


CARMARTHENSHIRE COUNTY COUNCIL

CORPORATE RISK REGISTER 2021

Manager: Corporate Management Team

Date: 5th February 2021

Risk (Threat to achievement of business objective)	Assessment of Uncontrolled Risk (Assume NO Controls in plac			Controls	Assigned To	Assessment of Current Risk (Assume CURRENT Controls in pl			Updated Risk Rating February 2021			Comments / New Risk Control Measures Feb-21	Change	
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CRR190004 - Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding	Catastrophic	Likely	Significant	• Medium Term Financial Strategy - 5 Year Plan (including efficiency targets)	Director of Corporate Services/Head of Financial Services	Catastrophic	Likely	Significant	Catastrophic	Possible	High	<p>The impact of a decade of austerity will continue to have a significant impact on services and how we manage within the funding made available to us as an authority.</p> <p>The impact of budgets across the public sector which have been insufficient to meet pay growth and other pressures, requires the Council to be a learning organisation so that it is able to reflect, adapt and implement new and better ways of working.</p> <p>Budget monitoring shows underspend position following unprecedented WG support through the hardship scheme. Full year claim value will exceed £30m. Confirmation of continued hardship scheme for April to Septmebr 2021 significantly reduces risk. There remains uncertainty beyond September combined with potential further restircions from next winter.</p>		
	5	4	20			5	4	20	5	3	15			
				• Full County Council Elected Member Engagement on an annual basis to set priorities and allocate the Budget	Director of Corporate Services/Head of Financial Services									
				• Challenge from Scrutiny Committees	Head of Administration & Law									
				• Public Consultation regarding budget priorities on an Annual Basis	Director of Corporate Services/Head of Financial Services									
				• Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council receives fair funding from Welsh Government	Director of Corporate Services/Head of Financial Services									
				• TIC Programme to identify efficiencies and promote alternative methods of service delivery	Assistant Chief Executive									
			• Workforce Planning to ensure staff resources are planned to match demand	Assistant Chief Executive										
			• Wales Audit Office external challenge and assessment	Director of Corporate Services/Head of Financial Services										

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CRR190005 - Ensuring effective management of Grant Funding (including accessing Grant Funding) Threat of having to repay significant Grant monies. Failure to manage grants and maximise on the funding resources available - failure to secure funding - failure to deliver current projects within the set timescales - failure to deliver outputs in line with the T&Cs of grant paying department	Substantial 4	Likely 4	High 16	<ul style="list-style-type: none"> Project Management Training Grant Funding Bodies Guidance Briefings and Training Grants Panel Grants Manual / CPRs / FPRs Recovery Group reviewing financial position Reprioritisation of funding to best address the current liabilities Reprioritisation of capital programme 	Director of Corporate Services Director of Corporate Services Director of Corporate Services Director of Corporate Services	Substantial 4	Likely 4	High 16	Substantial 4	Likely 4	High 16	WG continue to roll out late grants to LGs with increased pressure on spend within short timescales - whilst welcomed, this however increases the risk of non compliance Internal Audit plan includes a sample of grants for review annually in addition to those requiring a certificate. Audit Wales Grants Review work is reducing but over the past few years they have identified less issues than in previous years, giving some assurance that for those grants scrutinised externally there are satisfactory procedures in place. Grants panel continue to meet on a quarterly basis and minutes reported to Audit Committee Carmarthenshire CC continue to attract more funding through grants, which requires detailed administration, with same level of work and evidence for all levels of grant - risk reputationally and financially. Additional grant arrangements have had to be put in place at short notice under significant pressure to address Covid related schemes Dialogue with grant paying bodies Capital Programme one priority of Environment Silver Sub group and forward work programme being closely reviewed and amended Objectives and proroties revisited WG monthly retruns submitted for Covid related costs	↔
CRR190006 - Ensuring effective People Management (including interpreting changes in HR legislation, capacity and compliance with Employment Law and Health & Safety Legislation)	Substantial 4	Probab 5	Significant 20	<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 	Assistant Chief Executive 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: Leading on the all Wales Health and Social Care Induction Framework (H&SCIF) a key objective of this proiert is to prepare new workers in the domiciliary care sector for registration with Social Care Wales The Learning Management System Project provides a new and improved learning environment of A forward work programme for employment policy updates and development is in place which tracks 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. Legislation(esp in relation to Covid) continually being reviewed and changed by WG - guidance notes rolled out so managers are compliant, to minimise confusion and potential future challenge.	↔

