

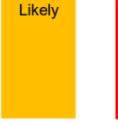
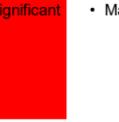
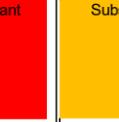
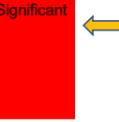
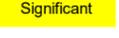
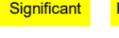
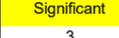
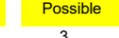
CARMARTHENSHIRE COUNTY COUNCIL - CORPORATE RISK REGISTER

Corporate Management Team

August / September 2021

Risk (Threat to achievement of business objective)	Assessment of Uncontrolled (Assume NO in place)		Risk Current Risk Rating	Controls	Assigned To	Assessment of Current Risk as presented to Governance & Audit Committee - March			Updated Risk Rating August 2021				
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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	Significant 16	<ul style="list-style-type: none"> Recovery Group reviewing financial position Reprioritisation of funding to best address the current liabilities Reprioritisation of capital programme Project Management Training Grant Funding Bodies Guidance Briefings and Training Grants Panel Grants Manual / CPRs / FPRs 	Director of Corporate Services Director of Corporate Services	Substantial 4	Likely 4	High 16	Substantial 4	Possible 3	High 12		There are still both significant numbers and high values of late grants with often challenging requirements to meet grant outputs and spend profile before year end. All grants continue to require detailed administration and proactive management Whilst effective controls have been in place, previously the risk score was maintained because of the additional challenge of Covid, both in adapting to new ways of working as well as restrictions impacting on grant deliverability. However, new working arrangements have been operating successfully for over a year now, and the vaccination programme suggests that restrictions are less likely in future. As such, it is deemed reasonable to reduce the probability score
CRR190006 - Ensuring effective People Management (including interpreting changes in HR legislation, 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 	Assistant Chief Executive Assistant Chief Executive	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8		Several measures have been taken e.g. new appraisal process introduced accompanied by briefing sessions for Heads of Service / Managers. New Competency Framework developed, pilots to be established before full roll out and training provided. Review of recruitment process planned for Autumn 21 prior to introduction of new recruitment systems H&S team recently filled vacant posts. However, remains medium risk due to recruitment pressures Employment policies reviewed on a regular basis and will underpin Better Ways of Working
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 WLGA Heads of Procurement Forum New Procurement Strategy developed and approved in April 2018 TIC Expenditure Stream Economic Recovery Plan / Progressive procurement approach agreed and signed off by CMT, P&R, Scrutiny and Cabinet. 	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		Contract management action plan of proposed improvements delivered to TIC Board and CMT. Contract Management guidance drafted and e-learning module being developed. Monitoring of spend included on the TIC Expenditure Agenda CLES review into progressive procurement has been approved by CMT, P&R and Exec Board. Working group established to deliver the actions. Work has started through the progressive procurement group to address the action plan drawn up in response to the CLES review Regeneration and Procurement have identified pilot areas for joint working to encourage local suppliers to bid for work Procurement represented on the Expenditure TIC group tasked with looking at areas such non compliance, contract management and repetitive spend Change the mitigating control in relation to NPS to reflect the joint working with WLGA / Heads of Procurement Forum - given that NPS role has changed significantly and this group is working regionally. Carmarthenshire member of the WLGA group set up to consider the approach for procuring for Wales moving forward - forward work programmes considered.
CRR190009 - Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Catastrophic 5	Probable 5	Significant 25	<ul style="list-style-type: none"> New arrangements implemented for our leaving care services in accordance with the Social and Well-being Act 2014 Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services 	Head of Children Services Head of Children Services	Catastrophic 5	Unlikely 2	High 10	Catastrophic 5	Unlikely 2	High 10		The Corporate Parenting Panel have still not met as a result of Covid-19 restrictions. Looked after children and care leavers have continued to be supported via the childcare teams and corporate parenting service to ensure they are safeguarded and enabled to reach their potential. Regular MALAC (Multi-Agency Care Management meetings) and CYSUR Audit and Evaluation Meetings have continued to take place virtually to ensure the council fulfils its corporate parenting role and progress is monitored as part of the Corporate Parenting Strategy. As previously; Service Managers continue to carry out monthly audits and assessments, plans and reviews. Internal inspection is carried out within the Internal Audit and Evaluation sub group of the Safeguarding Board.

