

Carmarthenshire Corporate Risk Register (Review 02/03/2023)

Risk Ref	Risk Title	Assigned To				
CRR190061	Effect of Covid-19 and Brexit on recruiting and impact of workforce planning	Assistant Chief Executive				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190061/001	Revisited gradings for home carers - recruitment hotspot		Assistant Chief Executive	Significant	Significant	
CRR190061/002	Reviewing wider T&Cs to make post more attractive		Assistant Chief Executive	25	20	
CRR190061/003	Other employee benefits to be promoted		Assistant Chief Executive		Substantial	
CRR190061/004	Workforce planning workshops with CMT & HoS - corporate priority		Assistant Chief Executive		Probable	
CRR190061/005	Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area = Dom Care / REs care and social workers		Assistant Chief Executive			
Action Items						

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- Departmental Review for CMT - 02/03/2023

Feb-23

Control Measures:

CRR190061/001 Revisited gradings for home carers recruitment hotspot .
Exercise complete.

CRR190061/002 Reviewing wider T&Cs to make post more attractive.
Review underway – specific to Home Care and Residential Care.

CRR190061/003 Other employee benefits to be promoted.
Staff rewards hub during 2022 providing staff with discounted shopping in large and local retailers – constantly promoted via staff newsletter.

CRR190061/004 Workforce Planning Workshops with CMT & HoS corporate priority.
Completed – People Management will continue to provide the relevant people data to support services to workforce plan effectively.

CRR190061/005 Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area = Dom Care / REs care and Social Workers.
Funding for additional social care support has stopped and volumes remain high and application pools across the board remain low – causing problems within care sector.

New Recruitment System – procurement of system finalised. Implementation team established. New system fully operational by end of financial year.

General People Management comment:
We continue to experience challenges in this area – higher than average turnover in some areas, high number of vacancies, number of applicants relatively low.

Risk Rating:
Substantial 4 Very likely to occur 5 = 20



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Risk Ref	Risk Title	Assigned To				
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 Place & Infrastructure				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190033/002	<p>Management of the response to a storm event in accordance with our strategic emergency plans, protocols and command structures.</p> <p>Available resources are prioritised according to strategic requirements.</p>		Director of Place & Infrastructure	<p>Significant</p> <p>20</p>	<p>Significant</p> <p>20</p> <p>Substantial</p> <p>Probable</p>	
Action Items						
<p>Departmental Review for CMT – 02/03/2023</p> <p>February 2023 Update (Ben Kathrens)</p> <p>Maintain existing rating.</p> <p>Construction work in underway on 4 flood defence capital schemes to manage flood risk at Drefach (Tumble), Ammanford, Ferryside and Llansteffan. This will be followed by construction works at Kidwelly and Newcastle Emlyn in May/June.</p> <p>Bids have been submitted to WG for grant funding to continue the development of 3 business cases to support bids for future construction works. Bids have also been submitted to WG for 3 small scale projects, one technological, one upgrading flood defence infrastructure at Llandovery and a third upgrading or drainage infrastructure in Dafen.</p> <p>Flood Defence are also working with Economic Development to launch another cycle of the Carmarthenshire business flood infrastructure fund. This will offer businesses up to £50k to implement flood residence or defences.</p>	Feb-23					

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Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190056/001	Medium Term Financial Strategy - 3 Year Plan (including efficiency targets)		Director of Corporate Services/Head of Financial Services	Significant 20	Significant 20	
CRR190056/002	Full County Council Elected Member Engagement on an annual basis to set priorities and allocate the Budget		Director of Corporate Services/Head of Financial Services		Catastrophic Likely	
CRR190056/003	Challenge from Scrutiny Committees		Head of Administration & Law			
CRR190056/004	Public Consultation regarding budget priorities on an Annual Basis		Director of Corporate Services/Head of Financial Services			
CRR190056/005	Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council receives fair funding from Welsh Government		Director of Corporate Services/Head of Financial Services			
CRR190056/006	TIC Programme to identify efficiencies and promote alternative methods of service delivery		Assistant Chief Executive			
CRR190056/007	Workforce Planning to ensure staff resources are planned to match demand		Assistant Chief Executive			
CRR190056/008	Wales Audit Office external challenge and assessment		Director of Corporate Services/Head of Financial Services			
CRR190056/009	Individual Heads of Service to develop efficiencies following external budget challenge reports		Director of Corporate Services			
Action Items						
Departmental Review for CMT - 02/03/2023						
Final budget proposals to be considered by Cabinet and recommendations from both member and public views to be taken into account by County Council following on from more than 2,000 responses. Divisional budget analysis challenge sessions will commence from spring onwards as part of the transformation workstreams to inform future budget production.		Feb-23				

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Risk Ref	Risk Title	Assigned To
CRR190077	Significant operational pressures within the Fleet Services unit including a difficulty to retain or recruit skilled technicians and technical support staff, as well as vehicle supply chain pressures (hire/lease/purchase) combined with escalating parts, materials costs and fuel costs.	Director of Place & Infrastructure/Head of Transportation & Highways

Control Measures	Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190077/001		Director of Place & Infrastructure/Head of Transportation & Highways	Significant	Significant	
CRR190077/002		Director of Place & Infrastructure/Head of Transportation & Highways	25	Substantial	
CRR190077/003		Director of Place & Infrastructure/Head of Transportation & Highways		Probable	
CRR190077/004		Director of Place & Infrastructure/Head of Transportation & Highways			

Action Items	Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
Departmental Review for CMT – 02/03/2023 February 2023 Update (Stephen Pilliner) Maintain existing risk rating CRR190077/001 Technician rates are currently being reviewed with the marketplace to determine an appropriate market supplement. CRR190077/002 Additional external resources engaged to increase capacity. CRR190077/003 - Operational review being undertaken to manage workload. External hire contractors being managed to improve performance.	Feb-23				

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Risk Ref	Risk Title	Assigned To				
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 Place & Infrastructure/Head of Transportation & Highways				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190068/001	Manage network in accordance with Highways Asset Management Plan adopting a risk based approach in accordance with the National Code		Director of Place & Infrastructure/Head of Transportation & Highways	Significant 20	Significant 20	
CRR190068/002	Continue to present the case for additional investment of capital , grant and revenue. Improve information systems on vulnerable assets such as drainage.		Director of Place & Infrastructure/Head of Transportation & Highways		Catastrophic Likely	
CRR190068/003	Inspection regime and response in line with highways asset management plan in compliance with Highways Maintenance Code of Practice		Director of Place & Infrastructure/Head of Transportation & Highways			
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Stephen Pilliner)						
Maintain existing risk rating						
<ul style="list-style-type: none"> CRR 190068/002 Annual statement report submitted with resource requirement identified. Council budget setting pending Resilient Roads funding bid submitted to Welsh Government 		Feb-23				

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Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190066/001	Develop and implement social care recruitment and retention strategy.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Significant 25	Significant 20 Substantial Probable	
Action Items						
<p>Departmental Review for CMT - 02/03/2023</p> <p>The position remains unchanged. We are still experiencing significant difficulties in recruiting sufficient numbers of qualified social workers and unqualified care staff which is a position across the sector in Wales currently.</p> <p>We continue to progress our Social Care Recruitment and Retention Plan which is overseen through fortnightly meetings chaired by the Director of Communities. In relation to Older People and Physical Disabilities, our ability to assess people and provide timely support is compromised. The current pressures in the acute health sector exacerbates this challenge. We are continuing to risk assess all those waiting for assessment and those waiting for care to ensure that those with greatest needs are supported first. Within Adult Social Care, whilst we do not have waiting lists for assessment, we continue to experience recruitment challenges in relation to our front-line care staff. As part of our recruitment and retention plan, we are therefore progressing several initiatives to ensure a sustainable workforce.</p> <p>We have established our Care Academi, seven trainees are currently on the programme, and we are planning for the next intake. We have implemented the further market supplement for social work staff in front line roles, we have agreed additional social work trainees across divisions.</p> <p>We are continuing to second staff to the Open University Social Work Degree which is an established programme. Three Social Work Assistants from the Adult Social Care Division are being supported to undertake a Full time Master's in social work. However, the ongoing inability to recruit and retain Approved Mental Health Professionals means that there is a continued risk we will be unable to fulfil our statutory responsibilities.</p> <p>We are also actively pursuing overseas recruitment of social workers and are planning to enter into a contract with an external organisation to support us with this.</p>		Feb-23				

