

**CARMARTHENSHIRE CORPORATE RISK REGISTER**

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190068	Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£38 million), as a consequence of falling investment levels leading to high levels of demand. Increased level of claims.	Director of Environment/Head of Transportation & Highways		
<b>Control Measures</b>				
CRR190068/001	Manage network in accordance with Highways Asset Management Plan adopting a risk based approach in accordance with the National			
CRR190068/002	Continue to present the case for additional investment of capital , grant and revenue. Improve information systems on vulnerable.			
CRR190068/003	Inspection regime and response in line with highways asset management plan in compliance with Highways Maintenance Code of Practice			
<b>Action Items</b>				
	• Proposed new risk for inclusion as a Corporate Risk		Jan-22	

# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190049	Covid19 - Strategic Risk of local business and economy not recovering from the lockdown	Head of Regeneration		

		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190049/001	Financial support to businesses				Significant	Significant	
CRR190049/002	Advice to businesses				25	20	
CRR190049/003	Support to businesses					Catastrophic	
CRR190049/004	Database of local suppliers and traders					Likely	
CRR190049/005	Robust economic recovery plan to protect jobs and safeguard businesses						
<b>Action Items</b>							
<ul style="list-style-type: none"> <li>We are agents for the Welsh Government Initiative for Business Grants. Progressive Procurement work-stream is working through recommendations in the CLES report to support Community Wealth building in the County. Working together with colleagues in Economic Development we are looking at our tender processes and general supplier engagement. The hardship Covid-19 fund supports Business Retail Leisure Rate Relief, non-Covid element of £27.7 million (all Wales Figure).</li> <li>January 2022 – Continue to deliver the Economic Recovery Plan and report outputs directly to RDT.</li> </ul>		Jan-22					
<p>Cardiff University is finalising the Local Innovation Strategy for Carmarthenshire and this will be reported to the Business Advisory Group. The risk remains the same as we have to deliver the Recovery Plan within a 2 year timeframe.</p>		Jan-22					

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190030	Coronavirus - Risk to business continuity, system failure and service delivery	Director of Communities		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190030/006	Safe systems of work designed		Significant	Significant
CRR190030/007	Consultations with TUs		20	20
CRR190030/008	e-form developed to deal with redeployment requests			Catastrophic
CRR190030/009	L&D Team have developed and are now managing the Redeployment Hub			Likely
CRR190030/001	Services are updating their business continuity plans, with ongoing review carried out.			
CRR190030/002	Regional planning group in place with other public sector organisations			
CRR190030/003	Risks will be managed service by service daily monitoring			
CRR190030/004	Service specific plans prepared - assessing impact of 10%/20%/30% staff sickness			
CRR190030/005	Identify where there may be potential to free up capacity in some areas,			

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> <li>Safe systems of work reviewed in line with WG guidance and business continuity plans in place; currently being reviewed and updated. Regional group continues to meet to address business continuity issues and areas of high risk. Risk continues to be monitored via Social Care Gold, and any mitigating action taken as a consequence. Staff absence levels affecting service delivery as is our ability to recruit into certain roles e.g. care staff and social work. Service need consequently being addressed on a risk assessed basis. New recruitment and retention plan in place in relation to social care roles. Workforce Hub has been reinstated to support critical services. Absence system updates can now provide updates in terms of live absences and areas of concern, Recruitment – streamlined processes, and new software system to be developed.</li> </ul>	Jan-22			

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190061	Effect of Covid-19 and Brexit on recruiting and impact of workforce planning	Assistant Chief Executive		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190061/001	Revisited gradings for homecarers - recruitment hotspot		Significant	Significant
CRR190061/002	Reviewing wider T&Cs to make post more attractive		25	20
CRR190061/003	Other employee benefits to be promoted			Catastrophic
CRR190061/004	Workforce planning workshops with CMT & HoS - corporate priority			Likely
CRR190061/005	Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area			

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> <li>January 2022 – remains a significant risk to the Council. Impact of Brexit ongoing. Care sector particularly problematic. Additional resources funded by Social Care to support the overall recruitment process – comes to an end in March 2022 – this is a concern so Communities Department to consider ongoing funding arrangements. There are temporary relaxations around visas for European workers, so we are looking at Hong Kong Scheme to see how we take advantage of these relaxations (longer term piece of work to alleviate pressures – will need resourcing).</li> </ul> <p>In terms of Employee Benefits – the new Reward Hub is about to go live – this will sit within a suite of benefits which could also help to attract applicants.</p> <p>We have revamped our Jobs Page to improve the candidate experience and are currently out to tender for a new recruitment system – this will improve the overall candidate experience.</p> <p>Workforce Planning workshops went ahead with CMT / Heads of Service – outcomes of these workshops now need to be included in departmental Business Plans to address any succession planning concerns or skills gaps.</p> <p>Workforce planning data available for managers, next step managers to consider different paths forward to address the workforce planning issues.</p>	Jan-22			
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# Carmarthenshire Corporate Risk Register

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
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	Director of Education & Children Services		
<b>Control Measures</b>				
CRR190046/001	We will work closely with schools to monitor wellbeing, progress and outcomes of all learners			
CRR190046/002	We will plan for seamless transition from delivery to distance learning when required for all learners			
<b>Action Items</b>				
	<ul style="list-style-type: none"> <li>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.</li> </ul> <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 equivalent to or better than recent years.</p> <p>The Leadership Strategic Group continues to implement key actions gleaned from the Self Evaluation Process.</p> <p>The School Improvement Team have been re-engaging with schools during the Autumn term to monitor and evaluate the quality of teaching and learning. This process continues into the Spring term with Education Support Advisors supporting individual schools with individual issues.</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 it's COVID response closely mirroring developments to National guidance.</p> <p>Schools will be maximising the impact of the RRRs grant (Recruit, Recover &amp; Raise) with a clear focus on ensuring appropriate provision to support skills delivery of pupils impacted by the pandemic. The impact of this grant will be monitored by school improvement.</p>	Jan-22		


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Manager

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190056	Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding (formerly CRR190004)	Director of Corporate Services/Head of Financial Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190056/001	Medium Term Financial Strategy - 5 Year Plan	Significant	Significant	
CRR190056/002	Full County Council Elected Member Engagement on an annual basis	20	20	15 
CRR190056/003	Challenge from Scrutiny Committees		Catastrophic	5
CRR190056/004	Public Consultation regarding budget priorities on an Annual Basis		Likely	
CRR190056/005	Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council			
CRR190056/006	TIC Programme to identify efficiencies and promote alternative methods of service delivery			
CRR190056/007	Workforce Planning to ensure staff resources are planned to match demand			
CRR190056/008	Wales Audit Office external challenge and assessment			
Action Items				
<ul style="list-style-type: none"> <li>January 2022 - most positive provisional settlement in recent years at 9% plus however, inflationary and inescapable pressures are also at unprecedented levels. Budget strategy assumes pay awards and inflation at 4% for 2022/23 with an additional contingency of £2 million added to base budget. However, risk surrounding Covid-19 hardship scheme is too large to fully mitigate. Future savings identification enhanced through independence external challenge. Pending confirmation of complete grants information in final settlement, Communities Department budgets increase £13m, Education &amp; Children Services Department £11m increase.</li> </ul>	Jan-22			