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				<ul style="list-style-type: none"> 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 	Head of Children Services Head of Children Services Head of Children Services Head of Children Services							We continue to ensure the regional threshold and multi-agency child protection arrangements are working effectively. Most recently a Section 47 Development Day was held facilitated by Gladys White. The aim of the day was to provide an opportunity to consider the Welsh Government Legislation and Guidance, the relevant parts of the Children Act 1989 and the Regional CYSUR policies and procedures in relation to Section 47 processes. As previously; all regulatory reports and recommendations are included in business planning and monitored quarterly. We continue to ensure that 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 was also informed by the Section 47 Development Day, which gave an opportunity for participants to consider best practice, understand the importance of effective risk assessments and to apply local knowledge and practice in discussing and debating several 'real' case examples.	
CRR190010 - Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Substantial 4	Likely 4	Significant 16	<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 	Director of Communities Director of Communities Director of Communities Director of Communities	Substantial 4	Unlikely 2	Medium 8	Substantial 4	Unlikely 2	Medium 8	↔	Carmarthenshire is well represented at the Regional Safeguarding Board and associated sub groups which have continued to meet over the last year. The chair of Adult Social Care chairs the Adult Practice Review Group and the Senior Manager chairs the regional safeguarding leads group. Carmarthenshire takes a lead on many policy initiatives such as the Covid - 19 threshold document and process for professional concerns. The Combined Local Operational Group (CLOG) for adults and children has continued to meet during the pandemic to ensure there is a robust multi agency approach to safeguarding adults. Performance is monitored at the Regional Safeguarding Board and Director's Performance Meetings. Despite a significant increase in safeguarding referrals, 87% in Q3 of referrals were responded to within the seven day target period. The commissioning and safeguarding teams work closely to monitor third party provision and service improvement plans in respect of any safeguarding concerns. The Senior Manager Safeguarding has introduced a regular programme of audit to monitor safeguarding and person centred practice within the team. Regular audits and independent scrutiny by CIW and internal auditors' evidence that Carmarthenshire Adult Safeguarding team routinely apply the principles of the SSWBA and adhere to the safeguarding procedures and operational guidance. A recent assurance check undertaken by CIW, made the following observations: "Co-produced solutions were evident and there were positive outcomes for people subject to safeguarding interventions. From the files we reviewed, we found safeguarding enquiries and investigations conducted in line with statutory requirements. Strategy meetings and discussions were effective and involved the relevant agencies. We found good analysis of risk, protection plans in place and action taken where necessary"
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 	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	↔	This needs to be fully reviewed and discussed with Members as to whether relevance, due to timeline of the WLGA review, and what needs to be taken forward. Corporate Governance Group continues to meet on a quarterly basis Code of Corporate Governance has been signed off and approved by CMT, PEB and Governance & Audit Committee during 2021 AGS - reviewed in an informal session with members of the Governance & Audit Committee. AGS presented to the Committee formally in June 2021. Comments sought from each member following the Audit Committee meeting for their input - email request sent to all members. 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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				<ul style="list-style-type: none"> Project Management Training Long term Treasury management / loan funding 	Assistant Chief Executive Director of Corporate Services								The Project Management Tool kit is currently being reviewed
CRR190016 – Delivery of the Authority's waste-management and recycling obligations- (including meeting Landfill Targets) REWORDING: Delivery of the Authority's Waste Management and Recycling Strategy to ensure that we meet our statutory recycling targets and wider obligations including improvements to the quality of recyclable materials to support circular economy principles and reduce carbon outputs in accordance with Welsh Government's Beyond Recycling national strategy.				<ul style="list-style-type: none"> Maintain current provision and infrastructure for recycling Continue education and awareness activity to improve participation 	Head of Waste & Environmental Services Head of Waste & Environmental Services								Original wording of the Risk to be amended to provide more details of the risk. Original risk rating to be amended too. As a result of the extensive fire that completely destroyed the recycling plant, there is a risk that our recycling performance will be compromised due to the fact that alternative outlets and landfill options have had to be found to provide space for collections to continue. The latest recycling performance was 66.08% 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 thus far, but the effects of the CWM MRF fire could prove to be a setback in performance terms. 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 re-use 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. With regards to the CWM MRF fire a number of mitigation measures have been put in place: # Temporary outlets were sourced in the week immediately following the fire. However, the performance and ability/capacity to take our mixed recycle remains ensure that storage limits on the Nantycaws site are not exceeded. # CWM are currently in the process of procuring more stable long-term arrangements content of our blue bags. # Reintroduction of kerbside restriction policy and associated activities to improve the kerbside contamination of dry mixed recycling.
CRR190017 - Effective Management of demand for Social Care (Adult & Children)				<ul style="list-style-type: none"> Establish effective systems to ensure thresholds for access and eligibility criteria are understood and consistently applied by staff and partners 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 	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								Education & Children Education & Children In order to embed our relationship based approach to delivering social work services practitioners and managers have been looking how to incorporate systemic thinking into family network meetings. A practitioner's group identified practical ways of assisting social workers to develop their systemic thinking including how questions are asked of families to encourage them to reflect on the nature and meaning of relationships in their family- and the impact of these on the child. We are also continuing gradually to increase contributions from adult services such as substance misuse and learning disability to incorporate different perspectives about a family into pod discussions and consequent actions or plans. The 0-25 disability service is now using a systemic approach to practice, having adapted the pod way of working to its particular needs. In addition to the monthly audits of assessments that continue to be undertaken by service managers, the assessment teams also receive feedback from the childcare teams about assessments when cases transfer from one team to another. Attendance at pod discussion when a case is transferring from an assessment team to a childcare team is another opportunity for the assessment team worker to receive feedback on the strengths and areas for development in an assessment. The Family Information Service have ensured families and professionals have been kept up-to-date with services, information, resources and developments. FIS will be providing an overview of their service during two virtual information sessions to be held in July, these are for new members of staff and those wanting an update on how the FIS can support them and their families. FIS continue to link in with different services to provide and share information to parents/carers to support them through a variety of different methods. Since April 2021 the FIS website had 7,451 users, 10,746 sessions and 20,775 pageviews, an increase from previous years. The FIS Facebook, twitter and YouTube channels are continuing to grow and develop, the number of followers and likes on the social media platforms has seen a significant increase. There have been 492 enquiries during the first quarter. FIS enquiry and training modules on Dewis continue to work well. The Dewis team have been improving the database and FIS continue to attend Dewis Development Days. FIS have been continuing to promote Dewis to internal and external partners and liaising closely with the Dewis team. FIS continue to work closely with the different teams within Children's Services to review, Early Years Integration Transformation Programme - Work continues in partnership across the region on developing the Regional Maternity and Early Years Strategy with a plan in place for completion. The Cwm Gwendraeth Pilot Team - continue to deliver support to families within the area via a variety of groups and programmes. We continue to develop the Mid & West Wales (MWW) Regional Adoption as part of the National Adoption Service in line with national, regional and local priorities.

