

# GOVERNANCE AND AUDIT COMMITTEE

12<sup>TH</sup> OCTOBER 2021

## CARMARTHENSHIRE COUNTY COUNCIL'S CORPORATE RISK REGISTER 2020/21

### Recommendations / key decisions required:

To receive the Corporate Risk Register

### Reasons:

To ensure that the Governance and Audit Committee are made aware of the Corporate Risks

**Relevant scrutiny committee to be consulted:** Yes – Governance & Audit Committee  
(12 October 2021)

**Cabinet decision required:** No

**Council Decision required:** No

**Cabinet Member Portfolio Holder:** Cllr. David Jenkins (Resources)

**Directorate:**  
Corporate Services

**Name of Director:**  
Chris Moore

**Report Authors:**  
Helen Pugh

### Designations:

Director of Corporate  
Services

Head of Revenues &  
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# EXECUTIVE SUMMARY

## GOVERNANCE AND AUDIT COMMITTEE 12<sup>TH</sup> OCTOBER 2021

### CARMARTHENSHIRE COUNTY COUNCIL'S CORPORATE RISK REGISTER 2020/21

The Authority maintains a Corporate Risk Register to evaluate its exposure to key strategic risks. The Corporate Assessment recommended that the Corporate Risk Register as agreed by CMT should be shared with the Audit Committee. Review and monitoring of the Corporate Risk Register is delegated to the Governance & Audit Committee in line with the Terms of Reference of the Governance & Audit Committee.

The Register will be reviewed by the Governance & Audit Committee at its March and October meetings.

#### **Removal of risks from the Corporate Risk Register:**

**Removal of Risk: CRR190047** - Ability to deal with the social, economic and operational impacts of the COVID 19 outbreak on the Division, Department and County.

**Reason: - duplication** - issue already covered in risks CRR190030 and CRR190049

**Removal of Risk: CRR190059** - Meeting statutory planning delivery targets – **Reason: to be replaced by following risks:**

- i) Failure to Implement Audit Wales Review Recommendations into the Authority's Planning Service. (17 recommendations have been made - key areas addressed specifically in Risks below.
- ii) Failure in Determination of Major Planning Applications. (Failure to determine major planning applications within timescale is adversely impacting on our ability as an Authority to achieve our regeneration ambitions)
- iii) Failure to address Significant performance issues in development management are undermining effective service delivery. (Significant backlog of undetermined planning applications, significant caseload in planning enforcement, timeliness of validation process, and lack of performance monitoring.)
- iv) Failure to determine or secure Extension of Time (EOT) for Planning applications which are outside the determination date). Current risk in relation to the repayment of the planning fee applicants where a planning application is over time (not been determined within the determination date) or has not been subject to an agreed EOT. As at 3/9/21 - 402 planning applications and fees of £593,000 at risk of repayment.

**In Addition to the changes above the following risks** new risks added to the Corporate Risk Register:

- i) Risk of the impact of workforce planning issues and recruitment issues generally as well as specific areas of recruitment:
  - a. Insufficient numbers of social work and care staff to provide sufficient assessment and care capacity which provides a risk to vulnerable people in not having needs assessed and being unsupported and potentially unsafe in the community.
  - b. Lack of availability of domiciliary care to support vulnerable adults which leads to the risk of people being unsupported and potentially unsafe in the community, as well as people being delayed leaving hospital preventing others being able to access urgent medical treatment.

**Report attached:**

**YES:**

Corporate Risk Register  
Probability and Impact Grid

## IMPLICATIONS

<p>I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report.</p>						
<b>Signed:</b>	<b>Chris Moore – Director of Corporate Services</b>					
Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
<b>None</b>	<b>None</b>	<b>None</b>	<b>None</b>	<b>Yes</b>	<b>None</b>	<b>None</b>
<p><b>Risk Management</b>          Aims of the Corporate Risk Register to collate strategic risks facing the Authority.</p>						

## CONSULTATIONS

<p>I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below:</p>	
<b>Signed:</b>	<b>Chris Moore – Director of Corporate Services</b>
<ol style="list-style-type: none"> <li>1. <b>Scrutiny Committee</b> – Governance &amp; Audit Committee is required to receive the Corporate Risk Register.</li> <li>2. <b>Local Member(s)</b> – N/A</li> <li>3. <b>Community / Town Council</b> – N/A</li> <li>4. <b>Relevant Partners</b> – N/A</li> <li>5. <b>Staff Side Representatives and other Organisations</b> – N/A</li> </ol>	
<p><b>Section 100D Local Government Act, 1972 – Access to Information</b>  <b>List of Background Papers used in the preparation of this report:</b></p> <p><b>THERE ARE NONE</b></p>	