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Manager

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190066	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.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190066/001 Develop and implement social care recruitment and retention strategy.		Significant 25	Significant 20 Substantial Probable	16  4

Action Items	Review Date
<ul style="list-style-type: none"> <li>We continue to experience 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 implementing a recruitment and retention strategy for both care staff and social work staff. Since the last update, we have offered social workers in key areas where we are experiencing recruitment and retention difficulties a market supplement. We have also secured agency support to help supplement some of the social work and care staff gaps. Over the next few months, we will be looking at options to support social work career progression as a way to effectively retain and attract staff as well as a demand and capacity exercise to ascertain if our establishment is sufficient to deliver against current and future projected demand. In the meantime, we continuing to risk assess those waiting for social work assessment to ensure that those with the highest level of need are prioritised first. The inability to recruit and retain Approved Mental Health Professionals means that there is a risk we will be unable to fulfil our statutory responsibilities. From a care staff perspective, we are continuing to proactively recruit new staff with an aggressive recruitment campaign and are developing career pathways for care staff to improve retention, but we are not currently recruiting at a level over and above the numbers leaving the service.</li> </ul>	Jan-22


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Manager

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190067	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.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190067/001 Support the sector to grow the workforce.		Significant	Significant	
CRR190067/002 Review of all those receiving care to look at opportunities to safely reduce arrangements to release care hours to support other		25	20	16 
CRR190067/003 Ongoing review of those waiting for care to reduce level of care needed.			Substantial	4
CRR190067/004 Consideration of temporary placement where appropriate to support those waiting for care.			Probable	
CRR190067/005 Bridge packages of care wherever possible.				

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> <li>We are experiencing significant pressures with availability of domiciliary care due to staffing availability both in-house and with external providers. As a consequence we have a significant number of people waiting for care in both the community and hospital, although the numbers waiting in hospital has reduced and many of those waiting at home are now being bridged by some form of alternative care as an interim measure. Whilst work is ongoing to address the underlying staffing pressures, both through national and local recruitment initiatives, this work will take time.</li> </ul> <p>Therefore, the following controls continue to be 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. In addition, we are risk assessing all those waiting for care so we can prioritise those waiting when hours become available. Considering bridging opportunities to temporarily provide care whilst a long-term provider is sourced. Supporting those waiting in hospital for care to consider temporary residential placements where possible.</p>	Jan-22			




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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190032	<p>Flood - Strategic Risk</p> <p>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 regardless of source or asset owner.</p>	Director of Environment		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190032/001 Flood Risk Strategy and FRMPs		Significant	Significant	
CRR190032/002 Community Plans in terms of self-help where practicable		20	16	20 
CRR190032/003 Continue to work with our professional partners (as a LLFA)			Substantial	-4
CRR190032/004 S19 Reports and action plans			Likely	
CRR190032/005 Pro-active maintenance programme for flood assets				
CRR190032/006 Making more use of contemporary flood data and information from partner agencies				
CRR190032/007 SAB for future development and TAN 15 compliance				
CRR190032/008 Effective communication strategy				

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> <li>January 2022 –update (Ainsley Williams, Daniel John and Ben Kathrens)</li> </ul> <p>No change to current risk rating.</p> <p>The Flood Defence &amp; Coastal Protection business unit are continuing to develop a pipeline of capital schemes, focusing on those communities at greatest risk as detailed in the Flood Risk Management plan. The next stage will need to include the development of resource resilience to realise the grant funding potential, whilst not compromising the ability to deliver on current activities. All Council flood defence assets will continue to be inspected annually and a programme of upgrades and repairs is being developed for 2022/23.</p> <p>An Emerging Risk in this area is TAN15. While delayed for 18-month, the new WG planning policy guidance TAN15, development and flood risk, and new associated flood maps, will place additional expectation to provide mitigation and defences as communities see their flood risk increase.</p>	Jan-22			


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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190033	<p>Flood - Operational Risk</p> <p>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>	Director of Environment		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<p>CRR190033/002 Management of the response to a storm event in accordance with our strategic emergency plans, protocols and command structures.</p>		<p>Significant</p> <p>20</p>	<p>Significant</p> <p>16</p> <p>Substantial</p> <p>Likely</p>	<p>20</p> <p>-4</p> 
<p><b>Action Items</b></p> <ul style="list-style-type: none"> <li>January 2022 update (Ainsley Williams, Daniel John and Ben Kathrens)</li> </ul> <p>No change to current risk rating.</p> <p>A corporate position on our response to incidents has been developed. The next stage will be to develop a priority schedule with an understanding of what critical infrastructure, highways and communities would be afforded operational resources and in what priority order. A budget has been identified to manage these risks each year and a review will be undertaken of the out of hours flood incident management response.</p>	Jan-22			

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190063	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 )	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190063/001	A dedicated officer and support staff have commenced work on 'Major Projects' that support the county's		Significant	Significant
CRR190063/002	Establish a Corporate Major Projects Group comprising council officers representing the range of services		20	16
CRR190063/003	Protocol to be developed covering applications for major development projects			Substantial
CRR190063/004	Consideration to be given to whether a Planning Performance Agreement (PPA) should be entered into with applicants			Likely

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> <li>January 2022 –update Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability.</li> </ul> <p>No change to current risk rating.</p> <p>Control measure updates CRR190063/001 – Wording to change to: "A dedicated officer and support staff have commenced work on 'Major Projects' that support the county's Economic recovery plan outputs and aspirations" CRR190063/003 – Protocol has been drafted and has been agreed by CMT. As it's a procedural document rather than policy it does not require further approvals. CRR190063/004 – Considerations is being given to the resource implications of implementing a Planning Performance Agreement (PPA) with applicants for major development projects.</p> <p>New Head of Place and Sustainability appointed and commenced in post January 2022 Planning committee receive quarterly performance report. Pre Cabinet monthly update repor.t</p>	Jan-22			
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Manager

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date		
CRR190064	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. )	Head of Place & Sustainability				
<b>Control Measures</b>						
			<b>Review Date</b>	<b>Uncontrolled Risk Rating</b>		
				<b>Current Risk Rating</b>		
				<b>Previous Rating</b>		
CRR190064/001	Planning Hwb to act as a single point of contact for Development Management and Enforcement queries.			Significant	Significant	
CRR190064/002	Develop, review and implement processes relating to the determination of planning applications.			20	16	
CRR190064/003	Develop, review and implement protocols and policies to ensure improved consistency				Substantial	
CRR190064/004	Develop a comprehensive suite of performance measures to ensure the Service can be held to account.				Likely	
CRR190064/005	Embed robust performance and case management within the Service					
CRR190064/006	Review Scheme of Delegation and Planning Protocol and seek approval at CRWG/Full Council.					
CRR190064/007	To focus on positive recruitment and retention practices to motivate and sustain the workforce					
CRR190064/008	Re-Design and develop a customer focused Planning section within the Corporate website.					
<b>Action Items</b>						
<ul style="list-style-type: none"> <li>January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability.</li> </ul> <p>No change to current risk rating.</p> <p>Control measure updates CRR190064/002 and 003 – Revised processes are continuing to be developed and implemented in the determination of planning applications services. (e.g. progress on producing protocols for validation, consultation and publicity of applications).</p> <p>CRR190064/004 and 005 – Planning service and case management indicators are being prepared and quarterly performance reports are being prepared for consideration by divisional SMT.</p> <p>CRR190064/006 - Revised Scheme of Delegation and Planning Protocol was reported to CRWG on 5th January 2022 and will be reported to Full Council on 19th January for final approval. CRR190064/007 – A new Head of Place and Sustainability commenced at the start of January 2022. Key posts have been filled temporarily and the section will go through a full workforce planning review in the coming months. CRR190064/008 – Development work is continuing on the Corporate website in conjunction with the web development team.</p>			Jan-22			