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				<ul style="list-style-type: none"> 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 	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				Substantial 4 Likely 4 Significant 16		<p>We continue to work collaboratively across the region in accordance with the National Fostering Framework (NFF) and will also implement the new arrangements in respect of Special Guardianship Orders.</p> <p>Work continues in the development of a Community Hub for Tyisha. The Children, Families and Community Workstream is tasked with mapping the ward for potential facilities or locations to house the hub and key stakeholders have participated in an exercise on developing the use and purpose of the hub within the community. Via the Holiday Playworks Grant allocation, the potential for developing community based play provision is being piloted for the Summer Holidays.</p> <p>Children's Social Worker caseloads and vacancies are monitored on a regular basis at service management level. As at the end of Qtr. 1, 30th June 2021, there were 5 social work vacancies out of 160 (3.2%). Qtr. 2's figures will be available at the end of September 2021.</p> <p>Communities</p> <p>At the start of the pandemic, we initially saw a decrease in referrals through Delta Wellbeing, due to people wanting to minimise support at home and consequently reduce footfall into their homes. People also made conscious decisions to reduce and cancel their care, due to the fear factor linked to risks surrounding Covid-19.</p> <p>However, as the pandemic has continued we have seen an increase in new referrals as individuals and carers have begun to struggle with lower levels of support. We have seen an overall significant increase in the number of referrals that have been closed at IAA, which is a hugely positive step forward. The development of the Delta Connect programme through which we have been able to maintain regular contact with individuals has allowed people to have the confidence to remain independent at home for longer with the safety net of being able to easily access additional support if needed.</p> <p>A rapid Response Team which operates within Delta Wellbeing has been responding to emergency situations such as falls and has 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>Going forward we are focussing on prevention as a strategic priority to assist with managing the increased demand for services.</p> <p>Despite all of the preventative work that is being undertaken, we have seen significant increases in demand for adult social care since March 2021. There has been an increase in volume and complexity of people requiring assessment and consequent support. This is linked to people not having routine access to health and social care services during the pandemic, as well as people now having confidence to access services again. We are now seeing significant waiting lists for those waiting for assessment as well as waiting lists to access care. We are prioritising all new referrals to make sure those with greatest needs are assessed first, but it is an ongoing challenge to keep pace with the 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 service management level. As at the 31st March 2021, there were 5 social work vacancies (3.3%)</p>
CRR190018 - Failure to deliver a quality Education Service	Substantial 4	Possible 3	High 12	<ul style="list-style-type: none"> Manage the 21st Century School Programme and reduce the number of surplus places with the schools system Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM Raise standards at each key stage 	Head of Access to Education Head of Education and Inclusion Head of Education and Inclusion	Substantial 4	Unlikely 2	Medium 8	Substantial 4 Unlikely 2 Medium 8		<p>The majority of projects within the Band A Programme have been completed. We have recently completed projects at Ysgol Rhys Prichard and Ysgol Llangadog with on site progress at Ysgol Gorslas. Schemes are being progressed for the remaining three projects. With regards to Band B; we have completed the project at Ysgol Pum Heol and on site work is continuing at Ysgol Y Castell. The scheme for Ysgol Pembrey has been approved by Welsh Government and we hope to start on site in the next few months.</p> <p>The impact of failing to deliver a quality Education Service remains substantial. Circumstances have not changed since the last review and therefore the probability remains unlikely.</p> <p>Clear identification of vulnerable pupils and monitoring of their progress continues through the effort of ALN inclusion and ESA work with schools. A new collegiate approach to school improvement ensures a collaborative and streamlined approach to discussions around these pupils. SVLG continue to meet to discuss strategic direction in this field.</p> <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 2020-21 were cancelled. GCSE and A level grades were determined by a range of evidence such as classwork, homework, mock exams and non exam assessments. Therefore we can't compare to previous years. We continue to support and challenge schools to further improve outcomes for all pupils at the end of every stage with a particular emphasis on raising achievement 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 provision and outcomes in collaboration with senior school leaders.</p>

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CRR190019 - Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	Substantial 4	Likely 4	Significant 16	• Support schools to develop and deliver new curriculum	Head of Education and Inclusion / Head of Curriculum and Wellbeing	Substantial 4	Likely 4	Significant 16	Substantial 4	Likely 4	Significant 16	<p>Curriculum design continues in advance of September '22 start. We continue to work constructively with School Improvement, Partneriaeth Regional colleagues and schools to address delays caused by the pandemic. Internal meetings were conducted during the Summer term which are set to continue in the Autumn as part of the design of the new curriculum. We are also looking at how the Regional Learning and Skills Partnership dovetails in. We will continue to dovetail local opportunities for curriculum enrichment and extension with the national architecture with a view towards developing a Carmarthenshire Learner Offer and now need to liaise with key stakeholders to build the concept further.</p> <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. Inclusion Officers continue to support the 10 priorities outlined in the Regional Additional Learning Needs (ALN) Transformation 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 Autumn term. Definitive guidance is required from Welsh Government on funding around ALN.</p> <p>Analysis of future growth requirements for the delegated budget to schools has been completed. Levels of risk continue to be monitored via 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.</p>
				• Support schools to implement ALN reform	Head of Education and Inclusion							
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 	<ul style="list-style-type: none"> Corporate Management Team Corporate Management Team Corporate Management Team Corporate Management Team 	Substantial 4	Possible 3	High 12	Substantial 4	Unlikely 2	Medium 8	<p>All proposals and initiatives must be considered by CMT, this ensures moderating and consistency in approach.</p> <p>Regular reporting to Pre=Cabinet has been introduced - ensuring member oversight Governance groups approve business plans and strategic direction of the companies</p> <p>Company Boards well established - and representation from members</p> <p>Quarterly monitoring of financial position, business plan objectives and Pi's - to shareholder board</p> <p>Teckal requirements regularly monitored</p> <p>Cartrefi Croeso no longer active, its been put into dormancy.</p>
CRR190023 - 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 • Decrease in external funding due to new SPF regimes • Review all services/plan contingencies • Follow advice from Welsh Government and WLGA • Communications with residents and businesses 	<ul style="list-style-type: none"> Economic Development Manager External Funding Manager Economic Development Manager Economic Development Manager Economic Development Manager 	Substantial 4	Possible 3	High 12	Significant 3	Possible 3	Medium 9	<p>Officer / Member Brexit Group meeting are convened after the WLGA's pan Wales EU Transition meetings in order to give up to date feedback to the Group.</p> <p>UK Government announced 2 post EU funding Programmes</p> <p>CCC submitted a package of projects totalling £2.97m under the Community Renewal Fund and submitted 2 major capital investment projects under the Levelling Up fund. No funding announcement from UK Gov the impact of BREXIT upon services is discussed in the Officer / Member Group meetings. The BREXIT Risk Register is updated accordingly, if required CCC officers attend the WLGA EU Transition meetings, which are attended by WG.</p> <p>The CCC website contains up to date info on BREXIT for SMEs and the community</p>