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Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190067/001	Support the sector to grow the workforce.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Significant 25	Significant 20	
CRR190067/002	Review of all those receiving care to look at opportunities to safely reduce arrangements to release care hours to support others		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		Substantial Probable	
CRR190067/003	Ongoing review of those waiting for care to reduce level of care needed.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
CRR190067/004	Consideration of temporary placement where appropriate to support those waiting for care.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
CRR190067/005	Bridge packages of care wherever possible.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
Action Items						

<ul style="list-style-type: none"> Departmental Review for CMT - 02/03/2023 <p>The position remains unchanged, and we continue to experience significant pressures with availability of domiciliary care due to staffing availability both in-house and with external providers. We are continuing therefore to work within a significantly constrained number of hours of care in both the in-house and externally commissioned service. Consequently, we still have a significant number of people waiting for care in both the community and hospital, although many of those waiting continues to be 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. Therefore, the following actions are progressing to mitigate these capacity issues.</p> <p>We are seeing positive results in relation to our integrated home-based care service, a partnership initiative with the Health Board which is impacting on the numbers able to leave hospital. However anticipated performance has been thwarted due the inability to recruit significant numbers to these positions.</p> <p>The Care and Support Coordinators are continuing to review all those 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.</p> <p>Bridging opportunities such as temporary residential placements are in place to temporarily provide care whilst a long-term provider is sourced.</p> <p>We are also planning a number of informal recruitment events in areas where we are struggling to recruit to provide information on social care opportunities within Carmarthenshire.</p>	<p>Feb-23</p>		
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Risk Ref	Risk Title	Assigned To				
CRR190049	Risk of local business and economy not recovering from the lockdown and rises in energy and inflation	Head of Regeneration				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190049/001	Financial support to businesses		Head of Regeneration	Significant 20	Significant 16	
CRR190049/002	Advice to businesses		Head of Regeneration		Substantial Likely	
CRR190049/003	Support to businesses		Head of Regeneration			
CRR190049/004	Database of local suppliers and traders		Head of Regeneration			
CRR190049/005	Robust economic recovery plan to protect jobs and safeguard businesses		Head of Regeneration			
Action Items						
Departmental Review for CMT – 02/03/2023						
Work continues to deliver the Carmarthenshire Economic Recovery Plan (ERP). Financial support has been made available to businesses through the business start-up and business growth fund with some £475k awarded to date. Building upon this success and identified business need, a package of business support mechanisms will be delivered under the Shared Prosperity Fund (SPF) business anchor, including business growth and start up funding, a business renewable energy fund and a property development fund. We are reviewing options to maximise the opportunity of our public spending benefiting and boosting the local economy, protecting local jobs, reducing carbon emissions, and strengthening local supply chains.						

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Risk Ref	Risk Title	Assigned To				
CRR190069	Contractor and internal capacity issues leading to a high backlog of housing responsive repairs and housing voids which reduces the number of homes available to let and a delay in repairs being completed.	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190069/001	Parcel work based on type and geographical location to encourage take up by contractor		Head of Housing Property & Strategic Projects	Significant 25	Significant 16	20 
CRR190069/002	Procurement arrangements to be reviewed to introduce a new Minor Works Framework by August 2023		Head of Housing Property & Strategic Projects		Substantial Likely	-4
CRR190069/003	Staffing resources to be reviewed as part of Divisional realignment in 2022		Head of Housing Property & Strategic Projects			
CRR190069/004	Discussions with contractors to encourage take up of work during existing Framework		Head of Housing Property & Strategic Projects			
CRR190069/005	Employment of additional operational staff to provide greater in-house resilience and to reduce dependence on the limited contractor base in the area		Head of Housing Property & Strategic Projects			
CRR190069/006	Undertake a review of Voids processes		Head of Housing Property & Strategic Projects			
CRR190069/007	Upgrade Total Repairs property maintenance job management system to Total Connect and Asset Management system to CX Assets to improve data management and issuing of work to contractors / in-house staff, plus improved communication with tenants		Head of Housing Property & Strategic Projects			
Action Items						

<ul style="list-style-type: none"> Departmental Review for CMT - 02/03/2023 <p>In response to the CMT Review of the Risk Register in July this risk has been renamed "Contractor and internal capacity issues including construction skills shortages, post-Covid high demand and inflation leading to a high backlog of housing responsive repairs, housing voids, and adaptations which reduces the number of homes available to let and a delay in repairs being completed".</p> <p>There continues to be a slight improvement in contractor availability as a result of a reduction in demand from other clients in the region. The inflation uplift in the Minor Works Framework has now been resolved, although this is below current inflation. This should reduce, at least partially, the reluctance of a number of contractors who have indicated that they are not prepared to undertake work for the Authority at the current Framework rates.</p> <p>Works are being packaged and will be tendered to allow contractors to reflect market prices in their tendered rates. A new Housing Repairs Helpdesk has been created with additional resources to enable a more pro-active response to tenants awaiting work and boiler repair calls are now routed directly to the contractor to reduce contact centre call volumes.</p> <p>Work on renewal of the Minor Works Framework has been limited but additional dedicated resource is to be recruited to take forward the project.</p> <p>The Empty Homes & Voids Improvement Board has been expanded to cover responsive repairs from January 2023 and 2 additional senior staff have been seconded to the Housing Property & Strategic Projects Division to increase the capacity for improvements at a quicker pace than existing resources would allow. Recruitment to vacant posts and to additional operational posts for Voids and Responsive teams is ongoing and realignment of the Division is imminent. Significant other work is ongoing in implementing the Voids Review and a new "fast-let" voids standard has been introduced to speed up the lettings process. As at 10/02/2022 the voids backlog has reduced by a third to 275. Upgrading of Total Connect is ongoing and is due to be completed by April 2023, subject to outstanding amendments to Agresso being completed in January.</p> <p>Previous Risk Rating Substantial / Probable = Significant 20</p>	<p>Feb-23</p>			
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Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190038/001	Provision of support from Occupational Health to our own staff		Assistant Chief Executive	Significant 20	Significant 16 Substantial Likely	
Action Items						
<p>Departmental Review for CMT - 02/03/2023</p> <p>Control Measures:</p> <p>GRR190038/001 Provision of support from Occupational Health to our own staff. Employee wellbeing: Whilst we are emerging from the pandemic, concerns remain about general employee wellbeing, referrals into our WSS service is increasing. Factors affecting our staff include, the cost of living crisis, legacy of Covid, inability to access treatments due to NHS waiting lists. Attendance is also impacted. Staff are waiting longer for NHS procedures or are unable to access GPs for referrals to necessary services.</p> <p>Wellbeing Strategies are being put in place to support staff through this difficult time.</p> <p>Supporting Employee Mental Health: Mental Health support referrals are increasing. We have capacity concerns within OH service to meet the increasing demand.</p> <p>Revised Risk Rating: Impact 4 Likelihood 4 = Overall Score 16</p>		Feb-23				

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Risk Ref	Risk Title	Assigned To				
CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)	Director of Corporate Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190015/001	Strategic Asset Steering Group		Head of Financial Services	Significant	Significant	
CRR190015/002	Project Management Tool Kit		Head of Regeneration	16	16	
CRR190015/003	Project Management Training		Assistant Chief Executive		Substantial	
CRR190015/004	Long term Treasury management / loan funding		Director of Corporate Services		Likely	
CRR190015/005	Consideration to be given to prioritisation of approved schemes to maximise outcomes, subject to grant conditions.		Director of Corporate Services			
Action Items						
Departmental Review for CMT - 02/03/2023 Budget monitoring indicates £84 million underspend in current year partially due to contractor capacity constraints, including tender prices which far exceed project budget available.		Feb-23				