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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 Expenditure Stream 	Head of Revenues & Financial Compliance Head of Revenues & Financial Compliance Head of Revenues & Financial Compliance	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	Carmarthenshire member of the WLGA group set up to consider the approach for procuring for Wales moving forward - forward work progrmames considered. Procurement represented on the Expenditure TIC group tasked with looking at areas such non compliance, contract management and repetitive spend	↔
CRR190009 - Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Catastrophic 5	Probab 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 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 	Head of Children Services Head of Children Services Head of Children Services Head of Children 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 Childrens 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.	↔

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CRR190010 - Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Catastrophic	Probab	Significant	• Representation at the Regional Board	Director of Communities	Substantial	Unlikely	Medium	Substantial	Unlikely	Medium		
	5	5	25			4	2	8	4	2	8		↔
				• Implementing effective safeguarding policies and procedures for vulnerable adults	Director of Communities							The Regional Safeguarding Board and associated sub groups are well established and have continued to meet over the last year. The Combined Local Operational group (CLOG) for adults and children has continued to meet through the pandemic to progress core business. Carmarthenshire has been regularly represented at a regional safeguarding multi agency Covid response group. The terms of reference for this group was to seek reassurance that safeguarding processes were being followed and that significant issues such as care homes were being responded to. Performance is therefore being monitored regionally and locally by the Senior Manager for safeguarding who undertakes regular case file audits.	
				• Monitoring the performance of safeguarding within adult services	Director of Communities							For the safeguarding team, it has been business as usual and there has been an increase in safeguarding referrals since the last update.	
				• Responding to regulators reviews and recommendations	Director of Communities								
				• Monitoring of third party providers to ensure safeguarding procedures are being effectively operated	Director of Communities							The commissioning and safeguarding teams work closely to monitor third party provision to ensure compliance with safeguarding procedures. A Covid threshold document has also been developed regionally so that any safeguarding issues in relation to the pandemic are responded to. Adult Safeguarding was included in a recent CIW Assurance Review. No concerns were noted or recommendations for improvement made	
CRR190012 - Failure to adhere to an effective Corporate Governance Framework	Substantial	Likely	Significant	• Corporate Governance Group	Head of Revenues & Financial Compliance	Substantial	Unlikely	Medium	Substantial	Unlikely	Medium		
	4	4	16			4	2	8	4	2	8		↔
				• Implementation of the WLGA Review of Governance	Head of ICT & Policy							Governance arrangements were changed due to Emergency measures due to Covid - Gold and Silver met regularly with actions logged and reasons for actions noted. These have been reported to PEB on a regular basis. Now moved into recover phase and meetings in line with the First Minister's three weekly reviews	
				• Annual Governance Statement	Head of Revenues & Financial Compliance							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. Code of Corporate Governance also updated to reflect the Future Generation Act and the 7 CIPFA Principles of Good Governance	

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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 	Head of Regeneration Head of Regeneration Head of Regeneration Director of Corporate Services	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	The Board established and meets regularly. Carmarthenshire are host for the Programme office and maintenance of harmonious relations from collaborative working Funding agreements in place.	↔
CRR190014 - Delivery of the Pentre Awel 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 	Chief Executive Chief Executive Director of Corporate Services	Substantial 4	Possible 3	High 12	Possible 3	Unlikely 2	Medium 6	Project board membership expanded to include PVCs Cardiff, Trinity and Swansea Universities. Risk is a standing item on each Terms of reference and governance structure in place. Between meetings risk escalation through project SRO. CCC Section 151 Officer. Work stream meetings have risk as a standing agenda item. Tender documents prepared for procurement zone 1. Early market engagement undertaken. Development of options for Zone 3 underway. City Deal Business Case approved. Mol issued to Institutional Investors. expression of interest received. Confirmation expected to be confirmed May.	↓
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 	Head of Financial Services Head of Regeneration Assistant Chief Executive Director of Corporate Services	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	Risk of delays due to the impact of covid and lockdowns Failure to adhere to grant funding timescales 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. 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.	↔