# Carmarthenshire Corporate Risk Register

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190016	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 Governments Beyond Recycling national strategy	Head of Waste & Environmental Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190016/001 Maintain current provision and infrastructure for recycling		Significant	Significant	
CRR190016/002 Continue education and awareness activity to improve participation		20	16 Substantial Likely	

Action Items	Review Date
<ul style="list-style-type: none"> <li>January 2022 update (Ainsley Williams and Daniel John)</li> </ul> <p>No change to current risk rating.</p> <p>The current statutory target for 2021/22 is 64%, with the next specific statutory target being 70% by 24/25. The measures introduced since April 2019 have meant that the Council has exceeded the 64% statutory target thus far, but the effects of the CWM MRF fire could prove to be a setback in performance terms. Following the fire at Nantycaws and the necessity in sourcing alternative recycling treatment suppliers there is an increasing likelihood of target failure this year. The Welsh Government have been made aware of our current performance and we are engaged with them on this matter. The adoption of the future waste strategy will be a long-term mitigation of this risk and the WG are supportive of this direction of travel. We have also reintroduced our kerbside restriction policy and recycling contamination process to support with the education and enforcement of contraventions to our service policies. This action should improve our performance.</p>	Jan-22

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190019	Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	Director of Education & Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190019/001	Lead the TIC Schools project, working with colleagues and schools to identify significant savings as set by the County Council		Significant 16	Significant 16 Substantial Likely	
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Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> <li>The impact of failing to ensure that schools effectively manage their resources and respond to the challenges of reduced funding remains substantial. Circumstances have not changed since the last review and therefore the probability remains likely. 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. 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."</li> </ul>	Jan-22			
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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Environment/Head of Place and Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190058/001	Identify and triage "major" applications and those related to the Council's Covid Recovery Strategy	Significant	Significant	
CRR190058/002	Lobby and work with WG/NRW to get clarity around the scope of the requirements	20	16	20 
CRR190058/003	Stakeholder Engagement -		Substantial	-4
CRR190058/004	Developer and Applicant Guidance -		Likely	
CRR190058/005	Develop a Catchment based Phosphate Calculator -			
CRR190058/006	Specialist Legal and Ecological Support -			
CRR190058/007	Provide a dedicated and continually refreshed webpage to set out the latest information and any updated guidance.			
CRR190058/008	Collaborate across sectors on developing an understanding of the issues and in establishing solution based approaches.			

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> <li>January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability.</li> </ul> <p>No change to current risk rating.</p> <p>Control measure updates CRR190058/001 – “Major” applications are being triaged on an on-going basis as applications are received.</p> <p>CRR190058/002 – The Division is working with NRW to develop new guidance in this area and the Forward Planning Manager chairs a national group. CRR190058/003 - The first stakeholder event was held in October 2021 to start to set up a Stakeholders’ forum. CRR190058/004 - The guidance pack has been developed and implemented, which is seen an exemplar to roll out across Wales. CRR190058/005 – Work on the catchment-based Phosphate Calculator is reaching a conclusion and will be implemented by the end of February 2022. CRR190058/007 - Development work is continuing on the Corporate website in conjunction with the web development team.</p>	Jan-22			
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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
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	Head of ICT & Policy		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190034/001 Cyber incident response plan		Significant	High	
CRR190034/002 Staff awareness training		20	15	
CRR190034/003 Firewalls			Catastrophic	
CRR190034/004 Application control on servers			Possible	
CRR190034/005 Security updates continuously rolled out				
Action Items				
<ul style="list-style-type: none"> <li>January 2022 - Anti-ransomware solution has been deployed to detect and stop encryption of files during a ransomware attack. Phase 2 of our phishing campaign is due to start in February to raise awareness of phishing attacks which can lead to more intrusive malicious activity. Our Cyber stocktake and CIRP Report has been taken to CMT on 25th November and approved.</li> </ul>	Jan-22			



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Manager

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date	
CRR190050	Covid19 - Strategic Risk of contractor and suppliers failing to deliver projects/schemes, because of macro-economic conditions and disruption to international logistics. - contractors resources depleted - contract failure - cost increases - sourcing materials	Director of Environment			
Control Measures					
		Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190050/001	Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.		Significant	High	
CRR190050/002	Project delivery aligned to changes in Covid risk with contractors managing health and safety risk in accordance with		20	15 Catastrophic	
CRR190050/003	Undertake regular financial checks on suppliers.			Possible	
Action Items					
	<ul style="list-style-type: none"> <li>January 2022 - Formal Process of authorisation has been followed to variation of contract terms where necessary. We have also modified contracts through extensions where the market place is volatile to allow it to hopefully stabilise before we go out to tender in some areas. If unable to manage capital schemes within the escalating costs, the capital programme would need to be critically reviewed to identify what uncommitted projects could be deferred / removed.</li> </ul>	Jan-22			

**Carmarthenshire Corporate Risk Register**

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

<ul style="list-style-type: none"> <li>January 2022 –update (Director of Environment and Stephen Pilliner)</li> </ul> <p>Proposed that the risk description be modified to reflect and include “because of macro-economic conditions and disruption to international logistics”.</p> <p>No change to current risk rating.</p> <p>Control measure updates Proposed that control measures wording to be amended to :</p> <ul style="list-style-type: none"> <li>Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.</li> <li>Project delivery aligned to changes in Covid risk with contractors managing health and safety risk in accordance with risk assessments safe systems of work and Wales Govt. Guidance.</li> <li>Undertake regular financial checks on suppliers.</li> </ul> <p>Supporting information included below :</p> <p>The material price index for ‘All Work’ increased by 24.5% in October 2021 compared to October 2020and by 1.0% compared to September 2021. (Source : ONS Monthly statistics – Building materials and components)</p>	<p>Jan-22</p>					
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# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190038	Covid19 - Strategic Increase in levels of anxiety which is directly affecting mental health. Health and wellbeing of staff and the public	Assistant Chief Executive		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190038/001 Provision of support from Occupational Health		Significant 25	High 15 Catastrophic Possible	