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Risk Ref	Risk Title	Assigned To				
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 Place & Infrastructure				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190032/001	Flood Risk Strategy and FRMPs		Director of Place & Infrastructure	Significant	Significant	
CRR190032/002	Community Plans in terms of self-help where practicable		Director of Place & Infrastructure	20	Substantial	
CRR190032/003	Continue to work with our professional partners (as a LLFA)		Director of Place & Infrastructure		Likely	
CRR190032/004	S19 Reports and action plans		Director of Place & Infrastructure			
CRR190032/005	Pro-active maintenance programme for flood assets		Director of Place & Infrastructure			
CRR190032/006	Making more use of contemporary flood data and information from partner agencies		Director of Place & Infrastructure			
CRR190032/007	SAB for future development and TAN 15 compliance		Director of Place & Infrastructure			
CRR190032/008	Effective communication strategy		Director of Place & Infrastructure			
Action Items						
<p>Departmental Review for CMT – 02/03/2023 February 2023 Update (Ben Kathrens)</p> <p>Maintain existing rating Applications have been submitted to WG to undertake two strategic evaluations of flood risk and develop business cases at Dafen and Whitland. The amended version of TAN15 (planning policy technical advice note on development and flood risk) has been released and Flood Defence Officers are reviewing that and providing comments back to WG and the WLGA accordingly.</p>		Feb-23				

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Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190016/001	Maintain current provision and infrastructure for recycling		Head of Waste & Environmental Services	Significant 20	Significant 16	
CRR190016/002	Continue education and awareness activity to improve participation		Head of Waste & Environmental Services		Substantial Likely	
Action Items						

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Risk Ref	Risk Title	Assigned To			
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190019/001	Lead the TIC Schools project, working with colleagues and schools to identify significant savings as set by the County Council through the budget efficiency programme		Director of Education & Children Services / Head of Education & Inclusion	Significant 16	Significant 16 Substantial Likely
Action Items					
<p>Departmental Review for CMT - 02/03/2023</p> <p>The Risk Rating should remain as 16 Significant (Substantial 4, Likely 4).</p> <p>Senior officers and ESAs work closely with Chairs and other members of the Governing Body to address issues in relation to finance and staffing. Governors receive detailed support and guidance from Education Support Advisers when recruiting senior leaders within their schools and when re structuring their staffing. This is ensuring an effective use of resources. Governors have been well supported to make very difficult decisions in many schools due the effective analysis of financial data. However, a minority of schools still face significant budgetary challenges. The risk therefore remains significant.</p> <p>The Schools' Transformation Project in relation to schools will support school leaders with ensuring value for money and securing further efficiencies.</p> <p>However, a significant pressure is being placed on all schools' budgets due to delegation limitations. The number of schools serviced by the budget is placing general delegated budgets and ALN budgets under severe pressure, with services unable to meet the demands of our most vulnerable pupils. Any proposal to cut the delegated budget to schools will place more schools in to deficit budget and will increase the deficit in those schools already in deficit.</p>		Feb-23			

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Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190028/001	Develop and use a more robust competency based process to recruit school leaders		Head of Education and Inclusion	Significant 16	Significant 16	
CRR190028/002	Provide each new school leader with a mentor who's an experienced and successful school leader		Head of School Effectiveness		Substantial Likely	
CRR190028/003	Encourage leaders and prospective leaders to enrol on Partneriaeth's leadership courses/programmes		Head of School Effectiveness			
CRR190028/004	Provide Educational Support Adviser support for all new school leaders and provide bespoke induction/mentoring programme		Head of School Effectiveness			
CRR190028/005	Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders		Head of School Effectiveness			
Action Items						
<p>Departmental Review for CMT - 02/03/2023</p> <p>The current Risk Rating needs to remain at Significant 16, the impact remains Substantial 4 and the probability remains Likely 4. This is due to the fall out of the pandemic which has led to a rise in early retirements with less of an appetite for deputies to step up. There is a risk that the current school footprint, which still contains many small schools which need school leaders covering multiple schools, is not an attractive role for applicants.</p> <p>We continue to use an Assessment Centre approach to recruit Headteachers; provide each new school leader with a mentor, encourage prospective leaders to enrol on Partneriaeth's leadership courses/programmes; provide Educational Support Adviser support for all new school leaders and use the Headteacher Performance Management process effectively to challenge, develop and support school leaders. A new recruitment drive is being developed with assistance from HR and Communications colleagues in order to attract more applicants for the current vacancies, this will form a key part of the new Workforce Strategy being developed for the Council.</p> <p>Currently, there is significant demand on leadership in our primary sector. A number of headteachers are retiring during this academic year placing significant pressure on the system and officers to identify new leaders and attract appropriate qualified candidates</p> <p>Therefore we are working with the Marketing and Media Team, a school recruitment campaign is planned to attract high quality candidates to Carmarthenshire.</p>		Feb-23				

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Risk Ref	Risk Title	Assigned To				
CRR190076	Failure to secure the full extent of home-to-school transport services from third party providers due to a range of economic and market specific issues including increasing fuel costs, driver and maintenance technician shortages across the industry, supply market challenges (vehicles and parts) and an increasing complexity in demand management.	Director of Place & Infrastructure/Head of Transportation & Highways				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190076/001	Introduce emergency fuel supplement payments to operators to sustain services.		Director of Place & Infrastructure/Head of Transportation & Highways	Significant 20	Significant 16	
CRR190076/002	Continue to engage with operators.		Director of Place & Infrastructure/Head of Transportation & Highways		Substantial Likely	
CRR190076/003	Work closely with Education.		Director of Place & Infrastructure/Head of Transportation & Highways			
CRR190076/004	Continue to make representations to WG via the WLGA.		Director of Place & Infrastructure/Head of Transportation & Highways			
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Steve Pilliner)						
Maintain existing rating						
• CRR190076/001 - The emergency fuel supplement payments to operators have been actioned and implemented. These are being superseded where new contracts come into operation.		Feb-23				
CRR190076/002 - Tender prices continue to rise due to energy costs, national driver shortages and supply chain pressures.						
CRR190076/003 - Financial support for public services is being discussed at a national level which may have a significant impact on the industry.						

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Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190034/001	Cyber incident response plan		Head of ICT & Policy	Significant	High	
CRR190034/002	Staff awareness training		Head of ICT & Policy	20	Catastrophic	
CRR190034/003	Firewalls		Head of ICT & Policy		Possible	
CRR190034/004	Application control on servers		Head of ICT & Policy			
CRR190034/005	Security updates continuously rolled out		Head of ICT & Policy			
Action Items						
Departmental Review for CMT - 02/03/2023 Risk rating remains high with on-going potential risk to a cyber attack. We are developing cyber awareness training with L&D to be launched when the new LMS system is ready. Cyber Stocktake report due at CMT on the 16th of March to provide update on cyber risk landscape and current and planned remediation.		Mar-23				

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Risk Ref	Risk Title	Assigned To				
CRR190073	Ensure effective Business Continuity Plans across the Authority.	Corporate Management Team				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190073/001	Emergency Planning section to establish and coordinate working group on behalf of CMT to look at Business Continuity Plans across the Authority.		Corporate Management Team	Significant 20	High 15 Significant Probable	
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Alan Howells)						
Maintain existing rating <ul style="list-style-type: none"> • Cross departmental workshop planned for March 2023 to agree actions moving forward. 		Feb-23				
February 2023 update: The Business Contingency Planning Group met on 26th January and the Business Continuity Plans remains an agenda item. A Business Continuity Task & Finish Group are due to meet early March to consider the Draft Internal Audit Report - 'Disaster Recovery and Business Continuity Plans' and to develop an action plan to address the findings and recommendations. <ul style="list-style-type: none"> • 		Feb-23				

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Risk Ref	Risk Title	Assigned To				
CRR190050	<p>Risk of contractor and suppliers failing to deliver projects/schemes, because of highly volatile macro economic conditions and inflation/disruption to suppliers, service goods and materials, which has an impact of the non-delivery of capital works.</p> <ul style="list-style-type: none"> - Failure to meet grant expenditure conditions. - contractors resources depleted - contract failure - cost increases - sourcing materials - Contractors unwilling to carry out work at framework prices 	Director of Place & Infrastructure				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190050/001	Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.		Director of Place & Infrastructure	Significant 20	High 15	
CRR190050/003	Undertake regular financial checks on suppliers.		Director of Place & Infrastructure		Catastrophic	
CRR190050/004	Approved exception process in place for exceptional circumstances		Director of Corporate Services		Possible	
CRR190050/005	Undertake a review of the Council's Contract Risk allocation		Director of Place & Infrastructure			
Action Items						

