

**Carmarthenshire Risk Register for CMT 22nd February 2024**

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			Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190034/001	Cyber incident response plan		Head of ICT & Policy	Significant 25	Significant 20	
CRR190034/002	Staff awareness training		Head of ICT & Policy		Catastrophic	
CRR190034/003	Firewalls		Head of ICT & Policy		Likely	
CRR190034/004	Application control on servers		Head of ICT & Policy			
CRR190034/005	Security updates continuously rolled out		Head of ICT & Policy			
CRR190034/006	Annual, certified vulnerability assessments are carried out to find out if known vulnerabilities exist within our systems		Head of ICT & Policy			
CRR190034/007	Cyber Security Team conducts internal vulnerability scans continuously to ensure compliance with software update schedule and to quickly identify high risk issues.		Head of ICT & Policy			
CRR190034/008	Proactive monitoring of network and endpoint activity to detect and alert on potential adversarial behaviour - this includes post-compromise hacker activity as well as insider threats.		Head of ICT & Policy			
CRR190034/009	National Cyber Security Centre Advanced Cyber Defence tools are being used to help prevent commodity attacks.		Head of ICT & Policy			
Action Items						

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

- Departmental Review for CMT  
February 2024 Update

We are working with the elections team to understand the cyber risks that have been highlighted by electoral services to the upcoming elections. We are still receiving a high number of phishing emails which are bypassing the email filtering system (Microsoft Cloud Filtering). We are looking to review options and potentially migrate to another system. The launch of the ThinkQi L&D system is expected to happen in Q1 on this year. Cyber awareness training will then be delivered to all staff on an annual basis.

The current risk is significant. That is because we've increased the probability from possible to likely. We've had a very clear message from Audit Wales and the Welsh Government that "it's a matter of when, not if" we become victims of a successful attack of some sort. We're also seeing a large number of phishing attacks via email, some of which are getting through. UK Government have also put all public sector organisations on "high alert" due to the war in Ukraine, as of January this year.

**Risk Register - Carmarthenshire Corporate Risk Register**

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190038	Increasing sickness absence and management of stress in the workplace.	Assistant Chief Executive				
<b>Control Measures</b>						
CRR190038/001	Robust sickness absence management framework	Assistant Chief Executive		Significant 20	Significant 20	
CRR190038/006	Resilience, self-service training availability (preventative action)	Assistant Chief Executive			Substantial Probable	
CRR190038/007	Mental health / wellbeing checks integral part of 1-1's, supervision etc.	Assistant Chief Executive				
CRR190038/002	Robust stress management in the workplace framework	Assistant Chief Executive				
CRR190038/003	Provision of an adequately resourced occupational health service	Assistant Chief Executive				
CRR190038/004	Wellbeing Champions network	Assistant Chief Executive				
CRR190038/005	Mental Health First Aiders	Assistant Chief Executive				
<b>Action Items</b>						
	<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>Continues to be an area of concern.                      Short term absences are more problematic                      In relation to long term absences, NHS waiting lists and access to secondary care is a factor, meaning staff are off for longer.                      Work is underway within some departments to establish the underlying causes of absence.                      Training for additional MHFA being organised for March 2024                      Detailed monitoring reports considered at Scrutiny and CMT in the last 6 months.                      Dedicated HoS / CMT meeting scheduled in March to look at how we address the problem moving forward.                      Referrals into our OH service are increasing but recruitment into key posts is problematic.                      Despite the above control measures, absence levels do not appear to be reducing.                      No change to score.</p>					

Risk Ref	Risk Title	Assigned To			
CRR190033	<p>Extreme Weather Event - Operational Risk</p> <p>The physical effects of more frequent and intense weather patterns including storms and significant heat extremes 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>	Corporate Management Team			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					

**Risk Register - Carmarthenshire Corporate Risk Register**

Manager

Corporate Management Team

- Departmental Review for CMT  
January 2024 Update (Daniel John/ Ben Kathrens)

Recent analysis as suggested that in total, there are 12,600 addresses at risk of flooding from any source in Carmarthenshire.  
10,486 dwellings  
1,471 businesses

We have 2720 addresses at risk of tidal inundation  
5808 at risk of fluvial flooding and  
7099 at risk of surface water flooding

In contrast to last year, it has been a busy year with multiple storms and significant flooding. During Storm Gerrit and Henk over the Christmas and New Year period, we were significantly stretched in terms of our operational and strategic response, and we are investigating how we manage these situations better in the future, in partnership with blue lights services and partner Orgs.