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CRR190025 - 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"> 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 / Property Maintenance Manager Head of Access to Education / Property Maintenance Manager	Catastrophic 5	Possible 3	High 15	Catastrophic 5	Possible 3	High 15	<p>The impact of failing to ensure that Schools do not undertake routine property repair and maintenance using delegated funding or undertake work that is not compliant remains catastrophic. Circumstances have not changed since the last review and therefore the probability remains possible.</p>	As previously noted; a corporate risk bid for a dedicated team to undertake a rolling programme of condition surveys of buildings and schools has been submitted and approved. Surveys to commence once the recruitment exercise has been schools has been submitted and approved. Surveys to commence once the recruitment exercise has been completed by the Environment Department. As previously noted; funding for 2 years has been established and arrangements are in place for the Handyvan Service for schools to be rolled out as soon as possible following a recruitment exercise by the Environment Department. This should significantly reduce this risk once the service commences.
CRR190026 - Ash die back and the risk to public safety	Substantial 4	Probable 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 	Head of Planning Head of Planning Head of Planning Head of Planning	Substantial 4	Likely 4	Significant 16	Substantial 4	Possible 3	High 12	<p>The Council's Ash Dieback project is managing trees on both CCC owned and private land adjacent to the highway. Trees showing at least 50% dieback are identified during regular inspections. If owned by CCC these are removed. If on privately owned land the landowner is informed by letter that these trees may pose a risk. Further guidance is provided in a leaflet, on the Council's website and by the Ash Die Back officer</p> <p>Trees on all CCC managed sites, including schools, are subject to regular inspection as per CCC's Tree Management Strategy. Ash trees that show at least 50% die back are removed.</p> <p>Safe Routes to school are subject to regular inspection, as per the Tree Management Strategy.</p> <p>Chainsaw training continues to be provided for Council operatives specific to Ash die back.</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 	Head of Revenues & Financial Compliance/Director of Corporate Services Head of Revenues &	Catastrophic 5	Possible 3	High 15	Catastrophic 5	Possible 3	High 15	<p>Fraud Risk Register being continuously monitored and fraud testing is incorporated into internal audit reviews</p> <p>MOU between Carmarthenshire and Dyfed Posys Police has been reviewed and checked to be still appropriate</p> <p>FPRs presented to Audit Committee in September 2020 will be revisited and completed by the end of 2021 to ensure that they are still fit for purpose. Any amendmnets will be brought to the Governance & Audit Committee</p> <p>Fraud e-learning being developed</p> <p>Raising awareness process being developed - work ongoing with Communication team</p>	

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					Financial Compliance/Director of Corporate Services								
				<ul style="list-style-type: none"> Effective relations with Dyfed Powys Police 	Head of Revenues & Financial Compliance/Director of Corporate Services								
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 Partneriaeth's leadership courses/programmes Provide Educational Support 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 	Head of Education and Inclusion Head of School Effectiveness Head of School Effectiveness Head of School Effectiveness	Substantial 4	Possible 3	High 12	Substantial 4	Unlikely 2	Medium 8		<p>An 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.</p> <p>All new and acting school leaders are provided with a mentor that has the range of necessary skills and experiences to meet the specific needs of the new leader. The effectiveness of this support is monitored by the ESA and additional support is provided as required.</p> <p>The professional development of leaders across the school is integral to all discussions between schools and their Educational support adviser. This is now more relevant than ever and we focus robustly on succession planning for school leadership, perceiving a potential shortfall in the forthcoming years.</p> <p>The Carmarthenshire Support programme for new and acting headteachers has been constructed in partnership with our school leaders over the last 3 years; this is evaluated annually to ensure that it continues to meet the needs of new and acting headteachers. In 2021-2022 the programme will be offered to school practitioners who may be considering headship in the future, those who are not yet on the "Aspiring Heads" programme / NPQH. The aim is to motivate and upskill practitioners at an earlier stage in order to meet the demand in the future. In addition the Educational Support Advisers provide bespoke support for new and acting headteachers, in line with need, adopting a mentoring / coaching approach as applicable.</p> <p>The Educational Support Advisers are integral to the Headteacher Performance Management processes; timescales have not followed the "normal" pattern during 2020/2021 due to the COVID Pandemic. In addition, training is provided annually for governing bodies so that they gain an improved understanding of the performance management systems. Headteacher support and development underpins all school improvement conversations also, outside of the PM process, with the nature of support changing to meet the different needs of the heads and their schools, for example, financial support in how to develop the Foundation Phase principles.</p>
CRR190029 - Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Substantial 4	Probable 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	Possible 3	High 12		<p>The Council continues to implement the Action Plan contained in the Route towards becoming a Net Zero Carbon Local Authority by 2030</p> <p>An internal audit of the Authority's approach to addressing Net Zero Carbon was reported on in March 2021, which concluded with a High Assurance level and no recommendations. The review covered the controls and procedures in operation for net zero carbon to assess the extent to which the governance arrangements were appropriate, and whether there is adequate transparency, disclosure, and accountability, with clear lines of communication</p> <p>The risk rating has increased because of changes in relation to national policy which may affect public bodies and the deliverability of the Council Plan.</p>
CRR190030 - Coronavirus Risk to business continuity, system failure and service delivery	Catastrophic 5	Likely 4	Significant 20	<ul style="list-style-type: none"> Safe systems of work designed Consultations with TUs e-form developed to deal with redeployment requests L&D Team have developed and are now managing the Redeployment Hub 	Assistant Chief Executive Assistant Chief Executive Assistant Chief Executive	Catastrophic 5	Likely 4	Significant 20	Catastrophic 5	Likely 4	Significant 20		<p>Safe systems of work reviewed in line with WG guidance, however this continues to be a significant risk.</p> <p>Attendance levels affecting service delivery as is our ability to recruit into certain roles e.g. home care and cleaning</p> <p>New recruitment campaign in place.</p> <p>Consideration being given to re-instating Workforce Hub to support critical services, decision required in relation to which non critical services will suspend to provide supply to meet demands.</p>