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<ul style="list-style-type: none"> Departmental Review for CMT – 02/03/2023 <p>February Update (Jason G Jones)</p> <p>Maintain existing risk rating</p> <p>Control updates</p> <p>CRR 190050/001 – The pipeline of projects continues to be reviewed with clients as part of on-going scheme progress and budget monitoring meetings.</p> <p>CRR 190050/003 – Financial checks continue to be undertaken on an on-going basis, as part of the procurement process for each project. As part of the Framework requirements and on-going management, contractors are required to maintain the minimum financial requirements to allow pre-qualification.</p> <p>Individual scheme monitoring, and programme budget monitoring for collective schemes, is undertaken on an on-going basis.</p> <p>CRR 190050/004 – The approved exception process continues to be used when required to progress projects.</p> <p>CRR 190050/005 –A meeting was held by the senior CCC colleagues with Geldards on 12th December on a draft briefing paper which has been shared. The Head of Risk and Compliance to consider the Council's position on this and feedback to the Service Managers to include within their contractual structures.</p>	<p>Mar-23</p>		
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Risk Ref	Risk Title	Assigned To				
CRR190072	Deterioration of the Council's School and Non-School buildings due to the lack of building surveys.	Director of Place & Infrastructure / Property Maintenance Manager				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190072/001	Building condition surveys on non-school buildings and reports to be reinstated		Property Maintenance Manager	Significant 25	High 15	
CRR190072/002	Building condition surveys on school buildings and reports to be reinstated		Director of Place & Infrastructure / Property Maintenance Manager		Catastrophic	
CRR190072/003	Risk Management bid to be considered to fund urgent building condition surveys		Director of Place & Infrastructure / Property Maintenance Manager		Possible	
CRR190072/004	Establishment of a Schools Handy Van service for Primary school, with 2 inspections by an inspector annually.		Director of Place & Infrastructure / Property Maintenance Manager			
Action Items						
Departmental Review for CMT - 02/03/2023						
001 & 002 - Condition surveys are continuing in schools on programmed basis agreed with Simon Davies.						
004 - Progress of the Schools Handy Van service is being monitored by the TIC Programme Board.		Mar-23				
All Handyvan inspection visits continue to be undertaken for primary schools and Building Inspectors continue to undertake second visits for each primary school. A schedule of repairs requiring budget approval by schools continues to be held in Property Maintenance, but there are some delays in approval. Costings for expanding the service has been developed for Secondary Schools and Corporate buildings. Business case will be developed for consideration						

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Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190027/001	Anti-Fraud & Anti-Corruption Strategy		Head of Revenues & Financial Compliance / Director of Corporate Services	Significant	High	
CRR190027/009	CRR190027/0009 Financial controls in place to mitigate fraud		Head of Revenues & Financial Compliance / Director of Corporate Services	20	15	Catastrophic
CRR190027/010	CRR190027/0010 Fraud is specifically included in the Internal Audit Plan		Head of Revenues & Financial Compliance / Director of Corporate Services			Possible
CRR190027/007	Counter Fraud proficiency within the Internal Audit Team		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/005	Participation in the National Fraud Initiative Exercise		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/008	Effective relations with Dyfed Powys Police		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/002	Whistleblowing Policy		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/003	Financial Procedure Rules		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/004	Code of Conduct - Members & Officers		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/006	Dedicated Fraud Investigation Officer dealing with Revenue & Benefit Frauds		Head of Revenues & Financial Compliance / Director of Corporate Services			
Action Items						

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- Departmental Review for CMT - 02/03/2023

Feb-23

The Financial Procedure Rules have been reviewed and approved by the Governance and Audit Committee at the end of 2022; the document is available to all staff on the Council's intranet. The Financial Procedure Rules for Schools are currently under review. Once this review is complete, the document will be subject to appropriate approval, before being issued and promoted to schools. We are working with the Communications team to publish a counter fraud screen saver on the home screen of the Council's computer network; this will promote the counter fraud message to staff across the Authority.

The fraud officer position within the Revenue Services Division has recently left the Authority, job is to be advertised soon. This will bring a new person with a new perspective and new ideas for how to actively promote the counter fraud message.

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Risk Ref	Risk Title	Assigned To				
CRR190043	Post 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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190043/001	Recovery of Council Tax & NNDR whilst being sensitive to the current situation		Director of Corporate Services/Head of Financial Services/Head of Revenues	Significant 25	High 15	
CRR190043/002	Recovery of Housing Rent		Director of Corporate Services/Head of Financial Services/Head of Revenues		Catastrophic	
CRR190043/004	CRR190043/003 Regular and robust budget monitoring to assess ongoing income loss/additional costs, unidentified correct action		Director of Corporate Services/Head of Financial Services/Head of Revenues		Possible	
Action Items						
Departmental Review for CMT - 02/03/2023 Implications of the cost of living crisis will also impact the recovery of Council Tax and NNDR. Forecasted sustained reductions in car parking charges due to usage, although leisure is forecasted to reach pre-covid levels by the end of the year.		Feb-23				

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Risk Ref	Risk Title	Assigned To				
CRR190075	Continuing to improve the way we respond to the current pressures on Homeless Services through innovative working practices, support, flexibility and investment. Failure to do so will result in us not meeting housing need, increasing homelessness, an unsustainable service and residents not having the right home at the right time.	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190075/001	Housing Hwb structure agreed at DMT, recruitment commenced.		Director of Communities	Significant	High	
CRR190075/002	Weekly monitoring of homelessness presentations including Ukraine Households, availability of temporary accommodation and availability of settled accommodation.		Director of Communities	16	12	
CRR190075/003	Direct allocation of homes to those in greatest need approved by Pre-Cabinet, allocations group with RSL Partners operational.		Director of Communities		Significant	
CRR190075/004	The establishment of a pre-decision Task and Finish group, to develop an emergency allocations policy for social housing in Carmarthenshire to be confirmed.		Director of Communities		Likely	
CRR190075/005	Development of Rapid Rehousing Transitional Plan in Partnership with internal and external Stakeholders to be submitted to Welsh Government 30 09 22. Due to be endorsed by DMT/CMT in October/November.		Director of Communities			
CRR190075/006	Additional resources to respond to potential increase in Ukraine Homeless presentations requested.		Director of Communities			
CRR190075/007	In the event of breakdown of relationship between Ukraine Household with current host; consider a new host family, use of temporary accommodation, and the use of Social Lettings together with accommodation in the private rented sector.		Director of Communities			
CRR190075/008	Ensure close liaison between newly established in-house support team, pre-accommodation team and EYST support service.		Director of Communities			
Action Items						

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- Departmental Review for CMT - 02/03/2023

Feb-23

There continues to be difficulty in recruiting to some posts in the Housing Hwb due to the short term funding arrangements. Direct matching has been implemented through 'exceptional circumstances' 64% of vacancies are now being allocated to people in greatest need. Scrutiny Task and Finish Group have presented their recommendations to Scrutiny the emergency allocations policy is due to be presented to pre-Cabinet and Cabinet in February and County Council for approval in March 2023. Outreach services are in operation for rough sleepers and a workstream for the transformation of temporary accommodation has been introduced. Daily monitoring of homeless presentations and the use of Temporary Accommodation is operational. Arrangements are in place for Housing Options Advisors (Homelessness) to be available daily at the three corporate Hwbs of Llanelli, Ammanford and Carmarthen.