We have continued to benefit from Welsh Government capital flood grant but the loss of a £225k revenue grant to the RSG is of concern. This year, significant capital projects have been delivered at Ammanford and Newcastle Emlyn and we will continue to manage our assets as efficiently as possible, utilising new technology.

Our current funded works programme will benefit 1500 properties and businesses (only 12% of those at risk in Carmarthenshire).

Financial pressure will impact on our ability to undertake preventative works but more importantly, we are struggling to recruit skilled Flood Risk Management officers and engineers. The team has operated with a vacancy rate of 15-20% this financial year but currently (Jan 24) the rate is closer to 35%.

- Financial position updated  
February 2024

£300k emergency repairs to 2 sections of highway following recent storms seeking Welsh Government funding (uncertain).



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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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 20	Significant 20 Substantial Probable	
Action Items					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>The current Risk Rating remains at Significant 20 (impact Substantial 4 and the probability remains Probable 5. This rating was increased in August 2023. School balances have reduced from £15 million March 2022 to £11 million March 2023. Director of Corporate Services presentation to Head Teachers Conference in June 2023 to highlight financial issues and to raise profile. Previous update still relevant for 2023 of '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 the scale of uncertainty over pay awards and construction cost inflation thus increasing the risk', as well as 2022 Soulbury still not agreed. 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 and with the situation worsening more schools will be going into deficit. The Schools' Transformation Project in relation to schools will support school leaders with ensuring value for money and securing further efficiencies. 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 into deficit budget and will increase the deficit in those schools already in deficit. The risk rating will be reviewed after the 2024-25 Budget consultation has been concluded. As a result of our Service Evaluation Report for Estyn and in light of additional financial savings required by schools, we need to review the funding formula for primary and secondary schools, and this is an Action in our Development Plan for 2023 24, currently work being undertaken by two experienced seconded headteachers to discuss current model with schools and explore possibilities in relation to formula funding.</p>					

## Risk Register - Carmarthenshire Corporate Risk Register

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Corporate Management Team

- Financial position updated February 2024

HOS of financial service raised profile in Chair of Governors Autumn Conference, Draft budget includes £2.454m. Forecast £8-9 million draw on school reserves by April 2024. Current trend not sustainable in the longer term.

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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				
<b>Control Measures</b>						
CRR190028/001	Develop and use a more robust competency based process to recruit school leaders		Head of Education and Inclusion	Significant 20	Significant 20	
CRR190028/002	Provide each new school leader with a mentor who's an experienced and successful school leader		Head of School Effectiveness		Substantial Probable	
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			
<b>Action Items</b>						
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>The current Risk Rating remains at the increased score of Significant 20, the impact remains Substantial 4 and the probability remains Probable 5. 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>Currently, there is significant demand on leadership in our primary sector. A number of headteachers retired at the end of the last academic year placing significant pressure on the system and officers to identify new leaders and attract appropriate qualified candidates. This has proved to be the case for a number of vacancies during the last couple of months.</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.</p> <p>The recruitment and retention consultation group have researched extensively the demand both locally and nationally, informing key priorities for improvement. The group has reported to scrutiny who have agreed all actions; subsequently action plans have been drafted, focussing specifically on developing a leadership academy, marketing education in Carmarthenshire, the recruitment process and the ongoing analysis of recruitment and retention data. A focus on shared roles, and the development of apprenticeship opportunities are also being pursued. In addition we have been selected by Cardiff University to work alongside them in exploring this national crisis further, sharing challenges and action plans.</p>						



**Risk Register - Carmarthenshire Corporate Risk Register**

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Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
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	Transformation programme to support services to become more commercial ensuring operating costs are fully recovered	Assistant Chief Executive					
CRR190056/007	Robust workforce planning framework to ensure Services consider and predict future needs and demands and plan accordingly knowledge, skills, service delivery models.	Assistant Chief Executive					
CRR190056/008	Wales Audit Office external challenge and assessment	Director of Corporate Services/Head of Financial Services					
CRR190056/010	Transformation programme to identify and delivery projects aimed at reducing duplication and waste	Assistant Chief Executive					
CRR190056/011	Transformation programme to maximise the benefits that AI can help us deliver	Assistant Chief Executive					
CRR190056/009	Individual Heads of Service to develop efficiencies following external budget challenge reports	Director of Corporate Services					
<b>Action Items</b>							