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CRR190016 - Delivery of the Authority's waste management and recycling obligations (including meeting Landfill Targets)	Substantial	Likely	Significant	• Maintain current provision and infrastructure for recycling	Head of Waste & Environmental Services	Substantial	Likely	Significant	Substantial	Likely	Significant	4 4 16	4 4 16	4 4 16	←→
	4	4	16			4	4	16							
				• Continue education and awareness activity to improve participation	Head of Waste & Environmental Services										
												Current recycling performance is expected to be at around 66% for the 20/21 financial year. The current statutory target is 64%, with the next specific statutory target being 70% by 24/25.			
												The measures introduced since April 2019 have meant that we exceeded the 64% statutory target.			
												Measures being considered to further increase our performance and meet the 70% target include:			
												• Development of infrastructure and wider initiatives to encourage more re-use and higher quality recycling products as a basis for stronger and ideally local circular economy, including closed loop recycling. We have been successful in our circular economy bids and have been awarded funding from Welsh Government to develop a suite of projects that will increase our reuse and recycling performance.			
												• The introduction of a bespoke adult hygiene product and nappy collection service. This will decrease our black bag waste and increase recycling.			
												• Continue to promote the kerbside garden waste collection service. Customer base increased about 50% during the 2020 season.			
												• A review of our kerbside collection methodology with a view to potentially making changes to the method of collection and frequencies of collection.			

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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 We will monitor and report on Social Worker Vacancies and Caseloads quarterly 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 	<ul style="list-style-type: none"> Head of Adult Social Care/Head of Integrated Services Head of Adult Social Care/Head of Integrated Services/Head of Children Services Head of Adult Social Care/Head of Integrated Services/Head of Children Services Head of Adult Social Care/Head of Integrated Services/Head of Children Services Head of Adult Social Care Head of Adult Social Care/Head of Integrated Services/Head of Children Services Head of Adult Social Care Head of Adult Social Care 	Significant 3	Possible 3	Medium 9	Significant 3	Possible 3	Medium 9	<p>We continue to monitor implementation of the various control measures. The level of risk remains unchanged, but we continue to ensure that the controls are in place to ensure effective management of demand.</p> <p>Families First and Flying Start programmes continue 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 Qtr 3, 31st December 2020, there were 4 social work vacancies (2.7%)</p> <p>During Covid, we have been proactively contacting those who are shielding to offer information, advice and preventive interventions. A rapid Response Team which operates within Delta Well-being has been responding to emergency situations such as falls and has also provided additional capacity for community support where necessary.</p> <p>We have introduced a range of initiatives to manage demand including an enhanced pathway for early presentation of mental health concerns. This was provided in collaboration with health and third sector colleagues and this initiative is being built upon to progress a Single Point of Access for mental health services.</p> <p>A workforce development strategy has been developed which includes actions to improve recruitment and retention. Domiciliary care services has continued to recruit during the pandemic.</p>	↔

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CRR190018 - Failure to deliver a quality Education Service	Substantial 4	Possibl 3	High 12	<ul style="list-style-type: none"> • Support schools to implement ALN reform 	Director of Education & Children Services	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	<p>We continue to ensure the Council fully responds and complies with the requirements of the Additional Learning Needs transformation programme which aims to transform expectations, experiences and outcomes for children and young people by developing a unified system for supporting learners with additional needs from 0 to 25 years of age</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>	←
				<ul style="list-style-type: none"> • Deliver the Welsh in Education Strategic Plan (WESP) and the recommendations of the Welsh Language Carmarthenshire Report 	Director of Education & Children Services							<p>The current WESP document is now in it's final year, with the next 10 year strategy currently moving through the political process. 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>	
				<ul style="list-style-type: none"> • Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM 	Director of Education & Children Services							<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>	
				<ul style="list-style-type: none"> • Manage the 21st Century School Programme and reduce the number of surplus places with the schools system 	Director of Education & Children Services							<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, Ysgol Llangadog and Ysgol Gorslas. With regards to the Band B Programme, the project for Five Roads has commenced on site and the scheme for Ysgol Pembrey and Ysgol y Castell has also been approved by Welsh Government.</p>	