Action Items	Review Date
<ul style="list-style-type: none"> <li>January 2022 – IN TERMS OF OUR OWN STAFF we look to our own Managers to provide staff with wellbeing support. We also hold dedicated events, provide guidance, advice, training and support for Managers to manage mental health in the workplace as well as general wellbeing support. We have a raft intervention available e.g. Wellbeing events held, Mental Health First Aid, Managing Mental Health. Corporately we are not picking up trends in terms of covid related anxiety, however the wellbeing of our staff remains a high priority and mental health continues to be one of the key reasons for absence. With the relaxation of restrictions which will see more staff returning to the workplace we could see some of our staff experiencing anxiety. Increase in (non-covid) absence figures seen in Q3 – which does have an impact on the staff to deliver the services.</li> </ul> <p>In work poverty is a noted area of concern and concerns around. Increase in OH referrals and GP referrals having an impact on this as well</p>	Jan-22

# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190025	Schools do not undertake routine property repair and maintenance using delegated funding or undertake work that is not compliant	Head of Access to Education		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190025/001	Building condition surveys and reports to be reinstated		Significant	High	
CRR190025/002	Risk Management bid to be considered to fund urgent building condition surveys		25	15 Catastrophic Possible	

Action Items	Review Date
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<ul style="list-style-type: none"> <li>January 2022 – Property Maintenance Manager update No change to current risk rating.</li> </ul> <p>CRR190025/001 – Recruitment is continuing to recruit building surveyors via People Management. Following recruitment, building surveys will be undertaken for all Council buildings, including schools. Property is evaluating a data capture and reporting system for building surveys which should be procured in the next couple of months.</p>	Jan-22
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# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
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)	Head of Revenues & Financial Compliance/Director of Corporate Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190027/001 Anti-Fraud & Anti-Corruption Strategy		Significant	High	
CRR190027/002 Whistleblowing Policy		20	15	
CRR190027/003 Financial Procedure Rules			Catastrophic	
CRR190027/004 Code of Conduct - Members & Officers			Possible	
CRR190027/005 Participation in the National Fraud Initiative Exercise				
CRR190027/006 Dedicated Fraud Investigation Officer dealing with Revenue & Benefit Frauds				
CRR190027/007 Counter Fraud proficiency within the Internal Audit Team				
CRR190027/008 Effective relations with Dyfed Powys Police				
Action Items				
<ul style="list-style-type: none"> <li>January 2022 - Fraud Risk Register being continuously monitored and fraud testing in incorporated into internal audit reviews. MOU between Carmarthenshire and Dyfed Powys Police has been reviewed and checked to be still appropriate</li> <li>Updated Financial Procedure Rules will be presented to Audit Committee by mid 2022 to ensure that they are still fit for purpose. Any amendments will be brought to the Governance &amp; Audit Committee</li> <li>Fraud e-learning being developed</li> <li>Raising awareness process being developed and work is ongoing with Communication team.</li> <li>The Whistle-blowing policy has been slightly amended and has been adopted by Standards Committee. A Whistle-blowing update briefing is scheduled on the 8th February 2022 to all Senior Officers.</li> </ul>	Jan-22			

# Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
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	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190043/001	Recovery of Council Tax & NNDR whilst being sensitive to the current situation		Significant	High	
CRR190043/002	Recovery of Housing Rent		25	15 Catastrophic Possible	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> <li>January 2022 - Council Tax collection remains stable however, commercial income loss continues to be a considerable risk going forward due to the impact of Covid-19. We have set aside £1 million in next years budget for mitigating loss. Currently financial implications are covered by the hardship grant. Control Measure - CRR190043/003 Exceptional procurement purchases due to Covid-19 must be signed off by Section 151 Officer is no longer applicable as emergency powers have been suspended so this control measure has been withdrawn.</li> </ul>	Jan-22			

# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190051	Covid19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Chair Silver Recovery		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190051/001 Silver Recovery Group  Performance Management Framework quarterly reporting & monitoring to CMT		Significant  16	High  12 Substantial Possible	


Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> <li>January 2022 - Business planning process for 2022/23 nearing completion. Engagement and Assurance sessions held with each DMT to support self-assessment of performance and embedding of corporate priorities including pandemic legacy. Performance Management Framework agreed and a new, cross-cutting quarterly performance monitoring process also introduced in November 2021 which embeds service, financial and risk management elements.</li> </ul> <p><b>Silver Recovery - Aims &amp; Objectives (post 22/12/2021):</b></p> <ul style="list-style-type: none"> <li>➤ Ensure the wellbeing and safety of staff and the public</li> <li>➤ Restore and better community resilience</li> <li>➤ Rebuild and restore economic and public confidence</li> <li>➤ Manage and react to Covid transmission rate changes</li> <li>➤ Review and adapt the delivery of services to ensure prompt response to changes in new regulations and lockdowns.</li> <li>➤ Ensure Risk Assessments and Safe Working Practices are in place and updated to support any changes to the delivery of local authority services</li> <li>➤ Provide clear, timely information to members of the public and staff</li> <li>➤ Supporting stakeholders and partners</li> <li>➤ Ensure clear governance around decision making</li> <li>➤ Connect between Gold Command and front line services</li> <li>➤ To ensure financial resilience of the Authority</li> <li>➤ Maximise the resilience of key staff groups in essential services</li> <li>➤ Review and recommend movement of resources to meet demand</li> </ul>	Jan-22			

# Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date		
CRR190060	Critical Authority wide IT systems	Head of ICT & Policy				
<b>Control Measures</b>						
			<b>Review Date</b>	<b>Uncontrolled Risk Rating</b>	<b>Current Risk Rating</b>	<b>Previous Rating</b>
CRR190060/001	Main server and backup server at different sites			Significant	High	
CRR190060/002	Microsoft database SQL expertise in IT department			20	12 Substantial Possible	15  -3
<b>Action Items</b>						
<ul style="list-style-type: none"> <li>January 2022 - New data centre and SQL cluster has been created within Ammanford with high availability and redundancy between our two data centres. In the event of any failure/disruption at either of our Carmarthen or Ammanford Data Centres, a large proportion of systems/network and applications will no longer be impacted and will continue to function. Risk still remains HIGH as if both data centres are impacted simultaneously (possible), that risk still remains for wide disruption. Further mitigation and driver as part of our wider digital transformation strategy of moving systems to supplier cloud will further mitigate and improve business continuity as well as on-going annual testing/planning by ICT Services of impact scenarios between our data centres to further minimise impact and optimise speed of recovery of systems in the event of any disruption.</li> </ul>			Jan-22			



# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190031	Failure to comply with the requirements of the Local Government and Elections (Wales) Act	Corporate Management Team		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190031/001 Public participation strategy being produced		High	High	
CRR190031/002 Petition scheme being developed		12	12	
CRR190031/005 Collaborative working with Principal councils - awaiting further guidance from WG			Substantial	
CRR190031/006 Corporate Joint Committees -			Possible	
CRR190031/007 Webcasting of meetings arrangements in place and work ongoing on developing the arrangements				
Action Items				
<ul style="list-style-type: none"> <li>January 2022 - Advert is currently out to recruit for lay members. Shortlisting and interview arrangements are confirmed.</li> </ul>	Jan-22			
<ul style="list-style-type: none"> <li>January 2022 Petition scheme and democratic Public Participation Strategy drafted and will be discussed at Constitutional Review Working Group for recommendations to be made for Council for adoption.</li> </ul>	Jan-22			
Webcasting arrangements compliant with legal requirements and equipment installed ready to move to hybrid meetings as and when coronavirus restrictions advise physical attendance at meetings appropriate.				
Adverts for further lay members for the Governance and Audit Committee to meet one thirds lay members composition currently out for applications, with closing date of 21st January.				
First meeting of the South West Wales CJC arranged for January 2022. Further Welsh Government consultation documents expected on various aspects of CJs.				