## Risk Register - Carmarthenshire Corporate Risk Register

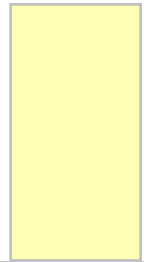
Manager

Corporate Management Team

- Departmental Review for CMT  
February 2024 Update

Very significant draw on School balances (£9m forecast vs £11m held at year end). Draft 24/25 budget based on £38m budget gap vs £11m WG funding. £10.8 m departments savings, £2m vacancy factor and 6.5%CT increase. Still requires £0.8m gap to be bridged. Budget includes significant risks over future pay awards & assumptions regarding full funding of teachers & fire fighters pensions.

Risk rating score has been considered and to remain at Significant as control measures are in place and monitored closely.



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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190077/001	Review employee remuneration to ensure competitive offer in marketplace and targeted promotion of vacancies.	Director of Place & Infrastructure/Head of Transportation & Highways	Significant	Significant	
CRR190077/002	Continue to engage with market to try to secure additional resources.	Director of Place & Infrastructure/Head of Transportation & Highways	25	20	
CRR190077/003	Prioritise HGV fleet and maintain Operator's licence.	Director of Place & Infrastructure/Head of Transportation & Highways		Substantial	
CRR190077/004	Ensure fuel security with monitoring of fuel supplies and bunkered store and have contingencies in place.	Director of Place & Infrastructure/Head of Transportation & Highways		Probable	

Action Items					
<ul style="list-style-type: none"> <li>Departmental Review for CMT January 2024 Update (Daniel John/ Richard Waters)</li> </ul> <p>Market engaged and additional resource secured with external contractors utilise to address peaks in demand. Operators Licence and service critical vehicles prioritised. Service performance monitored with Fleet availability targeted to be above 95%. Operational risk mitigated through supply chain engagement. Fleet transitioning to support net zero carbon goals with electric vehicles and charging infrastructure. Nature of risk is changing from operational to strategic.</p>					

**Risk Register - Carmarthenshire Corporate Risk Register**

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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 (£63 million), as a consequence of falling investment levels leading to high levels of demand and Increased level of claims.	Director of Place & Infrastructure/Head of Transportation & Highways			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
<ul style="list-style-type: none"> <li>Financial position update February 2024</li> <li>2024-25 Capital Programme increased allocation from £600k to £2M, though recognition that this is still not enough.</li> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£63 million), as a consequence of falling investment levels leading to high levels of demand and Increased level of claims.</p>					

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			Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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				
CRR190067/006	Refresh of domiciliary care commissioning framework completed	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning				
CRR190067/007	Commissioned preventative services in the third sector to develop five community hubs to reduce demand pressures.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning				
CRR190067/008	Developed the Care Academi.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning				
Action Items						

- Departmental Review for CMT  
February 2024 Update

We continue to experience pressures, however, there is a gradual reduction in numbers of people waiting for a package of care and on going action are as follows:

We have recently refreshed our domiciliary care framework and this has attracted a number of new providers to the market.

Our strategic approach to grow the in house service remains, but recruitment challenges has impacted on our ability to achieve this.

However, we are seeing an increased number of applicants in recent weeks which will have a positive impact.

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 and numbers waiting I hospital for care have reduced significantly. 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. Waiting lists are down, time taken to carry out assessments has also reduced. Whilst this currently indicates a stable position and a reduced risk, the situation in the home care market remains volatile and is under constant review.

- Financial position updated  
February 2024

Draft budget papers reference need for national debate over funding mechanisms as weekly cap has remained fixed despite high inflation.



# Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190049	Risk of local business and economy not recovering from the cost-of-living crises and rises in energy and inflation.	Head of Regeneration				
Control Measures			Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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	Embed the Carmarthenshire 1st approach as part of our progressive procurement process.	Head of Regeneration				
CRR190049/005	Robust economic plans to protect jobs and safeguard businesses.	Head of Regeneration				
Action Items						

- Departmental Review for CMT  
February 2024 Update

Work continues to deliver the Carmarthenshire Economic Recovery Plan (ERP) £4.5m of financial support has been made available to businesses over the next two years through the Shared Prosperity Fund (SPF) business anchor projects via the Property development Fund (PDF), Business Renewable Energy Fund (BREF) and Business Growth & Start Up Fund. - The PDF, BREF and Business Growth & start Up funds were all launched March 2023. Business Renewable Energy Fund - 39 Expressions of Interest have been approved to the value of the available fund. Of those EOIs 17 grant awards have been made totalling £471,000. Property development Fund - 5 Stage 1 applications totalling a value of £3m have been assessed and a prioritisation exercise has been undertaken which has resulted in 3 of those projects being invited forward to submit detail applications for the available £1.5m fund. Two of the three projects have now received formal awards totalling £960,000 and work has commenced on site. To end December 2023, 69 awards (18 start up and 51 Growth) totalling £464k have been approved under the business growth and Start up fund. Funding has also been secured under the SPF business anchor to deliver the Sir Gâr Business Engagement Project that will see support provided to businesses to encourage inter trading, support local supply chains, support delivery of progressive procurement initiative and encouraging entrepreneurship – work has commenced on delivery of business engagement project in October 2023 with a 18mth plan in place to deliver the project. The Christmas Pop up initiative has been successfully delivered in Carmarthen, Ammanford and Llanelli Town Centres supporting 66 local businesses. The Business Engagement team have supported the procurement team and the various purchasing managers / teams to raise awareness of up and coming CCC tenders / contracts among the business community. Recent contracts included Minor works, PPE & Workwear, Drainage and Civils, Property Work Framework as well as the 2nd tier opportunities of Pentre Awel. The team have also worked in partnership with the procurement team to run Procurement & Business Support Surgeries, which have proven very successful. Each session, of which there have been 7 to date, have been fully booked with the maximum of 12 businesses per day. These have been held in The Beacon, Yr Egin, and the Carmarthen Hwb with more being planned for 2024 which will take place in the rural towns throughout the County. The team are also mapping businesses which can be added to lists for procuring officers in CCC to request quotes for work less than £25k, resulting in more work being sourced from Carmarthenshire businesses. Generally the CCC business team have also engaged with 6 large employers in relation to business development and provided a further 56 businesses with general engagement / enquiries / referrals to support and funding.





Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
CRR190069/001	Parcel work based on type and geographical location to encourage take up by contractor			Head of Housing Property & Strategic Projects	Significant 20	Significant 16	
CRR190069/002	Introduce a new Property Works Framework by August 2023			Head of Housing Property & Strategic Projects		Substantial Likely	
CRR190069/003	Staffing resources to be reviewed as part of Divisional realignment in 2022			Head of Housing Property & Strategic Projects			
CRR190069/005	Employment of additional operational staff to provide greater in-house resilience and to reduce dependence on limited contract contractor base in the area			Head of Housing Property & Strategic Projects			
CRR190069/006	Undertake a review of Voids repair 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			
CRR190069/008	Discussions with contractors to encourage take up of work during remaining period of the Minor Works Framework			Head of Housing Property & Strategic Projects			
Action Items							

- Departmental Review for CMT  
February 2024 Update

Work continues to be packaged by geographic area and by type to facilitate delivery by the limited number of contractors available via the current Minor Works Framework. We are also trialling in-house operatives working on Saturdays to make further progress in reducing the backlog. The volume of work being delivered has increased from 26,000 last financial year to a projected 32,000 this year. While turnaround times have improved in some key areas, other repairs continue to take longer than desired. The new Property Works Framework is to be issued for tender by the end of January for implementation from 1st August 2024.

Staffing resources continue to be reviewed and the 2024/27 HRA Business Plan sets out that "We plan to increase our in-house provision around managing and implementing repairs and re-balance the current split between internal and external contractors." and "In 2024/25 we will introduce a new handy person service which will give our officers more "tools" to do their job and have direct access to preventative services on our estates. The handy person service will focus on carrying out low level repairs on tenant's homes, ground maintenance and general improvement works on priority estates in the Carmarthen, Ammanford and Llanelli areas."