CARMARTHENSHIRE COUNTY COUNCIL - CORPORATE RISK REGISTER

Risk (Threat to achievement of business objective)	Assessment of Uncontrolled (Assume NO in place)		Risk Current Risk Rating	Controls	Assigned To	Assessment of Current Risk as presented to Governance & Audit Committee - March			Updated Risk Rating August 2021			
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				<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 To work closely with PMP and framework contractors 	Director of Communities Director of Communities Director of Communities Director of Communities Director of Environment							Head of Adult Social Care - Services are updating their business continuity plans and progressing recovery plans where appropriate and where it is safe to do so e.g. Learning Disability day services have reopened and are accommodating very small numbers of individuals following a robust risk assessment. Within Integrated Services alternative models of supporting people are being explored as day services buildings remain closed. Rates of transmission in care homes is negligible and hospital admissions have stabilised. Staff who are redeployed in social care have returned to their substantive roles. Teams are exploring better and new ways of working going forward. We have learnt some valuable lessons during the pandemic which include what we can achieve when we work together within the Council and with our partners. We will build on this as we move forward with our recovery plans, but the systems and processes we developed to manage the pandemic can be quickly reinstated if necessary in the future.
CRR190031 - Failure to comply with the requirements of the Local Government and Elections (Wales) Act	Substantial 4	Possible 3	High 12	<ul style="list-style-type: none"> Public participation strategy being produced Petition scheme being developed In discussions with WG on proposal in the Act 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 Committes - Guidance awaiting from WG - LG engagement will be expected in developinq regulation Webcasting of meetings arrangements in place and work ongoing on developing the arrangements for moving from remote attendance meetings to hybrid meetings. 	Corporate Management Team Corporate Management Team Corporate Management Team Corporate Management Team Corporate Management Team Corporate Management Team	Substantial 4	Possible 3	High 12	Substantial 4	Possible 3	High 12	 <p>Work on developing the public participation, involvement and consultation framework for the Council is under development</p> <p>Two of the controls can be deleted, namely "in discussion with WG on proposal in the Act for webcasting formal meetings" and "remote attendance of members being discussed with WG and Public-" and replaced with new text "Webcasting of meetings arrangements in place and work ongoing on developing the arrangements for moving from remote attendance meetings to hybrid meetings".</p> <p>Work has commneced to ascertain what changes are needed and by when. Changes required in 2021 have been actioned. Further changes will be made in accordance with the Provisions of the Local Government and Elections (Wales) Act 2021 and within the required tinetable.</p> <p>The Council is fully engaged in the discussions relating to the establishment of the CJC and collaborative working with principal councils. Final regulations currently out to consultation.</p>
CRR190032 - Flood - Strategic Risk The effects of more frequent and intense storm-conditions that compromise homes, businesses, essential infrastructure and services REWORDING: The physical effects of more frequent and intense storm conditions that compromise homes, businesses, essential infrastructure and services. This will also include the risk of managing the public's expectation that the Council can completely address, control and mitigate all flood risks reardless of source or	Substantial 4	Probable 5	Significant 20	<ul style="list-style-type: none"> Flood Risk Strategy and FRMPs Community Plans in terms of self-help where practicable Continue to work with our professional partners (as a LLFA) 	Director of Environment Director of Environment Director of Environment	Substantial 4	Probable 5	Significant 20	Substantial 4	Likely 4	Significant 16	 <p>Original wording of the Risk to be amended to provide more details of the risk. Original risk maintained.</p> <p>The risk of flooding a our known flooding hotspots continue to be significant. We continue to promote flood alleviation schemes where appropriate and continue to seek funding from WG to carry out further feasibility to allow the development of business cases. We continue to prioritise work in accordance with our flood risk datasets and continue to implement S19 investigations and action plans as appropriate, whilst working with partner agencies to mitigate against flooding.</p>