<ul style="list-style-type: none"> <li>January 2022 - A Joint committee has been formally established, with supporting governance and advisory boards. Each project within the city deal has its own local project board.</li> </ul> <p>A Joint Committee agreement has been implemented to support the four regional authorities in the discharge of their obligations to one another, the Welsh Government and the United Kingdom Government ("UK Government") and to promote and facilitate projects funded under the Swansea Bay City Deal in order to further the growth of the Swansea Bay City Region. The Councils have accordingly agreed to enter into this Agreement to document and regulate their respective rights and obligations to each other and to enable the Councils to work together to establish and to participate in a Joint Committee.</p> <p>A five year operational budget has been compiled and was approved by the Joint Committee on 9th July 2020.</p> <p>The SBCD implement evaluation and monitoring arrangements to support the delivery of the portfolio, these include a portfolio level risk register, supported by project level risk registers, integrated assurance action plan, quarterly monitoring updates and highlight report, quarterly financial monitoring update, forward works programme and COVID-19 impact risk assessments. All of the nine SBCD projects are now engaged in delivery and have been formally approved by both UK and Welsh Government.</p> <p>The SBCD portfolio is subjected to an independent external audit by Audit Wales, an unqualified opinion on the latest financial statements (2020/21) was issued. An internal Audit Review was conducted during January 2021 with a substantial level of assurance issued - 'There are no or few weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, and they would either be unlikely to occur or their impact is not likely to affect the achievement of the SBCD objectives'. A further internal audit review has been approved commencing in January 2022.</p> <p>As part of the assurance arrangements for the SBCD Portfolio, an independent Gateway 0 Review was undertaken in July 2021. The Review was undertaken by an independent, external team in accordance with the Welsh Government Integrated Assurance Hub Guidelines. Seventeen 'conversations' were held with stakeholders between 19th-21st July together with a workshop session with the four local authority Leaders. The SBCD Portfolio received an Amber-Green Delivery Confidence Assessment (DCA) rating.</p> <p>Specific portfolio risks recorded and reviewed in the SBCD Risk Register including legal, operational and financial risks. The risk register is updated quarterly and reported to governance boards and committees with appropriate mitigation or control actions.</p> <p>SBCD manage the grant award inline with the funding conditions set out by Governments and inline with discernment conditions outlined within the SBCD Joint Committee agreement, programme and project funding agreements and Carmarthenshire County Council's financial regulations and appropriate adopted financial strategies.</p>	<p>Jan-22</p>					
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# Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190023	The post Brexit Settlement	Economic Development Manager		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190023/005	Decrease in external funding due to new SPF regimes		Significant	High	
CRR190023/001	Officer/Member Working Group with representations from all council services		16	12	
CRR190023/002	Review all services/plan contingencies			Substantial	
CRR190023/003	Follow advice from Welsh Government and WLGA			Possible	
CRR190023/004	Communications with residents and businesses				

### Action Items

<ul style="list-style-type: none"> <li>January 2022 – The UK Government announced in November 2021 that the Authority had been successful in 11 out of 12 CRF bids, totalling £2.97m. Also the UK Government announced that both Levelling Up bids were successful. The risk levels remain the same however as we have to deliver both CRF and Levelling Up projects within a tight timeframe.</li> </ul> <p>Brexit Member / Officer group meets within two weeks of the WLGA Transition Co-ordinators group meetings. Regular reporting to CMT. The Brexit Risk Register is currently being reviewed by the Brexit Officer/Member Group.</p> <p>Continuing to work closely with the WLGA on BREXIT. CCC website updated regularly with information from Welsh Government.</p>	Jan-22				
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# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
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	Director of Corporate Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190005/005 Recovery Group reviewing financial position		Significant	High	
CRR190005/006 Reprioritisation of funding to best address the current liabilities		16	12	16 
CRR190005/007 Reprioritisation of capital programme			Substantial	-4
CRR190005/001 Project Management Training			Possible	
CRR190005/002 Grant Funding Bodies Guidance Briefings and Training				
CRR190005/003 Grants Panel				
CRR190005/004 Grants Manual / CPRs / FPRs				
Action Items	Target Date			
<ul style="list-style-type: none"> <li>January 2022 - Secured substantial funding from UK Government, it will be imperative we ensure there are robust processes in place to comply with the terms and conditions.</li> </ul>	Jan-22			

# Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)	Director of Corporate Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190015/001 Strategic Asset Steering Group		Significant	High	
CRR190015/002 Project Management Tool Kit		16	12	
CRR190015/003 Project Management Training			Substantial	
CRR190015/004 Long term Treasury management / loan funding			Possible	
Action Items				
<ul style="list-style-type: none"> <li>January 2022 - There has been one particular project that has been a burden and we have re-prioritised the capital budget.</li> </ul>	Jan-22			

**Carmarthenshire Corporate Risk Register**

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190057/001	Development of an effective Local Development Plan (LDP)	High	High	
CRR190057/002	Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective	12	12	
CRR190057/003	Develop policy interventions to ensure the effective implementation of the adopted LDP including use of LDO's etc enabling		Substantial	
CRR190057/004	To continue the preparation of the Revised LDP reflecting of the Councils corporate and strategic objectives whilst having		Possible	
CRR190057/005	Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement.			
CRR190057/006	To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.			

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating

**Carmarthenshire Corporate Risk Register**

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

<ul style="list-style-type: none"> <li>January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability.</li> </ul> <p>Wording of Risk title changed from “Maintain and develop effective Planning Policies” to “Maintain and develop an effective Local Development Plan”</p> <p>No change to current risk rating.</p> <p>Control measure update CRR190057/001 – Wording of Control measure to change to “Development of an effective Local Development Plan”</p> <p>Additional new control measure proposed CRR190057/002 - Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective implementation. CRR190057/003 - Develop policy interventions to ensure the effective implementation of the adopted LDP including use of LDO's etc enabling policy approaches to be agile and adaptable to changes in context and strategic objectives. CRR190057/004 - To continue the preparation of the Revised LDP reflecting of the Councils corporate and strategic objectives whilst having appropriate regard to national policy and legislation. CRR190057/005 - Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement. CRR190057/006 - To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.</p>	<p>Jan-22</p>					
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# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190065	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.)	Head of Place & Sustainability		
<b>Control Measures</b>				
			<b>Review Date</b>	<b>Uncontrolled Risk Rating</b>
				<b>Current Risk Rating</b>
				<b>Previous Rating</b>
CRR190065/001	Develop, review and implement processes relating to the timely determination of planning applications.			High
CRR190065/002	Develop, review and implement protocols and policies to ensure improved consistency and approach in determining planning			15
CRR190065/003	Standardise and ensure consistent use of EOT letters (where there may be delays in the timely determination of planning			12 Substantial Possible
<b>Action Items</b>				
	<ul style="list-style-type: none"> <li>January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership changed to Head of Place and Sustainability.</li> </ul> <p>No change to current risk rating.</p> <p>Mitigation actions continue to improve determination times and ensure consistent use of Extension of Time (EOT) for Planning applications. Significant improvements have been made since the Wales Audit review, with a reduction in outstanding planning applications from 402 in September 2021 to 296 in January 2022, (fees risk of repayment reduced from £756, 000 to £456,000.)</p>	Jan-22		