Discussions have been held with a number of contractors to identify reasons for not taking work, with some success, although framework rates, skills shortages and high demand remain barriers to framework contractors taking work. The new Framework and batching of work should lead to improvements.

Some additional operational staff have been recruited for responsive maintenance and voids, but approval is awaited to employ in-house staff for Adaptations. The ambition remains to significantly further increase in-house resources from spring 2024, subject to a review of productivity and efficiency of the current in-house team.

The Voids Review was completed in May 2022 and all the recommendations have been accepted. Implementation of many have completed and some are ongoing. A cross-Divisional Implementation Group has been established to monitor and deliver ongoing progress. We have also worked with House Mark to undertake an external review of our Voids Service with additional actions identified for the Action Plan. Voids have reduced from a peak of 434 at the end of May 2022 to a current level of 197 at the end of January 2024.

Implementation of Total Connect is ongoing and is due to be completed on a phased basis over various teams between now and April 2024.



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						
			Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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	16	
CRR190032/003	Continue to work with our professional partners (as a LLFA)		Director of Place & Infrastructure		Substantial	
CRR190032/004	S19 Reports and action plans		Director of Place & Infrastructure		Likely	
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						

**Risk Register - Carmarthenshire Corporate Risk Register**

Manager

Corporate Management Team

- Departmental Review for CMT  
January 2024 Update (Rhodri Griffiths/ Ben Kathrens)

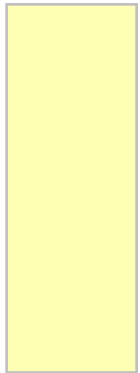
Maintain existing rating.

In 2024, we are currently completing a flood risk management strategy which will seek to evaluate the risk across the county and in our 6 primary risk catchments. The strategy and associated plan will set out our priorities for managing flood risk over the next 7 years (2024-2030).

Our annual works programme also involves the strategic evaluation of flood risk at community level.

This has included to date:

Llanybydder, Llandysul, Llangennech, Kidwelly, Penyfan and Trostre (East Llanelli), Heol Buckey (Llanelli), Bynea (Llanelli), Ammanford and Whitland.



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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
<ul style="list-style-type: none"> <li>Departmental Review for CMT January 2024 Update (Daniel John/ Geinor Lewis)</li> </ul> <p>Improvements in current infrastructure for recycling- Following the initial stage of the Waste Strategy by implementing improvements to kerbside recycling facilities, further work to plan the Bring Site review has been finalised and an operational programme of works is due to commence in February to reduce the bring site network by 75%. Due to the kerbside glass collection handling 2,686 tonnes from one year January 2023 – January 2024 there is no longer a requirement for the extensive network of community bring sites as they are no longer receiving the volumes of glass with 96% of households receiving kerbside provisions. Reducing the bring site numbers allows efficiencies in terms of resource requirements and reducing carbon footprint through less vehicle movements and allowing for more glass to be collected at kerbside promoting increased recycling opportunities and reducing the material entering the non-recyclable waste stream.</p> <p>Education, Awareness and Enforcement Community Recycling Advisors, Waste Wardens and Enforcement Officers have been actively engaging within the community to initially raise awareness and educate residents into full compliance with the kerbside recycling scheme. Proactive targeted engagements have been undertaken in hotspot areas where larger areas have been identified with non-compliance and a collaborative team approach has been established to deal with the issues of concern. This allows for a tailored approach whereby pending the issues the relevant officers can deal with the matter, ranging from advice and recycling item provisions to s.46 notice. Programmes of work have been created to undertake proactive engagement and the teams undertake reactive call outs when identified issues are raised. Communications in terms of recycling scheme and key messages around recycling items have been developed.</p> <ul style="list-style-type: none"> <li>Financial position updated February 2024</li> </ul> <p>£2M pressure included in 24-25 budget to recognise increased ongoing costs of interim waste collection service.</p>					