Risk Ref	Risk Title	Assigned To				
CRR190030	Risk to social care delivery/business continuity in relation to in-house and externally commissioned domiciliary care, residential care and day services due to fluctuating instances of Covid-19 transmission across the workforce and associated staff absence.	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190030/006	Safe systems of work designed		Assistant Chief Executive	Significant 20	High 12	20 
CRR190030/007	Identify where there maybe potential to free up capacity in some		Assistant Chief Executive		Significant Likely	-8
CRR190030/001	Outbreak meetings in place which review staffing levels, and identify contingency required.		Director of Communities			
CRR190030/002	Ongoing encouragement of vaccine uptake to mitigate the risk.		Director of Communities			
CRR190030/003	Risks are reviewed by each service on a daily basis, and contingency put in place as needed.		Director of Communities			
CRR190030/004	Business continuity plans in place and subject to ongoing review. These consider contingency arrangements on basis of 10%/20%/30% absence.		Director of Communities			
CRR190030/005	Infection control plans are in place for each service		Director of Communities			
Action Items						
Departmental Review for CMT - 02/03/2023						
<p>The risk description remains unchanged following last month's update, to better reflect the business-as-usual position of managing Covid in care settings.</p> <p>Safe systems of work continue to be delivered in line with WG guidance and business continuity plans in place and are reviewed on an ongoing basis. Managers continually risk assess care settings and adjust working practices accordingly. The use of masks is still required in home care and settings and admissions to care homes or respite provision will be suspended if there is an outbreak if necessary. Services continue to monitor staffing levels daily and ensure that contingency is put in place as needed. Levels of sickness linked to Covid have however reduced significantly</p>		Feb-23				

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Risk Ref	Risk Title	Assigned To				
CRR190031	Failure to comply with the requirements of the Local Government and Elections (Wales) Act	Corporate Management Team				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190031/001	Public participation strategy being produced		Corporate Management Team	High 12	High 12	
CRR190031/002	Petition scheme being developed		Corporate Management Team		Substantial Possible	
CRR190031/005	Collaborative working with Principal councils - awaiting further guidance from WG		Corporate Management Team			
CRR190031/006	Corporate Joint Committees - Guidance awaiting from WG - LG engagement will be expected in developing regulation		Corporate Management Team			
CRR190031/007	Webcasting of meetings arrangements in place and work ongoing on developing the arrangements for moving from remote attendance meetings to hybrid meetings		Corporate Management Team			
Action Items						
Departmental Review for CMT - 02/03/2023 The introduction of the Elections Act 2022 has widened the gap on divergence issues between devolved elections and National Elections. We are awaiting an update from Welsh Government on what elements they will introduce to narrow this gap. Request from Amanda Edwards - Can the Risk be amended to read "Failure to comply with the requirements of the Local Government and Elections (Wales) Act and Elections Act 2022"?		Mar-23				

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Risk Ref	Risk Title	Assigned To				
CRR190013	Delivery of the City Deal (Outcomes / Budget)	Corporate Management Team				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190013/001	Establishment of Swansea Bay City Region Board		Corporate Management Team	Significant 16	High 12	
CRR190013/002	Development of Regional Joint Committees		Corporate Management Team		Substantial Possible	
CRR190013/003	An agreement between the UK and Welsh Governments and 4 local authorities (Carmarthenshire, Swansea, Neath & Port Talbot and Pembrokeshire) and successful private and public collaboration will address the economic underperformance of the region, with emphasis on uplifting productivity, skills, employment and prosperity.		Corporate Management Team			
CRR190013/004	Financial Planning SBCD portfolio level risks are identified within the quarterly report under each project/programme		Director of Corporate Services			
Action Items						
Departmental Review for CMT - 02/03/2023						
<p>A 5 year operational budget has been compiled and was approved by the Joint Committee. A draft budget for 2023/24 and an options appraisal in respect of the POMO beyond 5 years is being compiled.</p> <p>Currently the Swansea Bay City Deal is demonstrating an increase in constructions costs of estimated £331 million. Projects themselves are currently reviewing the mitigating actions and will update quarterly. Borrowing costs in respect of regional projects are currently being reviewed by Section 151 officers.</p> <p>Swansea Bay City Deal manage the grant award in line with the funding conditions set out by Governments and in line 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. Funding the current Year 5 year is expected to be receipted, including the front loading of UK Government grant.</p>		Feb-23				

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Risk Ref	Risk Title	Assigned To
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190005/005		Director of Corporate Services	Significant 16	High 12	
CRR190005/006		Director of Corporate Services		Substantial Possible	
CRR190005/007		Director of Corporate Services			
CRR190005/001		Director of Corporate Services			
CRR190005/002		Director of Corporate Services			
CRR190005/003		Director of Corporate Services			
CRR190005/004		Director of Corporate Services			
CRR190005/008		Director of Corporate Services			
CRR190005/009		Director of Corporate Services			

Action Items	Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
Departmental Review for CMT - 02/03/2023 Threat to reduced grant incomes as grants are flat cash v significant scale of pay rewards. It is hard to accurately cost grant bids due to scale of uncertainty over pay awards and construction cost inflation thus increasing the risk.	Feb-23				

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Risk Ref	Risk Title	Assigned To				
CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190057/001	Development of an effective Local Development Plan (LDP)		Head of Place & Sustainability	High 12	High 12	
CRR190057/002	Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective implementation.		Head of Place & Sustainability		Substantial Possible	
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.		Head of Place & Sustainability			
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.		Head of Place & Sustainability			
CRR190057/005	Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement.		Head of Place & Sustainability			
CRR190057/006	To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.		Head of Place & Sustainability			
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/Ian Llewelyn) Maintain existing risk rating. Control measure updates CRR190057/001 AND 004 – Revised LDP 2nd Deposit to be published for public consultation w/c 13th February reflecting the commitment to responding to the challenges associated with Climate and Nature Emergencies, Regen and the Covid 19 response and phosphates. Evidence base updated and legal duties to prepare a Integrated Sustainability Appraisal and Habitat Regulations Assessment undertaken as part of the consultation.		Feb-23				

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Risk Ref	Risk Title	Assigned To				
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.	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190065/001	Develop, review and implement processes relating to the timely determination of planning applications.		Head of Place & Sustainability	High 15	High 12	
CRR190065/002	Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning applications, including the use of EOT.		Head of Place & Sustainability		Substantial Possible	
CRR190065/003	Standardise and ensure consistent use of EOT letters (where there may be delays in the timely determination of planning applications) including monitoring mechanisms and protocols for the identification of relevant applications.		Head of Place & Sustainability			
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/Hugh Towns) Maintain existing risk rating. Control measure updates Procedures have been introduced to generate Extension of Time in relation to applications approved subject to Section 106 Agreements and applications affected by the phosphates issue. The number of applications now stands at 270 and the risk of exposure is reduced to £396,000.		Feb-23				

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Risk Ref	Risk Title	Assigned To				
CRR190026	Ash die back and the risk to public safety	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190026/001	The Council's Tree Safety Officer carries out regular tree safety inspections of all trees on CCC properties where required.		Head of Place & Sustainability	Significant 20	High 12	
CRR190026/002	Officers delivering approved strategy for managing risk to highways posed by diseased ash trees		Head of Place & Sustainability		Substantial Possible	
CRR190026/003	Highways inspectors complete annual surveys of the extent of ash dieback adjacent to highway network, and safe routes to schools		Head of Place & Sustainability			
CRR190026/004	Chainsaw training for Council operatives specific to Ash die back		Head of Place & Sustainability			
CRR190026/005	CCC's Ash Dieback project to work with landowners of affected trees adjacent to the highway network to ensure these trees are removed.		Head of Place & Sustainability			
Action Items						

<ul style="list-style-type: none"> Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/Rosie Carmichael) <p>Its proposed that all the Ash Dieback risks should be closed off now as the management of these risks in now incorporated and integrated into our day to day working practices. Further, following the appointment of a permanent Tree Safety Officer post, CCC is now managing all aspects of tree safety issues in a more comprehensive way regardless of species.</p> <p>CCC has been running its Ash Dieback project with a dedicated officer since March 2020. Working collaboratively CCC's Tree Safety Officer and Highway Inspectors have completed surveys each summer of all its A and B roads and in some years, some of its more heavily used C roads. This approach has become embedded in how CCC operates, and it is supported by regular refresher training for relevant officers in tree safety matters. CCC does not restrict itself to identifying only ash trees which pose a risk. As a result of its experience in managing Ash Dieback, CCC has develop its approach to managing the safety of all trees which may pose a risk to highway safety, regardless of species.</p> <p>CRR190026/001 CCC's Tree Safety Officer carries out regular tree safety inspection of all CCC sites where they have been notified that there are trees. This include CCC's Safe Routes to School. A regular system of inspection, reporting and organising any necessary work is now integrated into CCC's working practices.</p> <p>CRR190026/002 CCC's Tree Safety Officer ensures Highway Inspectors complete regular refresher training in Visual Tree Assessment – which the training use for tree safety assessment at this level. This is referenced in CCC's draft Tree and Woodland Strategy. This training refers to the safety of all trees adjacent to the highway, not just ash trees.</p> <p>CRR190026/003 The regular inspection of roadside trees is now integrated into the way Highways operate. This approach is consistent with the Code of Practice - Well Manged Highways (Well Manged Highway Infrastructure Code of Practice (UK Roads Liaison Group 2017)</p> <p>CRR190026/004 Training is now integrated into the Departmental training plan.</p> <p>CRR190026/005 The provisions of the Highways Act enable CCC to notify landowners of trees which pose a risk to the Highway. Following the training described above, and with the support of CCC's Tree Safety Officer, Highway Inspectors use this provision of the Act for all trees which pose a risks to the highway, not just ash. This system is regularly used for ensuring that diseased ash trees are removed in a timely manner. In addition, CCC keep the information on its web pages, that are relevant to tree safety, up to date</p>	<p>Feb-23</p>		
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Risk Ref	Risk Title	Assigned To				
CRR190018	Failure to deliver a quality Education Service	Director of Education & Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190018/003	Raise standards at each key stage		Head of Education and Inclusion	High 12	High 12	
CRR190018/004	Support schools to develop and deliver new curriculum		Head of Education and Inclusion / Head of Curriculum and Wellbeing		Substantial Possible	
CRR190018/005	Support schools to implement ALN reform		Head of Education and Inclusion			
CRR190018/007	Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM		Head of Education and Inclusion			
CRR190018/008	Manage the 21st Century School Programme and reduce the number of surplus places with the schools system		Head of Access to Education			
Action Items						