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asset owner.				<ul style="list-style-type: none"> 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								
<p>CRR190033 - Flood - Operational Risk</p> <p>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</p> <p>REWORDING: The physical effects of more frequent and intense storm conditions that compromise and stretch our operational ability to respond to widespread and prolonged emergencies both in the immediate response phase and recovery phase of a flood event, whilst also maintaining normal services. This will also include the risk of managing the public's expectation as the Council cannot respond to all requests for help during storm conditions. Response is curtailed by the resources available and the priorities at the time.</p>	Substantial	Probable	Significant	<ul style="list-style-type: none"> WG grants are available to assist with funding of investigation work and capital works <p>REWORDING: Management of the response to a storm event in accordance with our strategic emergency plans, protocols and command structures. Available resources are prioritised according to strategic requirements.</p>	Director of Environment	Substantial	Probable	Significant	Substantial	Likely	Significant	<p>Operational resources are stretched to the limit during a storm event and inevitably the Council cannot respond positively to every request for help. Consequently, the command structures, operation managers and officers will need to be allowed to prioritise and plan responses within the resource available and within the priorities determined by the command structure. Communication of this position will be paramount during storm events. By following command structure protocols and implementing dynamic assessment and prioritisation, this will allow an effective, strategic and appropriate response as taking into account the prevailing circumstances.</p>	
	4	5	20			4	5	20	4	4	16		
<p>CRR190034 - Cyber Risk</p> <p>Such as:</p> <ul style="list-style-type: none"> 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	Likely	Significant	<ul style="list-style-type: none"> Cyber incident response plan Staff awareness training Firewalls Application control on servers Security updates continuously rolled out 	Head of ICT & Policy	Catastrophic	Possible	High	Catastrophic	Possible	High	<p>New data centre has been created within Ammanford with high availability redundant design to help improve recovery time should a cyber attack occur.</p> <p>Further investment into cyber resilience from capital monies including anti-ransomware network monitoring application.</p> <p>Cyber incident recovery plan updated and cyber resilience stocktake report due to go to CMT in October.</p>	
	5	4	20			5	3	15	5	3	15		
<p>CRR190038 - COVID19 - Strategic</p> <p>Increase in levels of anxiety which is directly affecting mental health.</p> <p>Health and wellbeing of staff and the public</p>	Catastrophic	Probable	Significant	<ul style="list-style-type: none"> Provision of support from Occupational Health 	Assistant Chief Executive	Catastrophic	Possible	High	Catastrophic	Possible	High	<p>Roll out of mental health training continuing, however, this remains high risk as we move in the winter months</p>	
	5	5	25			5	3	15	5	3	15		

Update

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CRR190040 - COVID19 - Strategic Availability of Personal Protective Equipment (PPE)	Catastrophic 5	Probable 5	Significant 25	<ul style="list-style-type: none"> Procurement arrangements in place for PPE Central controlled stock arrangements in place 	Director of Communities Director of Communities	Catastrophic 5	Unlikely 2	High 10	Catastrophic 5	Unlikely 2	High 10	<p>Early Market Engagement: PIN notice on Sell2Wales to gather market information. Questionnaire to determine, for example, which Lots suppliers may be interested in, their capacity and non-chemical products currently available and company standards.</p> <p>There is also a good level of stock across key items of PPE to ensure supply is readily available for several months, if there is any potential delay or issue with the supply chain.</p>
CRR190043 - COVID19 - Strategic Financial Implications - loss of income Financial implications - increased costs due to Covid-19 demands and compliance with Cabinet and Welsh Government instructions	Catastrophic 5	Probable 5	Significant 25	<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 Covid-19 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 5	Possible 3	High 15	Catastrophic 5	Possible 3	High 15	<p>The recovery process has been reinstated and council tax collection rates for 2021/22 are in line with pre-pandemic levels in 2019/20. Additionally, WG provided one off funding support in 2020/21, half of which has been set aside in reserves to mitigate a possible ongoing impact to collection rates. There remains a significant uncertainty linked to the end of the furlough scheme, however advice and support is available and provided to those encountering payment difficulties</p>
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 5	Likely 4	Significant 20	<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 and Head of Education and Inclusion Head of Curriculum and Wellbeing	Catastrophic 5	Likely 4	Significant 20	Catastrophic 5	Likely 4	Significant 20	<p>As students were unable to sit final exams, GCSE and A level grades for 2020-21 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. The Leadership Strategic Group continues to implement key actions gleaned from the Self Evaluation Process.</p> <p>The impact of failing to ensure the expected progress and outcomes of all Carmarthenshire learners remains catastrophic. Circumstances are being reviewed constantly and there is still a possibility of further school closures due to the pandemic and therefore the probability remains likely.</p> <p>Over the previous 18 months the pandemic has caused school sites to be closed for long periods prompting a move to distance learning. This represented significant disruption to normality, though schools have tried hard to mitigate as much as possible under changeable circumstances. Blended / hybrid learning could feature more permanently going forward and we continue to plan and develop flexible learning models - to feature as a normal school life in the future, whilst also building further resilience if there are future disruptions to face to face teaching. ECS continues to evolve its COVID response closely mirroring developments to National guidance.</p>
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 5	Probable 5	Significant 25	<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 5	Possible 3	High 15				<p>Recommended that the risk is deleted from the Corporate Risk Register, as it is covered by other corporate covid risks - ie Risk 030 and 049</p>
CRR190049 - COVID19 - Strategic Risk of local business and economy not recovering from the lockdown	Catastrophic 5	Probable 5	Significant 25	<ul style="list-style-type: none"> Financial support to businesses Advice to businesses Support to businesses 	Head of Regeneration Head of Regeneration Head of Regeneration	Catastrophic 5	Likely 4	Significant 20	Catastrophic 5	Likely 4	Significant 20	<p>Economic Recovery Plan with an immediate priority focus of protecting jobs and safeguarding businesses</p> <p>With delivery plan monitored on PIMS and integrated into Corporate Strategy 11 recovery themes Business and Sectors, People and Place RDT - progress reported to RDT (Regeneration Delivery team - Chaired by the Chief Executive)</p> <p>Informal scrutiny from external Business Advisory Group - membership consists of individuals from Carmarthenshire businesses</p>