# Carmarthenshire Corporate Risk Register


## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190026	Ash die back and the risk to public safety	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190026/001	The Council's Tree Safety Officer carries out regular tree safety inspections of all trees on CCC properties where required.		Significant	High	
CRR190026/002	Officers delivering approved strategy for managing risk to highways posed by diseased ash trees		20	12	16 
CRR190026/003	Highways inspectors complete annual surveys of the extent of ash dieback adjacent to highway network, and safe routes to schools			Substantial	-4
CRR190026/004	Chainsaw training for Council operatives specific to Ash die back			Possible	
CRR190026/005	CCC's Ash Dieback project to work with landowners of affected trees adjacent to the highway network to ensure these trees are				

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> <li>January 2022 –update (Rhodri Griffiths, Rosie Carmichael and Jason Winter) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability.</li> </ul> <p>No change to current risk rating.</p> <p>Control measure review and updates from Jason Winter and Rosie Carmichael. Wording changed to control measures to reflect progress made.</p> <p>Proposed additional control measure (CRR190026/05) for inclusion – “CCC’s Ash Dieback project is working with landowners of affected trees adjacent to the highway network to ensure these trees are removed.”</p> <p>Update comments on progress</p> <ul style="list-style-type: none"> <li>November 2021 Temporary post of Ash Dieback Officer was replaced with a permanent Tree Safety Officer post (TSO).</li> <li>Ash Dieback winter work programme progressing with circa 300 ash trees identified on CCC owned land, in 19 locations, adjacent to the highway being removed by contractors using the Direct Purchasing System (January – March 2022).</li> <li>Tree safety work identified in seven CCC schools (Ash and other trees) and will be completed by end of January 2022.</li> <li>TSO is liaising with private landowners to raise awareness of Ash Dieback disease and ensure the removal of affected trees that are close to the highway. Based on summer 2021 highway surveys (the second survey), initial letters advising landowners of trees that pose potential risks will be sent out by the end of April.</li> </ul>	Jan-22			
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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190018	Failure to deliver a quality Education Service	Director of Education & Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190018/003	Raise standards at each key stage	High	High	
CRR190018/004	Support schools to develop and deliver new curriculum	12	12	8 
CRR190018/005	Support schools to implement ALN reform		Substantial	4
CRR190018/007	Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM		Possible	
CRR190018/008	Manage the 21st Century School Programme and reduce the number of surplus places with the schools system			

**Action Items**

<ul style="list-style-type: none"> <li>The Impact of failing to deliver a quality Education Service remains High and due to issues, detailed below, with Budget and the new Regional Consortium the probability score has been raised to Possible. 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 are due to start on site in January 2022. Clear identification of vulnerable pupils and monitoring of their progress continues through the effort of ALN, Inclusion and Education Support Advisors work with schools. A new collegiate approach to school improvement ensures a collaborative and streamlined approach to discussions around these pupils. The Vulnerable Learners' Group continues to be active and has been modifying its approach to streamline the strategic overview whilst also looking to ensure that individual casework continues as efficiently as possible. Some important appointments have been made recently to bolster our support for vulnerable learners. 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. A Carmarthenshire Implementation plan and work schedule is in place, is being progressed and is reviewed by the ALN Transformation steering group. We still await Welsh Governments (WG) Implementation Plan and definitive guidance is required from WG on funding around ALN. However, officers are worried that a lack of funding for ALN will negate the work done to implement the ALN Reform Bill. Exec Board Member for ECS has requested that any monies left over from the new settlement should be given to ALN as a priority. 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. Discussions have been held with our newly constituted Region, Partneriaeth, to ensure synergies in approach to school support for curriculum design. However as it is taking time to set up the new Regional Consortium and a delay in appointing senior officers. This is causing concern.</li> </ul>	Jan-22			
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**Carmarthenshire Corporate Risk Register**

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190029	Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Director of Environment/Head of Place and Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190029/001 The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan.		Significant 20	High 12 Substantial Possible	8  4
<b>Action Items</b>				
<ul style="list-style-type: none"> <li>January 2022 –update (Rhodri Griffiths and Kendal Davies) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership changed to Head of Place and Sustainability.</li> </ul> <p>No change to current risk rating.</p> <p>Control measure updates</p> <p>Intra-authority steering group convened in December to coordinate activities. Departmental extraction of data currently underway with a deadline of week beginning 17 January Development of annual progress update ahead of March 2023.</p>	Jan-22			

# Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190040	Covid19 - Strategic Availability of Personal Protective Equipment (PPE)	Director of Communities		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190040/001	Procurement arrangements in place for PPE		Significant	High	
CRR190040/002	Central controlled stock arrangements in place		25	10	
CRR190040/003	Stock management is robust to ensure correct level of supply and use			Catastrophic Unlikely	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> <li>The PPE supply has stabilised over the last 6 months, and reserve stock has been built up allowing more certainty if supply lines were to be affected. Good controls in place for tracking, issuing of stock via a single PPE store for Social Care. This now includes reserve stock of Lateral Flow tests.</li> </ul>	Jan-22			
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# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190009/002	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services		Significant	High
CRR190009/003	To have a sound procedure for professional abuse allegations effectively promptly and correctly		25	10
CRR190009/004	To respond appropriately to Regulators reports and recommendations			Catastrophic
CRR190009/005	To proactively monitor adequate procedures are being effectively operated by third party providers			Unlikely
CRR190009/006	Ensure sexual exploitation Risk Assessments (SERAFs) and Missing Persons Risk Assessments are completed as required			
CRR190009/010	New arrangements implemented for our leaving care services in accordance with the Social and Well-being Act 2014			

### Action Items

<ul style="list-style-type: none"> <li>The impact of failing to deliver effective safeguarding remains catastrophic. Circumstances have not changed since the last review and therefore the probability remains unlikely. The Corporate Parenting Panel met virtually on 23rd November 21, to monitor and scrutinise the care and support that the Local Authority provides to our Looked After Children and Care Leavers. In addition, 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. 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. 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. 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. Sexual Exploitation Risk Assessments (SERAFs) are 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. We have introduced a Multi-Agency Child Exploitation Audit, chaired by the Child Protection Coordinator.</li> </ul>	Jan-22			
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# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

