk Rating	Impact	Probability	Risk Rating		
<b>NEW: Flood - Strategic risk: The effects of more frequent and intense storm conditions that compromise homes, businesses, essential infrastructure and services.</b>	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	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.  In effect, the measures highlighted are about management and mitigation to a point but not elimination, hence the risk remains as per the original scoring.	
<b>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.</b>	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	Substantial 4	Possible 3	High 15	There is the potential that storm conditions resulting in widespread prolonged, and/or heavy rainfall, could result in our operational workforce resource being placed under extreme pressure and will not therefore be physically able to respond to every call or request to prevent or alleviate flooding. This was experienced during Storm Callum in particular. Response in terms of resourcing will need to be prioritised for the highest risk areas. Community self help will be promoted. Where possible, wider teams within the Department and help from external contractors and consultants will be sought.	
<b>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 approach</b>	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	Catastrophic 5	Possible 3	High 15	Cyber response plan in place. Early warning for any known hoax or phishing emails in place. The core firewalls are due to be replaced. Cyber elearning modules developed.	