- Departmental Review for CMT 02/03/2023

Feb-23

The current risk rating should remain at Medium 12 (the Impact remains Substantial 4, and possibility at Possible 3).
 The Education service will be severely disrupted due to any proposed cuts in the education service budget. The department will have to identify what services need to be reduced and what services can no longer be delivered. This will be reflected in the Risk score of the next update on conclusion of the Budget Consultation process.
 The Departments work on our Service Evaluation and individual Service reviews coupled with Estyn school inspections and our quality assurance in school's success indicates that the possibility of failure to deliver a quality Education Service has reduced. However, it has been noted at the start of Autumn term that there are wellbeing issues in schools amongst the children and staff. This remains a concern going forward.
 Attendance in our schools also remains below the Welsh average. This may be linked to the difficulties arising from the pandemic, but Scarlet Fever has also had an extensive effect. Attendance in January improved for most schools, and overall, compared to both December 2022 and the same period last year, however the overall figure remains below the pre-COVID benchmark of 90%. Education Services and Children's Services will continue to work to link together to tackle all wellbeing issues.
 Standards at each key stage remain high but current exams and assessments measures based on summer 2022 still covers a period affected by the pandemic. Following WG guidance, Standards are also moving away from attainment and toward progress and wellbeing. While we await a national set of measures for progress and wellbeing, we are currently reflecting progress based on Education Support Advisors conversations with schools and evidence of individual progress during the academic year.
 The majority of schools feel that they are supported appropriately in curriculum reform, with particular strengths in certain key areas such as Digital Learning and Foundation Phase Learning. However, the regional professional learning offer needs to strengthen. The ECS department continues to work robustly with Partneriaeth to ensure that the professional learning offer in relation to the curriculum meets the needs of all our schools.
 Our ability to support ALN reform has been impacted by the Authority being unable to secure funding for the statutory posts of Designated Coordinators. This means that the LA will not be able to transfer pupils from existing statements to new IDPs. This will mean that the LA will miss statutory deadlines, leading to appeals and tribunals against the LA.
 The Vulnerable Learners Strategic Focus Group draws together all officers and services involved with supporting vulnerable learners to provide a supportive structure to provide appropriate support for all vulnerable learners. Therefore, the department is able to provide a wide range of effective mechanisms of support and deploys its resources well in support of the bespoke needs of all vulnerable learners. The LA's integrated approach caters very well for the full range of needs, making provision that supports all categories of identified vulnerable pupils as well as providing universal provision, targeted intervention and additional learning provision for those identified and those who may be at risk of becoming vulnerable.
 The Sustainable Communities for Learning (formally Modernising Education Programme) is currently undertaking a review in order to re-invigorate the 21st Century School Programme.



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Risk Ref	Risk Title	Assigned To				
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				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190046/001	We will work closely with schools to monitor wellbeing, progress and outcomes of all learners		Director of Education & Children Services / Head of Education & Inclusion	Significant 20	High 12	
CRR190046/002	We will plan for seamless transition from delivery to distance learning when required for all learners		Head of Curriculum and Wellbeing		Substantial Possible	
Action Items						
Departmental Review for CMT - 02/03/2023						
<p>The current Risk Rating should remain at 12 Medium (Substantial 4, Possible 3). This is due to a reflection on current data, see below, and the output from the Departmental Service Review. There has also been a reduction in schools being affected by the pandemic with a reduction in Covid positive cases in learners and staff and a reduction in the likelihood for another lockdown. Transition to virtual learning, when required, has become smoother and most school support services have returned to normal delivery. However there remains a possible risk due to ongoing wellbeing issues experienced by both staff and pupils due to the pandemic. School attendance is currently below the Welsh average which may be an outcome of wellbeing issues but this has also been adversely effected by Scarlet fever during the Autumn term.</p> <p>This summer's exam results were at the end of an academic year (2021 22) which covers the last two years study affected by the pandemic.</p> <p>GCSE 2022:</p> <ul style="list-style-type: none"> Overall outcomes for GCSE are higher than 2019 when exams were last sat, but lower than 2021, when we had CDGs. Grading broadly reflects a midway point, between 2019 and 2021, reflecting the national data. In 2022 Carmarthenshire outcomes are higher than the Welsh averages at A* A grades as well as at A* C grades. <p>A Level 2022:</p> <ul style="list-style-type: none"> Overall outcomes at A Level are higher than 2019 when exams were last sat, but lower than 2021, reflecting national trends. Therefore, outcomes have remained at a high standard. <p>Summer 2023 exam results will give an indication as to whether there are any lasting effects of the pandemic to learner outcomes.</p>		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190029	Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Director of Place & Infrastructure/Head of Place and Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190029/001	The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan.		Head of Place & Sustainability	Significant 20	High 12 Substantial Possible	
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/Kendal Davies)						
Maintain existing rating <ul style="list-style-type: none"> Non-domestic buildings account for ~70% of our reported carbon emissions. Consequently, Ameresco, our Re:Fit Cymru service provider, are currently producing a High Level Appraisal of 30+ sites to establish £ spend required to carry-out comprehensive energy conservation measures to help achieve our NZC commitments. They are also currently completing assessments funded under Welsh Government's low carbon heating feasibility grant. This work will be developed into a Phase 2 project to be delivered in 2023/24. 		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190009/002	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services		Head of Children Services	Significant 25	High 10	
CRR190009/003	To have a sound procedure for professional abuse allegations effectively promptly and correctly		Head of Children Services		Catastrophic	
CRR190009/004	To respond appropriately to Regulators reports and recommendations		Head of Children Services		Unlikely	
CRR190009/005	To proactively monitor adequate procedures are being effectively operated by third party providers		Head of Children Services			
CRR190009/006	Ensure sexual exploitation Risk Assessments (SERAFs) and Missing Persons Risk Assessments are completed as required		Head of Children Services			
CRR190009/010	New arrangements implemented for our leaving care services in accordance with the Social and Well-being Act 2014		Head of Children Services			
Action Items						

<ul style="list-style-type: none"> Departmental Review for CMT - 02/03/2023 <p>The Risk Rating remains High, the impact of failing to deliver effective safeguarding remains Catastrophic 5. Circumstances have not changed since the last review and therefore the probability remains Unlikely 2.</p> <p>The corporate parenting panel has had their first meeting with new council members. The corporate parenting strategy is due for review and will need to be re written with new targets based on more specific corporate parenting expectations placed on councils and specifically education, housing, community and leisure services. There is an increase in the number of looked after children. There is an increase in the number of children requiring specialist residential care. There is a reduction in the number of foster carers able to provide care for our looked after children in their own communities. There is an increase in the number of children being temporary excluded from schools or without a school placement. The new corporate parenting strategy will have to ensure that there is commitment to sufficient resources to fulfil the local authority's corporate parenting responsibilities effectively.</p> <p>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.</p> <p>There is a sound procedure for professional abuse allegations to be dealt with effectively, promptly and correctly. We continue to ensure the regional threshold and multi agency child protection arrangements are working effectively.</p> <p>All regulatory reports and recommendations are included in business planning and monitored quarterly.</p> <p>We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts.</p> <p>Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group.</p> <p>Schools are required to undertake a School Safeguarding Review to identify effective practice and challenges. Not all schools have completed and submitted their reviews, 15 schools have not completed, some due to specific staffing issues with school leadership, Education Support Advisors 's are aware. All Safeguarding Training for schools is currently up to date and all within timescales including Governors' training.</p>	<p>Feb-23</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				
CRR190023	The post Brexit Settlement	Economic Development Manager				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190023/005	Decrease in external funding due to new SPF regimes		External Funding Manager	High	Medium	
CRR190023/001	Officer/Member Working Group with representations from all council services		Economic Development Manager	12	9	
CRR190023/002	Review all services/plan contingencies		Economic Development Manager		Significant	
CRR190023/003	Follow advice from Welsh Government and WLGA		Economic Development Manager		Possible	
CRR190023/004	Communications with residents and businesses		Economic Development Manager			
Action Items						