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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190029/001	The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan.	Head of Place & Sustainability	Significant 20	Significant 16 Substantial Likely	
Action Items					
<ul style="list-style-type: none"> <li>Departmental Review for CMT – 22nd February 2024 January 2024 Update (Rhodri Griffiths/ Kendal Davies)</li> </ul> <p>Increase the risk rating to Substantial x Likely = 16</p> <ul style="list-style-type: none"> <li>In 2022/23, our finalised total reported emissions reduced by -6.3% compared to 2021/22 i.e., Streetlighting (-2.8%), Fleet (+0.3%) and Business Mileage (+7.5%). There was a significant -9.1% reduction in emissions from our Non-Domestic Buildings (these account for ~70% of our total reported carbon emissions). Since 2016/17 our reported carbon emissions have reduced by -36%.</li> <li>In August 2023 we secured Welsh Government Low Carbon Heat Grant funding for six primary schools. Total project cost is £4.42m with 90% funding of £3.57m (2023/24) plus £0.41m (2024/25).</li> <li>Welsh Government are funding Local Area Energy Plans (LAEPs) to ensure coverage across each local authority area by 31/03/2024. We are the lead local authority for the SW Wales Region, and work is progressing well.</li> <li>We are on target to publish a revised Net Zero Carbon (NZC) / Decarbonisation Plan by 31/03/2024 that will incorporate Welsh Government guidance, together with trajectories for carbon emission reductions accompanied by milestone targets.</li> <li>The estimated cost of achieving the council's low carbon net zero plan is £166+m. This estimate is based on £133m in achieving 80% compliance with the target recognising the disproportionate cost of additional mitigation measures in achieving the residual 20% reduction through carbon mitigation measures. It is anticipated that the 20% residual carbon would likely be delivered through carbon offsetting. Total cost is therefore likely in excess of £166m+ to achieve the net zero commitment. In light of the budget settlement and while the council will explore all avenues of funding to support the programme, the total cost of monies to fund the programme is yet to be identified ahead of 2030.</li> </ul>					

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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
<ul style="list-style-type: none"> <li>Departmental Review for CMT January 2024 Update (Daniel John/ Richard Waters)</li> </ul> <p>Officers continue to work with private transport operators to ensure the supply of transport services continue to meet the changing demand for home to school transport. Active engagement by officers on a national and regional basis with WG takes place to maximise passenger transport services for the available funding with services adjusted in accordance with allocated WG funding.</p> <ul style="list-style-type: none"> <li>Financial position updated February 2024</li> </ul> <p>Significant overspend in current year budget pressure funded in 24/25 budget.</p>					

# Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190061	Attracting, recruiting and retaining talent	Assistant Chief Executive					
CRR190061/001	Improved internal recruitment processes including approach to interviews.	Assistant Chief Executive			Significant 25	High 15	
CRR190061/002	Flexible People Management policies	Assistant Chief Executive				Catastrophic	
CRR190061/003	Up to date Workforce Strategy	Assistant Chief Executive				Possible	
CRR190061/004	Robust Workforce Planning	Assistant Chief Executive					
CRR190061/005	Improved employer branding	Assistant Chief Executive					
CRR190061/011	Visible career pathways with sponsored qualification frameworks for progression (alternative routes to higher education)	Assistant Chief Executive					
CRR190061/006	Flexible People Management policies	Assistant Chief Executive					
CRR190061/007	Opportunities to develop	Assistant Chief Executive					
CRR190061/008	Provision of wellbeing support	Assistant Chief Executive					
CRR190061/009	Providing staff with a voice	Assistant Chief Executive					
CRR190061/010	Employer of Choice - Improve linkages between L&D and Education Department to promote career opportunities within schools e.g.	Assistant Chief Executive					
<b>Action Items</b>							