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				<ul style="list-style-type: none"> • Raise standards at each key stage 	Director of Education & Children Services							<p>We continue to work towards raising standards at each Key Stage. However due to schools being closed for periods due to COVID, Teacher Assessments and final GCSE and A Level exams for 2019-20 were cancelled. GCSE and A Level grades were determined by a range of evidence such as classwork, homework, mock exams and non-exam assessments. This arrangement will continue for Academic Year 2020-21. Therefore we can't compare to previous years.</p> <p>We continue to support and challenge schools to further improve outcomes for all pupils at the end of every stage with a particular emkphasis on raising acheivement for pupils entitled to free school meals and vulnerable pupils. We continue to support, challenge and improve the quality of leadership and its impact on improving proviosn and outcomes in collaboration with senior school leaders.</p> <p>6 schools have recently come out of Estyn Monitoring which only leaves one of our schools in Estyn Monitoring at our own request.</p>	
				<ul style="list-style-type: none"> • Support schools to develop and deliver new curriculum 	Director of Education & Children Services							<p>We will continue with the design of the Carmarthenshire Curriculum in partnership with all stakeholders, 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>	
CRR190019 - Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	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 	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>	↔
CRR190021 - Maintain and develop effective Planning Policies (including delivering effective enforcement)	Substantial 4	Possibl 3	High 12	<ul style="list-style-type: none"> • Local Development Plan (LDP) 	Head of Planning	Substantial 4	Possibl 3	High 12	Substantial 4	Possible 3	High 12	<p>LDP Review. 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>	↔

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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 Compliance with Companies Act and relevant legislation Financial Planning Financial Reporting arrangements Audit programme Training - arranged for Directors 	Corporate Management Team	Substantial 4	Possibl 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. Regular report to PEB introduced</p> <p>Governnace groups approve business plans and startegic direction of the companies</p> <p>Company Boards well established</p> <p>Robust quartery monitoring of financial position, business plan objectives and Pis</p> <p>Terkal requirements regularlv monitored</p>	↔
CRR190023 - No Deal Brexit CHANGE TITLE The post Brexit Settlement	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 Decrease in external Funding due to new SPF regimes 	Economic Development Manager	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	<p>New trading arrnagements have a negative impact on Carmarthensire business and economy</p> <p>Impact on Carms CC workforce and own suppliers</p> <p>EU replacement funds - expectation that Wales would have had an allocation, in aggregate Wales may not get the same allocation as was received in the past. Understanding and influence diminished due to reduced infulence and historical strong reputation with Westminster</p> <p>EU Replacement funds will be distributed on an UK level and will be extremely competitive. 35% of CCC Capital Programme depends on external funds.</p>	↔
CRR190025 - Schools do not undertake routine property repair and maintenance using delegated funding or undertake work that is not compliant	Catastrophic 5	Probab 5	Significant 25	<ul style="list-style-type: none"> Building condition surveys and reports to be reinstated Risk Management bid to be considered to fund urgent building condition surveys 	Head of Access to Education	Catastrophic 5	Possible 3	High 15	Catesotrophic 5	Possible 3	High 15	<p>Inspections were carried out to ensure that all schools were in good condition to re-open on 29th June 2019 following the first lock down and for the September opening of the new school year.</p>	↔

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CRR190026 - Ash die back and the risk to public safety	Substantial 4	Probab 5	Significant 20	<ul style="list-style-type: none"> 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 	<p>Head of Planning</p> <p>Head of Planning</p> <p>Head of Planning</p> <p>Head of Planning</p>	Substantial 4	Likelv 4	Significant 16	Substantial 4	Likelv 4	Significant 16	<p>Some tree felling now underway, e.g. A & B roads</p> <p>A and B roads now surveyed.</p> <p>Further survey recommencing in Spring 2021.</p> <p>Member training scheduled for March '21.</p> <p>Ash Dieback Officer and support officer in post.</p> <p>Dynamic Purchasing System in place and mini competitions regulary run to ensure service delivery continues to meet the planned programme of works</p>	↔
CRR190027 - Fraud & Corruption The cost of fraud to the Welsh Public Sector is estimated to be in the region of between £100million and £1billion annually (as reported by the WAO)	Catastrophic 5	Likely 4	Significant 20	<ul style="list-style-type: none"> 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 & Benefit Frauds Counter Fraud proficiency within the Internal Audit Team Effective relations with Dyfed Powys Police 	<p>Head of Revenues & Financial</p> <p>Head of Revenues & Financial Compliance/Director of Corporate Services</p> <p>Head of Revenues & Financial Compliance/Director of Corporate Services</p> <p>Head of Revenues & Financial Compliance/Director of Corporate Services</p> <p>Head of Revenues & Financial Compliance/Director of Corporate Services</p> <p>Head of Revenues & Financial Compliance/Director of Corporate Services</p> <p>Head of Revenues & Financial Compliance/Director of Corporate Services</p> <p>Head of Revenues & Financial Compliance/Director of Corporate Services</p>	Catastrophic 5	Possible 3	High 15	Catastrophic 5	Possible 3	High 15	<p>Anti-fraud and anti-corruption strategy updated and presented to Ausit Committee in octover 2020</p> <p>MoU agreed and signed with Dyfed Powys Police to support the way forward and working together</p> <p>Training programme agreed, developed and delivered in conjunction with Dyfed Powys Police - workshop sessions arranged for Audit Committee, Executive Board Members, CMT and staff Autumn 2020</p> <p>Financial Procedure Rules updated and presented to Audit Committee in Septmber 2020</p> <p>NFI matches for 2020/2021 received. Working through reviewing the recommended matches.</p> <p>Possible increase in fraud and abuse of internal systems and controls such as procurement, whilst emergency rules are in place In the transition period temprary changes to arrangemetns, review currently being carried out by Internal Audit on these arrangemetns to ascertain best way forward.</p>	↔