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Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Place & Infrastructure/Head of Place and Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190058/001	Identify and triage "major" applications and those related to the Council's Covid Recovery Strategy along with those with grant related potential - identify opportunities for consideration where available.		Head of Place & Sustainability	Significant 20	Medium 9	
CRR190058/002	Lobby and work with WG/NRW to get clarity around the scope of the requirements resulting from the Interim Advice to ensure that the authority can progress with determinations whilst still meeting its duties as a Competent authority in relation to the Habitat Regulations		Head of Place & Sustainability		Significant Possible	
CRR190058/003	Stakeholder Engagement - Instigate a communication and awareness raising programme reaching out across all sectors to ensure the implications are known and to develop an understanding of shared ownership and solution finding in addressing the issue		Head of Place & Sustainability			
CRR190058/004	Developer and Applicant Guidance - Preparation of a guidance pack for applicants and developers on the type and application of mitigation in relation to proposals impacted by the NRW guidance		Head of Place & Sustainability			
CRR190058/005	Develop a Catchment based Phosphate Calculator - Develop and implement including NRW endorsement. Calculator would enable the phosphate loading from any given development to be understood and consequential mitigation/compensation schemes to be identifiable.		Head of Place & Sustainability			
CRR190058/006	Specialist Legal and Ecological Support - Ensure decision making is supported by robust interpretations of the Council's duties and of the NRW guidance including identifying opportunities to refine the scope of the guidance and our understanding of the types of development that may be permissible.		Head of Place & Sustainability			
CRR190058/007	Provide a dedicated and continually refreshed webpage to set out the latest information and any updated guidance. To include also provide guidance for planning applicants, businesses and other interested parties - ensuring support and information is available.		Head of Place & Sustainability			
CRR190058/008	Collaborate across sectors on developing an understanding of the issues and in establishing solution based approaches.		Head of Place & Sustainability			
Action Items						

<ul style="list-style-type: none"> Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/ Ian Llewelyn) <p>Maintain existing risk rating.</p> <p>Control measure updates CRR190058/002 – Revisions to the NRW Guidance delivered through lobbying and collaborative working on additionality on over night accommodation e.g. uses not generating overnight use e.g. employment, schools, appropriate health and social care may where appropriate be permitted. Planning applications for Extensions also being determined. CRR190058/003 – Stakeholder working group being established as part of and to support the work of the three NMBs. CRR190058/004 – Mitigation Guidance has been published and is being accessed by developers and planning applicants in identifying potential options for mitigation. CRR190058/005 – A phosphate calculator is in operation and available on the Councils website. This is being improved to operate on a catchment basis the Cleddau, Teifi and Tywi Catchments based on the cross-border work through the NMB. We are also supporting and providing guidance to NRW on the development of an all-Wales calculator noting our experience as the only authority in Wales to develop and operate a calculator.</p>	<p>Feb-23</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				
CRR190014	Delivery of the Pentre Awel Project (Outcomes / Budget)	Chief Executive				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190014/001	Project Board is operational with suitable governance and representative membership		Chief Executive	Significant 16	Medium 8	
CRR190014/002	Development of Zones 1-4 of Pentre Awel consisting of business, education and skills, research and clinical delivery and leisure facilities (Zone 1), assisted living (Zones 2 and 3), affordable and social housing (Zone 2) and hotel and open market housing (Zone 4)		Chief Executive		Substantial Unlikely	
CRR190014/003	Financial Planning		Director of Corporate Services			
Action Items						
<p>Departmental Review for CMT - 02/03/2023</p> <p>A comprehensive governance structure is in place with representatives from all partners engaged in appropriate work groups. The governance structure takes account of the reporting structure within Carmarthenshire County Council, City Deal and as appropriate partners. The governance structure reflects the build phase of the project and incorporates a management framework for construction delivery and for the oversight of delivery of Community Benefits.</p> <p>During the previous reporting report, Cabinet and Full Council approval was obtained in January 2023 to proceed to the construction stage based upon an expected contract sum. In February 2023, CCC and BYUK finalised and entered into a NEC3 Construction Contract. This is a significant milestone for the project that mitigates some of the previously highlighted risks around budget, cost certainty and programme. The contract will be administered by Gleeds Management Services with Gleeds Cost Management providing the cost control/management function.</p>		Mar-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190060	Critical Authority wide IT systems	Head of ICT & Policy				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190060/001	Main server and backup server at different sites		Head of ICT & Policy	Significant 20	Medium 8	
CRR190060/002	Microsoft database SQL expertise in IT department		Head of ICT & Policy		Substantial Unlikely	
Action Items						
Departmental Review for CMT - 02/03/2023						
This risk remains at medium. We continue to work with departments to look at potential cloud hosted options for systems where practical. IT Systems hosted on-premises are housed in our data centres located in Carmarthen and Ammanford providing redundancy should a DR situation occur. Recent DR tests have been undertaken to test this which have been successful.		Mar-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190010	Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190010/001	Representation at the Regional Board		Director of Communities	Significant 16	Medium 8	
CRR190010/002	Implementing effective safeguarding policies and procedures for vulnerable adults		Director of Communities		Substantial Unlikely	
CRR190010/003	Monitoring the performance of safeguarding within adult services		Director of Communities			
CRR190010/004	Responding to regulators reviews and recommendations		Director of Communities			
CRR190010/005	Monitoring of third party providers to ensure safeguarding procedures are being effectively operated		Director of Communities			
CRR190010/006	Robust process for professional concerns and increase staffing resource to respond to increasing demands		Director of Communities			
Action Items						
<p>Departmental Review for CMT - 02/03/2023</p> <p>Carmarthenshire continues to be represented on the Regional Safeguarding Board and associated subgroups. There is now a merged practiced review group for Adults and Children which is chaired by Dyfed Powys Police. The process for managing and tracking reviews and recommendations is managed by a dedicated post in the Regional Safeguarding Team.</p> <p>Performance in relation to safeguarding is consistent despite an increase in the number of referrals and complexity. There are no outstanding actions to respond to in terms of regulatory requirements.</p> <p>Carmarthenshire continues to lead I on strategic developments in relation to Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV) Suicide and Self harm prevention is now a priority for the Safeguarding Board and Carmarthenshire Safeguarding Operational group.</p> <p>A regional multi steering group chaired by the Head of Adult Social Care is piloting an immediate response to suicide, this is being progressed on a local authority footprint as part of the safeguarding arrangements. The Corporate Safeguarding Group has revised its Terms of Reference and Safeguarding Policy. Within the HR department, an officer has been appointed to ensure the council has safe recruitment and is working closely with the Corporate Safeguarding Group in this regard.</p>		Feb-23				