CARMARTHENSHIRE COUNTY COUNCIL - CORPORATE RISK REGISTER

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				<ul style="list-style-type: none"> Database of local suppliers and traders Robust economic recovery plan to protect jobs and safeguard businesses 	Head of Regeneration Head of Regeneration								
CRR190050 - COVID19 - Strategic Risk of contractor and suppliers failing to deliver projects/schemes. - contractors resources depleted - contract failure - cost increases - sourcing materials	Catastrophic	Likely	Significant	<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	Possible	High	Catastrophic	Possible	High		Due to the impact of Brexit and the recovery of the economy from Covid restrictions, there is evidence of a shortage of the supplies to property and construction sector products. This is leading to price increases which will impact on product and scheme costs as contractors claim for additional costs. These increases are being monitored at scheme and supply level and discussions are ongoing with suppliers and contractors to reduce the impact of these risks.
CRR190051 - COVID19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Substantial	Likely	Significant	<ul style="list-style-type: none"> Recovery Group 	Head of ICT & Policy	Substantial	Possible	High	Substantial	Possible	High		Business planning process for 2022/23 has commenced. Recovery plans will be embedded into these plans. A Challenge process is to be introduced as part of the self assessment requirements. Performance monitoring framework being established.
CRR190056 - Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding (formerly CRR190004)	Catastrophic	Likely	Significant	<ul style="list-style-type: none"> Medium Term Financial Strategy - 5 Year Plan (including efficiency targets) Full County Council Elected Member Engagement on an annual basis to set priorities and allocate the Budget Challenge from Scrutiny Committees Public Consultation regarding budget priorities on an Annual Basis Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council receives fair funding from Welsh Government TIC Programme to identify efficiencies and promote alternative methods of service delivery Workforce Planning to ensure staff resources are planned to match demand Wales Audit Office external challenge and assessment 	Director of Corporate Services/Head of Financial Services Director of Corporate Services/Head of Financial Services Head of Administration & Law Director of Corporate Services/Head of Financial Services Director of Corporate Services/Head of Financial Services Assistant Chief Executive Assistant Chief Executive Director of Corporate Services/Head of Financial Services	Catastrophic	Possible	High	Catastrophic	Likely	Significant		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. The cessation of the hardship scheme presents a very significant financial risk if there is insufficient additional funding to meet the combination of increased ongoing costs and sustained income reduction which will be a legacy of the pandemic for years to come. Added to this is a forecast of the highest inflation (4% CPI) in several decades and possible acute increases in workforce costs from the increase to national insurance combined with WG objective to raise care sector wages above the foundation living wage TIC team continues to work on projects that identify corporate savings. Workforce Planning continues to be an area of concerns, however sessions have now been held with CMT and Heads of Service in a bid to improve this activity.
CRR190057 - Maintain and develop effective Planning Policies	Substantial	Possible	High	<ul style="list-style-type: none"> Local Development Plan (LDP) 	Head of Planning	Substantial	Possible	High	Substantial	Possible	High		LDP Review. Timetable approved by WG. Preferred Strategy consulted upon on time early 2019. Deposit Consultation closed 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.

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CRR190058 - SAC Phosphate & NRW Interim Planning Advice	Substantial 4	Probable 5	Significant 20	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 Director of Environment/Head of Planning	Substantial 4	Probable 5	Significant 20	Substantial 4	Likely 4	Significant 16	Updated control measures to be included moving forward. Identify and triage 'major' applications and those related to the Councils Covid Recovery strategy along with those with grant related potential - identify opportunities for consideration where available. Stakeholder Engagement - Instigate a communication and awareness raising programme reaching out across all sectors to ensure the implications are known and to develop an understanding of shared ownership and solution finding in addressing the issue. Developer and Applicant Guidance - Preparation of a guidance pack for applicants and developers on the type and application of mitigation in relation to proposals impacted by the NRW guidance. Develop a Catchment based Phosphate Calculator - Develop and implement including obtaining NRW endorsement. Calculator would enable the phosphate loading from any given development to be understood and consequential mitigation/compensation schemes to be identifiable. 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. Specialist Legal and Ecological Support - Ensure decision making is supported by robust interpretations of the Council's duties and of the NRW guidance including identifying opportunities to refine the scope of the guidance and our understanding of the types of development that may be permissible. Provide a dedicated and continually refreshed webpage to set out the latest information and any updated guidance. To include also provide guidance for planning applicants, businesses and other interested parties - ensuring support and information is available.
CRR190059 - Meeting statutory planning delivery targets	Substantial 4	Probable 5	Significant 20	Significant 20	<ul style="list-style-type: none"> Strategic Planning Review Group 	Director of Environment/Head of Planning	Substantial 4	Possible 3	High 12				Recommended that the risk is deleted from the Corporate Risk Register, but replaced by additional new risks listed below.
CRR190060 - Critical authority wide IT systems	Catastrophic 5	Likely 4	Significant 20	Significant 20	<ul style="list-style-type: none"> Main server and backup server at different sites Microsoft database SQL expertise in IT department 	Head of ICT & Policy Head of ICT & Policy	Catastrophic 5	Likely 4	Significant 20	Catastrophic 5	Likely 4	Significant 20	There is a significant move to ICT systems being hosted on cloud based solution and these are backed up by those suppliers as part of the contracts entered into.
NEW RISK Effect of COVID-19 & Brexit on recruiting and impact of workforce planning	Catastrophic 5	Probable 5	Significant 25	Significant 25	Revised gradings for homecarers - recruitment hotspot Reviewing wider T&Cs to make post more attractive Other employee benefits to be promoted Workforceplanning workshops with CMT & HoS - Corpropate Priority Reallocating responsibilities within People Managemtn and Social Care to address crisis in hotspot aare = Dom care / REs care and Social workers		Catastrophic 5	Likely 4	Significant 20				Given the circumstances we find ourselvse, which is als shared in public and private sector. The Autjority is pursuing every avenue to recruit and retain staff in these affected areas.To include specific recruitment capaigns for critical areas, application of market supplements where justified and also direct correspondence with WG as this authority along with colleague authorities who are facing similar difficutlies are looking for a potential national solution to the workforce problems. the Trade Unions have been engaged with this issue and are supportive of a sector response to Welsh and National Government. This is a Corporate Priority.
NEW RISK Failure to Implement Audit Wales Review Recommendations into the Authority's Planning Service. (17 recommendations have been made - key areas addressed specifically in	Catastrophic 5	Probable 5	Significant 25	Significant 25	<ul style="list-style-type: none"> Intervention Board and Intervention Assurance Board setup to regularly monitor progress and review performance data via Arcus Global dashboards. Monthly Progress report presented to Preliminary Executive Board. Fortnightly meetings held with respective Executive Board portfolio Members to report on progress. Performance Report presented Quarterly to Planning Committee 	Acting Head of Planning Acting Head of Planning Acting Head of Planning Acting Head of Planning	Significant 4	Possible 3	High 12				Recommended that new risk is added to the Corporate Risk Register.