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CRR190028 - 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	<ul style="list-style-type: none"> 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 bespoke induction/mentoring programme Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders 	Director of Education & Children Services Director of Education & Children Services Director of Education & Children Services Director of Education & Children Services	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	A new Assessment Centre approach to recruitment has been successfully used to recruit to the most recent Headteacher vacancies. This has led to a confidence in the recruitment process to appoint high quality school leaders.	↔
CRR190029 - Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Substantial 4	Probab 5	Significant 20	<ul style="list-style-type: none"> 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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CRR190030 - Coronavirus - Risk to business continuity, system failure and service delivery, as currently it's predicted that this will be an issue through to May/June 2020.	Catastrophic	Likely	Significant	<ul style="list-style-type: none"> 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 Safe systems of work designed Consultation with TUs e-form developed to deal with redeployment requests L&D Team have developed and are now managing the Redeployment Hub To work closely with PMP and framework contractors, 	Director of Communities	Catastrophic	Likely	Significant	Catastrophic	Likely	Significant	Regular Gold and Silver meetings held to review and manage All actions logged with rationale for actions noted Regular reporting to PFB Process in place to ensure resources can be released to critical service delivery areas through staff redeployment Daily monitoring of front line service needs in Social Care - staff resources / PPE Regular reporting and monitoring of all Council staff sickness / absence Redeployment hub set up and staff available to be redeployed identified and placements noted and monitored H&S Risk assessments completed and revisited where appropriate and when legislation is amended L&D Team have developed an e-form to deal with Managers requests. e-form redeployment- means that staff and volunteers are identified and trained to match Managers needs. Work with contractors within the staffing resource supply chain, to implement contingency plans and measures to ensure the adequate supply of suitable qualified staffing resources for the Department to deal with operational changes as a result of the impacts of the Covid-19 outbreak. to source adequate staffing resources (e.g. cleaning, refuse, highways and property maintenance emergencies) for the Environment Department to support delivery of critical services as a result of the impacts of the Covid 19 outbreak on the Department.	↔

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CRR190031 - Failure to comply with the requirements of the Local Government and Elections (Wales) Bill	Substantial	Possibl	High	• Public participation strategy being produced	Corporate Management Team	Substantial	Possible	High	Substantial	Possible	High	Remote attendence of Members to meetings well established. Work has commneced to ascertain what changes are needed and by when. Changes will be made in accordance with the Provisions of the Local Government and Elections (Wales) Act 2021	↔
	4	3	12	• Petition scheme being developed	Corporate Management Team	4	3	12	4	3	12		
				• In discussions with WG on proposal in the Bill for webcasting formal meetings	Corporate Management Team								
				• Remote attendence of members being discussed with WG and Public-i	Corporate Management Team								
				• Collaborative working with Principal councils - awaiting further guidance from WG	Corporate Management Team								
				• Corporate Joint Committes - Guidance awaiting from WG - LG engagement will be expected in developing regulation	Corporate Management Team								
CRR190032 - Flood - Strategic Risk The effects of more frequent and intense storm conditions that compromise homes, businesses, essential infrastructure and services	Substantial	Probab	Significant	• Flood Risk Strategy and FRMPs	Director of Environment	Substantial	Probable	Significant	Substantial	Probable	Significant	Flood risk strategy in place THE measure put in palce are about managing the situation not elimination, hence risk remains significant. 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.	↔
	4	5	20	• Community Plans in terms of self-help where practicable	Director of Environment	4	5	20	4	5	20		
				• Continue to work with our professional partners (as a LLFA)	Director of Environment								
				• S19 Reports and action plans	Director of Environment								
				• Pro-active maintenance programme for flood assets	Director of Environment								
				• Making more use of contemporary flood data and information from partner agencies	Director of Environment								
				• SAB for future development and TAN 15 compliance	Director of Environment								
				• Effective communication strategy	Director of Environment								