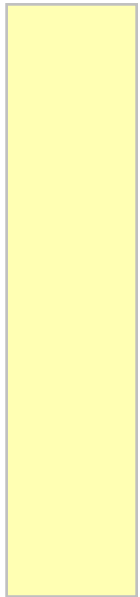


**Risk Register - Carmarthenshire Corporate Risk Register**

Manager

Corporate Management Team

- Departmental Review for CMT February 2024 Update
  - New Recruitment System go live date 15 February which will see all services accessing it by the end of 2024. This will go some way to improving employer brand.
  - People Management policies are regularly reviewed, updated and developed to respond to changing employment legislation and needs of the organisation
  - New Workforce Strategy on target to published from April 2024
  - New Workforce Planning toolkit available and promoted to managers. We have a robust workforce planning framework in place, with a range of resources available to managers, who have access to people management data to help them. Managers now need to use these resources and DMT's now need to come up with departmental workforce plans.
  - New Learning Management System on target to be launched this year
  - New Learning & Development Policy on target to be published during 2024 – ensuring fair access to learning opportunities for all.
  - There are concerns about the ability of the internal wellbeing team to continue providing the level of support as previously due to reduced staffing, recruitment freeze and funding.
  - Staff Forum meeting once a quarter. Annual staff survey completed. Hybrid working survey completed. Digital Skills survey completed.
  - Work underway with education colleagues. People Management representation at January Insight event to promote the careers available.
  - No change to risk rating.



**Risk Register - Carmarthenshire Corporate Risk Register**

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190073	Ensure effective Business Continuity Arrangements are in place.	Corporate Management Team			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190073/001	Risk Management group 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					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>The Business Continuity Task &amp; Finish Group met on 21st November 2023; amended Business Continuity templates to go forward to the next Contingency Planning Working Group meeting scheduled for 26th February 24 for sign-off.</p>					

Risk Ref	Risk Title	Assigned To				
CRR190050	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.  - Failure to meet grant expenditure conditions. - contractors resources depleted - contract failure - cost increases - sourcing materials - Contractors unwilling to carry out work at framework prices	Property Maintenance Manager				
Control Measures			Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190050/001	Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.	Property Maintenance Manager		Significant 20	High 15	
CRR190050/003	Undertake regular financial checks on suppliers.	Property Maintenance Manager			Catastrophic Possible	
CRR190050/004	Approved exception process in place for exceptional circumstances	Property Maintenance Manager				
CRR190050/005	Undertake a review of the Council's Contract Risk allocation	Property Maintenance Manager				
Action Items						

- Departmental Review for CMT  
February 2024 Update - Andrew D Tidy

Propose to maintain existing risk rating.

CRR 190050/001 – The remainder of pipeline of projects for SWWRFC20 continues to be reviewed with Sponsors as part of ongoing project progress, budget monitoring and scheme governance meetings. We continue to gather contractor data via our Key Performance Indicators. The pipeline for SWWRFC24 is currently being developed in readiness for the targeted launch of the new framework in November 2024.

CRR 190050/003 – In line with current protocol, financial checks continue to be undertaken as part of the contractor procurement process for each major project. Framework contractors are required to maintain the minimum financial requirements to allow qualification. In terms of individual major projects, budget monitoring continues to be undertaken on a continuous basis.

CRR 190050/004 – As per last report, the approved exception process continues to be used when required to progress projects (Section 151).

CRR 190050/005 – As per last report, the Head of Risk and Compliance has examined the contractual limitation of liability and has made a deliberated decision to align the cap with the level of Professional Liability. The determination of the Professional Liability level will be established by the Risk Section as an integral part of a procurement call off process. Discussions are continuing with the Risk Section in respect of professional service contracts in outlining of the particulars of Employers' Liability, Public Liability and Professional Indemnity policies. This is being supported by external legal advice.



**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190072	Deterioration of the condition of school and non-school buildings due to resource pressures (financial and human) necessitating postponement of timely interventions	Property Maintenance Manager			
Control Measures			Control Owner	Uncontrolled Risk Rating	Current Risk Rating
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	Property Maintenance Manager			Catastrophic
CRR190072/003	Risk Management bid to be considered to fund urgent building condition surveys	Property Maintenance Manager			Possible
CRR190072/004	Establishment of a Schools Handy Van service for Primary school, with 2 inspections by an inspector annually.	Property Maintenance Manager			
Action Items					

- Departmental Review for CMT  
February 2024 Update - Jason G Jones

001 & 002 Ongoing condition surveys of educational facilities are being conducted as per the established program, in accordance with the framework agreed upon with Corporate Property. Notably, the most recent condition surveys indicate a noteworthy enhancement in overall facility conditions. However, it is essential to acknowledge that this improvement may be attributed to the implementation of a revised methodology introduced by the Welsh Government.