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<p>***NEW RISK***</p> <p>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)</p>	Substantial	Probable	Significant	20	<ul style="list-style-type: none"> * Establishment of a dedicated team of Development Management staff to focus on 'Major Projects' that support the county's economic recovery plan outputs and aspirations. * Establish a Corporate Major Projects Group comprising council officers representing the range of services involved in development proposals, e.g. Planning, Regeneration, Highways & Legal (but not limited to). Priority focus to be afforded to projects that deliver jobs and growth in support of the Council's economic recovery plan. This will be led by the Head of Regeneration. * Protocol to be developed covering applications for major development projects (schemes above 10 residential units or 1,000 m² of commercial development) – setting out how we will engage with applicants / developers, with clarity and commitment on the process(es) we will adopt to provide a quality and efficient planning process. Protocol will include, and clearly articulate, the programme activities, timescales and responsibilities that will support CCC's protocol and commitment to determine major applications. * Consideration to be given to whether a Planning Performance Agreement (PPA) should be entered into with applicants for major development projects. PPA would set out set out the scope and timetable for pre-application engagement and subsequent submission and determination of the planning application. Possible useful project management tool that would be bespoke to each development, requiring commitment from both parties – applicant and LPA. 	Acting Head of Planning	Substantial	Likely	Significant	4	4	16	Recommended that new risk is added to the Corporate Risk Register.
<p>***NEW RISK***</p> <p>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 timeliness of validation process.)</p>	Substantial	Probable	Significant	20	<ul style="list-style-type: none"> * Planning Hwb to act as a single point of contact for Development Management and Enforcement queries. * Develop, review and implement processes relating to the determination of planning applications. * Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning applications. * Develop a comprehensive suite of performance measures to ensure the Service can be held to account. * Embed robust performance and case management within the Service to ensure effective performance management and improved performance. * Review Scheme of Delegation and Planning Protocol and seek approval at CRWG/Full Council. * 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. * Re-Design and develop a customer focused Planning section within the Corporate website. 		Substantial	Likely	Significant	4	4	16	Recommended that new risk is added to the Corporate Risk Register.
<p>***NEW RISK***</p> <p>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.)</p>	Catastrophic	Possible	High	15	<ul style="list-style-type: none"> * Develop, review and implement processes relating to the timely determination of planning applications. * Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning applications, including the use of EOT. * Standardise and ensure consistent use of EOT letters (where there may be delays in the timely determination of planning applications) including monitoring mechanisms and protocols for the identification of relevant applications. 		Substantial	Possible	High	5	3	12	

Risk (Threat to achievement of business objective)	Assessment of Uncontrolled (Assume NO in place)		Risk	Controls	Assigned To	Assessment of Current Risk as presented to Governance & Audit Committee - March			Updated Risk Rating August 2021			
	Impact	Probability	Current Risk Rating			Impact	Probability	Current Risk Rating	Impact	Probability	Revised Risk Rating	
<p>***NEW RISK***</p> <p>New risk - 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</p>	Catastrophic 5	Probable 5	Significant 25	<ul style="list-style-type: none"> Develop and implement social care recruitment and retention strategy. 	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Substantial 4	Likely 4	Significant 16				<p>We are experiencing significant pressures with recruitment currently both for qualified social workers and unqualified care staff. These pressures are affecting both our in-house services and the wider independent care sector. From a social work perspective, this is impinging on our ability to assess new referrals in a timely way, and from a care perspective our ability to meet new demand particularly for domiciliary care. We are therefore in the process of developing a recruitment and recruitment strategy which will consider the following interventions:</p> <p>Incentivise care staff to work additional hours whilst we attempt to recruit.</p> <p>Consideration of a market supplement where possible to recruit and retain the workforce.</p> <p>Benchmarking of salaries with other Local Authorities and providers to see if we can increase rates to attract the workforce.</p>
<p>***NEW RISK***</p> <p>New risk - 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</p>	Catastrophic 5	Probable 5	Significant 25	<ul style="list-style-type: none"> Support the sector to grow the workforce. Review of all those receiving care to look at opportunities to safely reduce arrangements to release care hours to support others. Ongoing review of those waiting for care to reduce level of care needed. Consideration of temporary placement where appropriate to support those waiting for care. Bridge packages of care wherever possible. 	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Substantial 4	Likely 4	Significant 16				<p>We are experiencing significant pressures with availability of domiciliary care due to staffing availability both in-house and with external providers. The root cause of this appears to be peak holiday period of the summer, Covid isolation and issues with recruiting and retaining staff. As a consequence we have a significant number of people waiting for care in both the community and hospital. Whilst work is ongoing to address the underlying staffing pressures, both through national and local recruitment initiatives, this work will take time. Therefore, the following controls are being progressed:</p> <p>Review of all those either receiving or waiting for care to see whether levels of care can safely be reduced, and care hours released.</p> <p>Considering bridging opportunities to temporarily provide care whilst a long-term provider is sourced.</p>