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CRR190033 - 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	Probab 5	Significant 20	• WG grants are available to assist with funding of investigation work and capital works	Director of Environment	Substantial 4	Possible 3	High 12	Substantial 4	Probable 5	Significant 20	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.	
CRR190034 - 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 - Increased risk of cyber crime due to phishing and malware attacks exploiting Covid-19	Catastrophic 5	Probab 5	Significant 25	• Cyber incident response plan • Staff awareness training • Firewalls • Application control on servers • Security updates continuously rolled out	Head of ICT & Policy Head of ICT & Policy Head of ICT & Policy Head of ICT & Policy 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 being developed. Security updates continuously rolled out.	
CRR190038 - Strategic Increase in levels of anxiety which is directly affecting mental health. Health and wellbeing of staff and the public	Catastrophic 5	Probab 5	Significant 25	• Provision of support from Occupational Health	Assistant Chief Executive	Catastrophic 5	Likely 4	High 20	Catastrophic 5	Possible 3	High 15	Web page available to staff dedicated to mental health and wellbeing. Suite of training and resources made available. Wellbeing week well attended by staff. Departmental wellbeing groups set up Regular communications to staff and public of support available	
CRR190040 - COVID19 - Strategic Availability of Personal Protective Equipment (PPE)	Catastrophic 5	Probab 5	Significant 25			Catastrophic 5	Unlikely 2	High 10	Catastrophic 5	Unlikely 2	High 10	Procurement arrangements in place for PPE Central controlled stock arrangements in place	

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CRR190043 - COVID19 - Strategic Financial Implications - loss of income Financial implications - increased costs due to COVID19 demands and compliance with Cabinet and Welsh Government instructions	Catastrophic	Probab	Significant	<ul style="list-style-type: none"> Recovery of Council Tax & NNDR whilst being sensitive to the current situation Recovery of Housing Rent Exceptional procurement purchases due to COVID19 must be signed off by Section 151 Officer 	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance	Catastrophic	Possible	High	Catastrophic	Possible	High	WG support for loss in Council Tax - yet to be confirmed Debt recovery / collection rates closely monitored. Advice / support available provided to those in debt to aid with their repayments. Emergency procurement arrangements only applied in emergency reposne . No emergency purchases now being made, standards Procurement regs apply. Since we went into Recovery stage no further procurement to be approved in this manner. Normal procedures now must be followed and when exceptional procurement purchases required and Exception must be applied for from s151 and Monitoring Officer	↔
CRR190046 - COVID19 - Strategic Failure to ensure the expected progress and outcomes of all Carmarthenshire learners for the period that operation of schools and learning establishments are affected by the pandemic	Catastrophic	Likely	Significant	<ul style="list-style-type: none"> We will work closely with schools to monitor wellbeing, progress and outcomes of all learners We will plan for seamless transition from delivery to distance learning when required for all learners 	Director of Education & Children Services Director of Education & Children Services	Catastrophic	Likely	Significant	Catastrophic	Likely	Significant	As students were unable to sit final exams, GCSE and A level grades for 2019-20 were determined by our teaching staff based on a range of evidence such as classwork, homework, mock exams and non-exam assessments. Results can't be compared to previous years but overall results are comparable to or better than recent years. A similar arrangement is in palce for Academic Year 2020-21. Schools were asked to close again prior to Christmas and all learning moved to distance learning. This has been continued for all pupils during Spring half term. Foundation Phase (FP) pupils returned to schools after the half term break and all Primary schools have planned to provide face to face learning for FP and Hub pupils and remote learning for Key Stage 2 pupils as appropriate. Secondary schools were delivering through Remote Learning (as at Spring Half Term) break 2021). Secondary schools have opened up in a phased manner from March 15th onwards, and it is antipated that the Seocndary sector will be fully open for face to face teaching after Easter. This represents significant disruption to normality, though schools have tried hard to mitigate as much as possible under changeable ...	↔
CRR190047 - COVID19 - Strategic Ability to deal with the social, economic and operational impacts of the COVID 19 outbreak on the Division, Department and County.	Catastrophic	Probab	Significant	<ul style="list-style-type: none"> To work closely with Regional and Welsh Government partners, other Departments and the Third Sector to implement contingency plans and measures to deal with the impact of the COVID 19 outbreak. 	Director of Environment	Catastrophic	Possible	High	Catastrophic	Possible	High	working closely with Regional and Welsh Government partners, other Departments and the third sector and implementation of contingency plans and measures to deal with the impact of the Covid 19 outbreak.	↔