<ul style="list-style-type: none"> <li>The Corporate Parenting Panel met virtually on 23rd November 21, to monitor and scrutinise the care and support that the Local Authority provides to our Looked After Children and Care Leavers. In addition, 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. 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. 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. 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. Sexual Exploitation Risk Assessments (SERAFs) are 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. We have introduced a Multi-Agency Child Exploitation Audit, chaired by the Child Protection Coordinator.</li> </ul>	Jan-22				
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**Carmarthenshire Corporate Risk Register**

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

<b>Risk Ref</b>	<b>Risk Title</b>	<b>Assigned To</b>	<b>Last Review date</b>	<b>Next Review Date</b>
CRR190017	Effective Management of demand for Social Care (Adult & Children)	Director of Communities		

<b>Control Measures</b>	<b>Review Date</b>	<b>Uncontrolled Risk Rating</b>	<b>Current Risk Rating</b>	<b>Previous Rating</b>
CRR190017/001	Establish effective systems to ensure thresholds for access and eligibility criteria are understood	High	Medium	
CRR190017/003	Collaborate with partners to deliver information, advice, assistance and preventive services	12	9	16 
CRR190017/005	Work with partners, local community action groups and local people to build resilient communities		Significant	-7
CRR190017/006	Promote and develop social enterprises and cooperatives to provide preventative services, care and support		Possible	
CRR190017/007	We will monitor and report on Social Worker Vacancies and Caseloads quarterly			
CRR190017/008	To introduce a range of initiatives to manage and/or reduce demand			
CRR190017/009	To commission an effective, efficient and economical model for the provision of domiciliary care			
CRR190017/010	To focus on positive recruitment and retention practices to motivate and sustain the workforce			

<b>Action Items</b>					

• Adults: From an Adults perspective, we continue to see a high level of new and complex referrals. Approximately 25% of new enquiries for older people and physical disabilities are now being closed at information and advice, and do not require a referral for assessment which is a very positive step forward. However, the volume and complexity still requiring full assessment has increased and the ongoing pressures on social work capacity mean we are having to risk assess those waiting for assessment to ensure we prioritise those with greatest need.

Jan-22

The Delta Connect programme continues to support vulnerable residents in Carmarthenshire by offering regularly proactive calls as well as a rapid response service which allows 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.

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. Going forward we are focussing on prevention as a strategic priority to assist with managing the increased demand for services.

Education & Children's Services - In order to maximise the benefits of weekly pod discussions in terms of support for staff and sharing thoughts and knowledge about cases, wherever possible pod discussions are taking place face to face again instead of remotely. This peer support is greatly valued by staff and helps reduce their feelings of isolation when working from home for much of the time. To embed our relationship based approach to social work, in future the mandatory sessions for social workers in their first year of practice will include input on systemic practice. This means that in their 1st year of practice social workers from both children's and adult services will have opportunities to develop their knowledge and skills in respect of systemic practice. Sickness absence, Covid and staffing issues as well as an increase in referrals have been additional challenges this quarter. Gold Command meetings are held twice a week to address the staff shortages in the Social Care Sector. Children's Social Worker caseloads and vacancies are monitored on a regular basis at service management level. As at this time we are struggling to recruit social workers and have had to recruit agency staff in the main childcare teams, three in post in December and another due to commence in January. There are two current vacancies in Carmarthen Childcare Team, one in Llanelli Assessment team and interviews have been arranged during January. There is evidence in the sample of assessments that are audited monthly of the child's voice being clearly reflected. Social workers are using a variety of tools such as 3 houses to enable children to provide a picture of what life is like for them in their family/home. There is also evidence of collaborative work with children, parents and extended family to develop care and support and safety plans that ensure a child's needs are met appropriately. An increase in referrals together with staffing issues were additional challenges for the assessment team over the last year. The Family Information Service have ensured families and professionals have been kept up to date with services, information, resources, and developments. FIS provided an overview of their service during sessions to Early Years Support Staff and Flying Start Childcare Workers Induction programme; 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 October 2021 the FIS website had 10,335 users, 14,284 sessions and 25,292 pageviews, there was a slight influx during this period when the Welsh Government Parents Survey opened. 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 357 enquiries during the third 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 and provide support to internal and external partners with creating and updating their records and liaising closely with the Dewis team. FIS continue to work closely with the different teams within Children's Services to review, develop and update the FIS website. FIS continue to work very closely with the Corporate Communications Department on a weekly basis to ensure Children's Services section of the Council website and newsroom pages are up-to-date and accurate. Early Years Integration Transformation Programme - Work continues in partnership across the region on developing the Regional Maternity and Early Years Strategy and a plan is in place. The Cwm Gwendraeth Pilot Team - continue to deliver support to families within the area via a variety of groups and programmes. We



# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

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Corporate Management Team

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. 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. Many community engagement activities have taken place in Tyisha during the Summer. These include Graffiti Workshops with Wallich and Foyer to engage young people living in temporary accommodation in Tyisha; Street Play via People Speak up; sensory garden development; and a Community 'Paint off' with residents in Closes Sant Paul and young people in Wallich. A community engagement team has been created, working with community officers in Tyisha to support and coordinate consultation activities and supporting Street play by helping interested residents talk to their neighbours about closing their roads. Key stakeholders have come together to work on the Mind Our Future lottery project, and the Children and Families workstream are developing a project plan with a set of key priorities for Tyisha.

**Carmarthenshire Corporate Risk Register**


Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190014	Delivery of the Pentre Awel Project (Outcomes / Budget)	Chief Executive		

Control Measures	Review Date	Control Design	Control Compliance	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190014/001	Project Board is operational with suitable governance and representative membership			Significant	Medium	
CRR190014/002	Development of Zones 1-4 of Pentre Awel consisting of			16	8	12 
CRR190014/003	Financial Planning				Substantial Unlikely	-4