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Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190006	Ensuring effective People Management (including interpreting changes in HR legislation, capacity and compliance with Employment Law and Health & Safety Legislation)	Assistant Chief Executive				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190006/001	Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring, appraisals and supervision, probationary policy		Assistant Chief Executive	Significant 16	Medium 8	
CRR190006/002	Development of Employment Policies and briefings and training, audit and monitoring		Assistant Chief Executive		Substantial Unlikely	
Action Items						
<p>Departmental Review for CMT - 02/03/2023</p> <p>The H&S team has re focussed its work from Covid to ensure all health and safety risks are identified managed effectively.</p> <p>In terms of HR – a comprehensive work programme is in place; we have reviewed a range of policies to align with the Better Ways of Working project and developed new Hybrid Working guidance with online resources to support Managers and their teams who are moving to a hybrid way of working.</p> <p>More recently we have undertaken an Employee Engagement Survey, the results of which will:</p> <p>a) be used to improve how engaged our workforce is and</p> <p>b) act as an annual benchmark for improvement.</p> <p>The recent IIP review has concluded, and we have been awarded the Gold standard – with many of the themes sitting in the Platinum range, which puts us in a good place to further improve.</p> <p>No new legislation on the horizon although we are keeping a watching brief on the Exit Pay cap.</p>		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190022	Manage and Develop Cwm Environmental & Llesiant Delta Wellbeing	Corporate Management Team				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190022/001	Governance arrangements incl management and Councillor representation on Shareholder/Governance Boards		Corporate Management Team	Significant 16	Medium 8	
CRR190022/002	Compliance with Companies Act and relevant legislation		Corporate Management Team		Substantial Unlikely	
CRR190022/003	Financial Planning Financial Reporting arrangements Audit programme		Corporate Management Team			
CRR190022/004	Training to be arranged for Directors		Corporate Management Team			
Action Items						
Departmental Review for CMT - 02/03/2023						
A review of the Governance arrangements for both Local Authority Trading Companies with a view to aligning the arrangements and clarifying roles of Members and Scrutiny Committees in relation to Local Authority Trading Companies is being led by Linda Rees Jones and is now nearing completion and will shortly be reporting to Cabinet. Governance reporting through to Scrutiny and training for Directors was discussed at the CWM shareholders meeting in January 2023. The outcome was that this would be incorporated into the review being led by Linda Rees Jones.		Mar-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190007	Ensuring effective management of Procurement / Contract Management and Partnership arrangements	Head of Revenues & Financial Compliance				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190007/002	Participation in the WLGA Heads of Procurement Forum		Head of Revenues & Financial Compliance	Significant 16	Medium 8	
CRR190007/003	New Procurement Strategy developed and approved in April 2018		Head of Revenues & Financial Compliance		Substantial Unlikely	
CRR190007/005	TIC Expenditure Stream		Head of Revenues & Financial Compliance			
CRR190007/006	Economic Recovery Plan / Progressive procurement approach - agreed and signed off by CMT, P&R, Scrutiny and Cabinet		Head of Revenues & Financial Compliance			
Action Items						
Departmental Review for CMT - 02/03/2023						
The Procurement Strategy is currently being updated with the aim of having this in place for 2023. Contract management guidance and an accompanying eLearning module and introductory video are now live on the Procurement intranet pages. These will be promoted in numerous places including the staff newsletter in forthcoming weeks.		Feb-23				

Carmarthenshire Corporate Risk Register

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190012	Failure to adhere to an effective Corporate Governance Framework	Head of Revenues & Financial Compliance				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190012/001	Corporate Governance Group		Head of Revenues & Financial Compliance	Significant 16	Medium 8	
CRR190012/003	Annual Governance Statement		Head of Revenues & Financial Compliance		Substantial Unlikely	
Action Items						
Departmental Review for CMT - 02/03/2023						
The Corporate Governance Group continue to meet. The Annual Governance Statement Action Plan is reported on a quarterly basis to Governance and Audit Committee with an overview of the actions.		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team


Risk Ref	Risk Title	Assigned To				
CRR190051	Covid19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Chair - Silver Recovery				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190051/001	Silver Recovery Group		Chair - Silver Recovery	Significant	Medium	
CRR190051/002	Performance Management Framework quarterly reporting & monitoring to CMT		Chair - Silver Recovery	16	6 Moderate Possible	
Action Items						
Departmental Review for CMT - 02/03/2023 Risk rating kept at Medium (6): Moderate (2) for Impact, and Possible (3) for Probability. Silver and Gold Command remain as stood down. Seasonal variances, especially leading into Winter months) continue to be monitored for any triggers that could lead to patterns of concern or new waves of infection. Operationally, the organisation and other public service partners are more resilient with established systems and procedures in place to mitigate this risk, as we all learn to live with Covid.		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190040	Covid19 - Strategic Availability of Personal Protective Equipment (PPE)	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190040/001	Procurement arrangements in place for PPE		Director of Communities	Significant 25	Medium 6	8  -2
CRR190040/002	Central controlled stock arrangements in place		Director of Communities		Moderate	
CRR190040/003	Stock management is robust to ensure correct level of supply and use		Director of Communities		Possible	
Action Items						
Departmental Review for CMT - 02/03/2023						
CCC still has adequate access to PPE, and no supply chain issues. There is still a number of infections running through homes, and its important that homes continue to have PPE available in the short term. Will continue to review the situation with the current PPE store. Risk continues to reduce over time as market stabilises for PPE supplies. Previous risk rating was Substantial / Unlikely = Medium 8.		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190063/001	A dedicated officer and support staff have commenced work on 'Major Projects' that support the county's economic recovery plan outputs and aspirations		Head of Place & Sustainability	Significant 20	Medium 6	
CRR190063/002	Establish a Corporate Major Projects Group comprising council officers representing the range of services involved in development proposals, e.g. Planning, Regeneration, Highways & Legal (but not limited to). Priority focus to be afforded to projects that deliver jobs and growth in support of the Council's economic recovery plan. This will be led by the Head of Regeneration.		Head of Regeneration		Moderate Possible	
CRR190063/003	Protocol to be developed covering applications for major development projects (schemes above 10 residential units or 1,000 m ² of commercial development) – setting out how we will engage with applicants / developers, with clarity and commitment on the process(es) we will adopt to provide a quality and efficient planning process. Protocol will include, and clearly articulate, the programme activities, timescales and responsibilities that will support CCC's protocol and commitment to determine major applications.		Head of Place & Sustainability			
CRR190063/004	Consideration to be given to whether a Planning Performance Agreement (PPA) should be entered into with applicants for major development projects. PPA would set out set out the scope and timetable for pre-application engagement and subsequent submission and determination of the planning application. Possible useful project management tool that would be bespoke to each development, requiring commitment from both parties – applicant and LPA.		Head of Place & Sustainability			
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths(Hugh Towns) Control measure updates CRR190063/004 – The Authority is actively exploring the potential for Planning Performance Agreements to ensure major development is delivered in a timely manner. We currently have 36 major applications under consideration (24 for major housing schemes and 12 for major non-housing projects). Six are awaiting S106 Agreements being completed. Four have been received and 3 determined since the last update. All control measures are in place and consider removing this from the register.		Feb-23				

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Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
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 Sustainability performance monitoring.)	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190064/001	Planning Hwb to act as a single point of contact for Development Management and Enforcement queries.		Head of Place & Sustainability	Significant 20	Medium 6	
CRR190064/002	Develop, review and implement processes relating to the determination of planning applications.		Head of Place & Sustainability		Moderate Possible	
CRR190064/003	Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning applications.		Head of Place & Sustainability			
CRR190064/004	Develop a comprehensive suite of performance measures to ensure the Service can be held to account.		Head of Place & Sustainability			
CRR190064/005	Embed robust performance and case management within the Service to ensure effective performance management and improved performance.		Head of Place & Sustainability			
CRR190064/006	Review Scheme of Delegation and Planning Protocol and seek approval at CRWG/Full Council.		Head of Place & Sustainability			
CRR190064/007	To focus on positive recruitment and retention practices to motivate and sustain the workforce in order that we maintain a sufficient workforce and one that is equipped to perform their work requirements.		Head of Place & Sustainability			
CRR190064/008	Re-Design and develop a customer focused Planning section within the Corporate website.		Head of Place & Sustainability			
Action Items						

Carmarthenshire Corporate Risk Register

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Corporate Management Team

- Departmental Review for CMT – 02/03/2023
February 2023 Update (Rhodri Griffiths Hugh Towns)

Feb-23

Control measure updates

CRR190064/001 – Action completed

CRR190064/002 – Action Completed

CRR190064/003 – Action Completed

CRR190064/004 – Action Completed

CRR190064/005 – Action Completed

CRR190064/006 – Action Completed

CRR190064/007 – Ongoing

CRR190064/008 – Ongoing

PAM18 Performance indicator stands at 89.3% cumulative for 2022-23, far in excess of the Welsh Government target of 80%

Consider removing this item from the risk register.