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CRR190049 - COVID19 - Strategic Risk of local business and economy not recovering from the lockdown	Catastrophic 5	Probab 5	Significant 25	<ul style="list-style-type: none"> Financial support to businesses Advice to businesses Support to businesses Database of local suppliers and traders Robust economic recovery plan to protect jobs and safeguard businesses 	Corporate Management Team Corporate Management Team Corporate Management Team Corporate Management Team Corporate Management Team	Catastrophic 5	Likely 4	Significant 20	Catastrophic 5	Likely 4	Significant 20	Funding packages in place - grants, initiatives such as Ten Towns Silver sub Group - BEC - one of its main objectives and priorities Financial support given to Businesses through Business Grants administered though NNDR Regeneration Team support / advice given to businesses Specific grants approved CLES review once reviewed by CMT and PEB - to be actioned	↔
CRR190050 - COVID19 - Strategic Risk of contractor and suppliers failing to deliver projects/schemes. - contractors resources depleted - contract failure - cost increases - sourcing materials	Catastrophic 5	Likely 4	Significant 20	<ul style="list-style-type: none"> Procurement processes to continue in selected areas - to ensure pipeline work Continue with high risk work during lockdown Set up contracts for work ready for after lockdown 	Director of Environment Director of Environment Director of Environment	Catastrophic 5	Likely 4	Significant 20	Catastrophic 5	Possible 3	High 15	work closely with suppliers and framework contractors, within the material supply chain, to implement contingency plans and measures to ensure the adequate supply of suitable building construction and maintenance materials for the Department to deal with operational changes as a result of the impacts of the Covid-19 outbreak.	↓
CRR190051 - COVID19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Substantial 4	Likely 4	Significant 16	Recovery Group	Corporate Management Team	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	Recovery groups in place to continually review priorities and service deliveries. Report to Silver and Gold	↔

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NEW Corporate Risk - CRR1900?? - SAC Phosphate & NRW Interim Planning Advice.	Substantial 4	Probable 5	Significant 20	<ul style="list-style-type: none"> • Triage applications with grant implications as a matter of urgency along with other applications with economic benefits to see whether they can be progressed. • Lobby and work with WG/NRW to get clarity around the scope of the requirements resulting from the Interim Advice to ensure that the authority can progress with determinations whilst still meeting its duties as a Competent authority in relation to the Habitat Regulations. 	Director of Environment/ Head of Planning	Substantial 4	Probable 5	Significant 20	Substantial 4	Probable 5	Significant 20	New Risk identified and recommended as a Corporate Risk	New Risk
NEW - Meeting statutory planning delivery targets	Substantial 4	Probable 5	Significant 20	Delivery Delivery and monitoring of Planning Strategic Planning Review Group with monthly	Director of Environment/ Head of Planning	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	New Risk identified and recommended as a Corporate Risk	New Risk
NEW Corporate Risk - Critical authority wide IT systems	Catastrophic 5	Likely 4	Significant 20	Main server and backup server at different sites Microsoft database SQL expertise in IT department		Catastrophic 5	Likely 4	Significant 20	Catastrophic 5	Likely 4	Significant 20	Limited resources for Oracle database - Unix Expected server life minimal 5 years Cost of going to the cloud r - revenue cost implications	New Risk