**Action Items**

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<p>• January 2022 - Tender exercise undertaken via SWWRCF to procure a contractor to design and build Zone 1. 40% cost / 60% quality to promote community benefits.</p> <ul style="list-style-type: none"> <li>• Bouygues UK appointed in October to deliver Zone 1</li> <li>• Bouygues UK and design team:</li> <li>• Powell Dobson (Architects)</li> <li>• Curtings (Civils, Structures, drainage, SAB)</li> <li>• Hoare Lea (MEP, fire, acoustics)</li> <li>• Pre – Construction Services Agreement signed and pre-construction Programme agreed</li> <li>• Pre-Construction period underway</li> <li>• A revised project governance structure has been developed to take the project into implementation.</li> </ul> <p>Together these important milestones reduce the risks around the deliver-ability of Zone 1.</p> <ul style="list-style-type: none"> <li>• AHR Architects appointed to undertake the design development of Zone 3</li> <li>• RIBA Stages 1-3 design of 144 units of retirement accommodation</li> <li>• Concept design (RIBA Stage 1+) of expansion business centre (up to 10,000m2)</li> <li>• AHR Architects are leading a multi-disciplinary team comprising Coreus (PM &amp; cost control), WPS (Civils &amp; Structures, M&amp;E, fire, acoustics) and RPS (Planning)</li> <li>• Initial meetings on programme and brief held</li> <li>• Draft programme:</li> <li>• RIBA Stage 1 report – end January 2022</li> <li>• RIBA Stage 2 report – April 2022</li> <li>• RIBA Stage 3 report and submission of Reserve Matters – August 2022</li> </ul> <p>Significant progress is being made in the planning of health, research and education provision at Pentre Awel.</p> <ul style="list-style-type: none"> <li>• Draft Head of terms issued to:</li> <li>• Hywel Dda University Health Board covering clinical delivery and clinical research .</li> <li>• Education providers , UWSD and Swansea University covering both educations skills and twining and some elements of innovation</li> <li>• Partnership with Cardiff University to deliver the innovation and business.</li> </ul> <p>Following submission of Mol to financial markets, bids received from investors and are being assessed."</p> <ul style="list-style-type: none"> <li>• Bids are available</li> <li>• Further conversations held with UK Investment Bank and Department for Internal Trade re investment opportunities.</li> </ul>	<p>Jan-22</p>					
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# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190010	Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Director of Communities		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190010/001 Representation at the Regional Board		Significant	Medium	
CRR190010/002 Implementing effective safeguarding policies and procedures for vulnerable adults		16	8	
CRR190010/003 Monitoring the performance of safeguarding within adult services			Substantial	
CRR190010/004 Responding to regulators reviews and recommendations			Unlikely	
CRR190010/005 Monitoring of third party providers to ensure safeguarding procedures are being effectively operated				
CRR190010/006 Robust process for professional concerns and increase staffing resource to respond to increasing demands				
Action Items				
<ul style="list-style-type: none"> <li>Due to an increased demand over the last year we have an additional safeguarding officer in the Safeguarding Team. We have utilised grant funding to also increase staffing resource in the Dols team to address the backlog of referrals.</li> </ul>	Jan-22			

# Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190006	Ensuring effective People Management (including interpreting changes in HR legislation, capacity and compliance with Employment Law and Health & Safety Legislation)	Assistant Chief Executive		
<b>Control Measures</b>				
CRR190006/001	Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring,			
CRR190006/002	Development of Employment Policies and briefings and training, audit and monitoring			
<b>Action Items</b>				
	<ul style="list-style-type: none"> <li>January 2022 – Comprehensive policy review work programme in place – remains medium risk due to staffing pressures in some areas of People Management.</li> </ul>		Jan-22	

# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190022	Manage and Develop Cwm Environment & Llesiant Delta Wellbeing	Corporate Management Team		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190022/001	Governance arrangements incl management and Councillor representation on Boards		Significant	Medium	
CRR190022/002	Compliance with Companies Act and relevant legislation		16	8	12 
CRR190022/003	Financial Planning Financial Reporting arrangements Audit programme			Substantial	-4
CRR190022/004	Training - arranged for Directors			Unlikely	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> <li>Audit programme agreed with Lleisant Delta and work has commenced. Shareholder manage the financial risks through the CWM Environmental Ltd Shareholder Board, and the Llesiant Delta Wellbeing Governance Group meetings:                             <ul style="list-style-type: none"> <li>Approval of 3-year business plan which reflects trading outlook, investment, cashflow, and identified threats and opportunities for the company.</li> <li>Quarterly monitoring of financial performance, financial forecasts and performance indicators.</li> <li>Quarterly monitoring of Teckal compliance</li> <li>Company articles contain Shareholder reserved matters (ranging from the adoption of or any material amendment to the Business Plan, borrowing of any sums of money or entering into any contracts not encompassed in the approved business plan) that require specific shareholder consent.</li> </ul> </li> </ul>	Jan-22			
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# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190007	Ensuring effective management of Procurement / Contract Management and Partnership arrangements	Head of Revenues & Financial Compliance		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190007/002	Participation in the WLGA Heads of Procurement Forum		Significant	Medium
CRR190007/003	New Procurement Strategy developed and approved in April 2018		16	8
CRR190007/005	TIC Expenditure Stream			Substantial
CRR190007/006	Economic Recovery Plan / Progressive procurement approach -			Unlikely

Action Items
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<ul style="list-style-type: none"> <li>January 2022 - Contract management action plan of proposed improvements delivered to TIC Board and CMT. Contract Management Toolkit has been developed and an e learning Suppliers guide to procurement has gone live on the internet. Monitoring of spend included on the TIC Expenditure Agenda CLES review into progressive procurement has been approved by CMT, P&amp;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</li> </ul> <p>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."</p>	Jan-22				
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# Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190012	Failure to adhere to an effective Corporate Governance Framework	Head of Revenues & Financial Compliance		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190012/001	Corporate Governance Group		Significant	Medium	
CRR190012/002	Implementation of the WLGA Review of Governance		16	8	
CRR190012/003	Annual Governance Statement			Substantial Unlikely	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> <li>January 2022 - 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 &amp; Audit Committee during 2021 Annual Governance Statement has been reviewed in an informal session with members of the Governance &amp; Audit Committee and presented to the Committee formally in June 2021 as part of the statement of accounts. The final accounts were approved in September 2021 which incorporated comments from each member in September 2021. Better Use of Resources and Building a Better Council are aligned to the Annual Governance Statement 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.</li> </ul>	Jan-22			

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## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
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	Director of Education & Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190028/001	Develop and use a more robust competency based process to recruit school leaders	Significant	Medium	
CRR190028/002	Provide each new school leader with a mentor who's an experienced and successful school leader	16	8	12 
CRR190028/003	Encourage leaders and prospective leaders to enrol on Partneriaeth's leadership courses/programmes		Substantial	-4
CRR190028/004	Provide Educational Support Adviser support for all new school leaders		Unlikely	
CRR190028/005	Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders			

### Action Items

- 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. 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 Educational Support Advisors and additional support is provided as required. 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. 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. 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. 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.

Jan-22

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## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190062	Failure to implement Audit Wales Review Recommendations into the Authority's Planning Service. (17 recommendations have been made - key areas addressed specifically in risks CRR190063, CRR19064 and CRR19065.	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190062/001	Intervention Board and Intervention Assurance Board set up to regularly monitor progress		Significant	Medium	
CRR190062/002	Monthly Progress Report presented to Preliminary Executive Board		25	6	9 
CRR190062/003	Fortnightly meetings held with respective Executive Board portfolio members to report on progress			Moderate	-3
CRR190062/004	Performance Report presented quarterly to Planning Committee			Possible	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> <li>January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability.</li> </ul> <p>Reduction to current risk rating score, but still medium risk.</p> <p>Latest update report to Pre-cabinet November 2021 detailed the following progress on actions within each Audit Wales Review recommendation:</p> <ul style="list-style-type: none"> <li>Fully completed actions. Recommendations 2,4,5,7,10,12 and 13 are fully complete.</li> <li>Substantially completed actions. Recommendation 1 (3 of 4 actions completed), recommendation 3 (9 of 13 actions completed), recommendation 6 (5 of 7 actions completed) and the other actions being progressed.</li> <li>Actions progressing Recommendation 8, 9, 11,14,15,16 and 17 actions being progressed.</li> </ul>	Jan-22			
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