Presently, our projections indicate a substantial projected requirement of £80 million over the ensuing five years. This funding is necessary to ensure the continued maintenance of our entire commercial property portfolio at a level that aligns with reasonable condition standards.

004 The TIC Programme Board is overseeing the progress of the Schools Handy Van service. As part of this oversight, regular inspection visits for primary schools by the Handyvan team and Building Inspectors persist.

In our Property Maintenance team, we've compiled a thorough list of repair needs that require budget approval from the relevant schools. Unfortunately, there have been delays in obtaining these approvals. However, after recent proactive communication with the schools, we've managed to decrease the number of jobs awaiting budget approval. The remaining tasks have been forwarded to the Head of Education & Inclusion Services for approval.

In parallel, we have undertaken a cost analysis for the expansion of our services to encompass Secondary Schools and Corporate buildings. A business case has been developed and is presently under consideration through the development of a DOR.

In pursuit of continuity beyond the trial period, the Education Department has been tasked with the responsibility of formulating a growth bid to sustain the Primary Schools Handyvan Service.



# Risk Register - Carmarthenshire Corporate Risk Register

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190014	Delivery of the Pentre Awel Project (Outcomes / Budget)	Chief Executive			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190014/001	Project Board is operational with suitable governance and representative membership	Chief Executive	Significant	High	
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	16	12	
CRR190014/003	Financial Planning	Director of Corporate Services		Substantial	
				Possible	
Action Items					

- Departmental Review for CMT  
February 2024 Update

From a construction perspective, Zone 1 works are being delivered through the appointment of Bouygues UK Ltd as the principal contractor. The contract is being managed and administered in accordance with the NEC form of contracts. Works have been progressing well with the steel frame due to be completed in mid January and a topping out ceremony proposed for the end of February. Recent Health Board changes to scope and provision of space for the Zone 1 building is being captured and managed with impact on time and programme being considered. Community benefits are being delivered in line with the contractor's commitments and obligations. The plans for Zones 2 and 3 are being reviewed against the original business case and current demand/population need, with a view to providing a clear scope and timeline for the way forward. The hotel development in Zone 4 is on track and the Council will be going out to the market in late January 2024 for a development partner to take this aspect forward.

There has been significant progress over the last quarter, to reduce the risk in terms of the long-term operation of Pentre Awel as follows:

- Swansea University has signed their intention to lease for their Health and Wellbeing Academy.
- The final designs for the Health Board demise are in the process of being agreed and signing of the intention to lease is anticipated during February 2024.
- Funding has been secured via the Shared Prosperity Fund for two aligned bids delivered in partnership with Swansea and Cardiff Universities. The purpose of these grants is to provide the support to draw in potential business start ups/established businesses to secure space in Pentre Awel. A working group is due to commence in February 2024 to deliver the wider Business and Innovation Strategy for the development.
- Dialogue continues with education partners surrounding potential proposals to utilise the remaining space.

The risk surrounding long-term financial viability however still remains as current tenants secured equate to 28% occupancy against a target of 70% occupancy required on day 1 of operation to make the business case financially viable. A detailed project plan is in place and being delivered with a view to pursuing every possible angle to secure tenants for Zone 1 to mitigate the risk.





# Risk Register - Carmarthenshire Corporate Risk Register

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Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
CRR190075/001	Managing demand at the front end through the newly formed "Housing Gateway" team that will ensure a full assessment of housing and support needs to ensure accommodation offered is sustainable.	Director of Communities		Director of Communities	Significant 16	High 12	
CRR190075/002	Weekly monitoring of homelessness presentations use, and availability of temporary and permanent accommodation.	Director of Communities		Director of Communities		Substantial Possible	
CRR190075/003	Continuing with direct allocation of homes to those in greatest need as per Emergency Allocation Policy.	Director of Communities		Director of Communities			
CRR190075/004	Implementation of Rapid Rehousing Transitional Plan in partnership with internal and external stakeholders to ensure right home	Director of Communities		Director of Communities			
CRR190075/005	Continued delivery of affordable homes programme to increase availability of affordable homes through new build (ourselves and RSLs), access to additional private rented accommodation, buying private sector homes, bringing more empty properties back into use and s106 agreements.	Director of Communities		Director of Communities			
CRR190075/006	Continuing to deliver our commitments to the resettlement programmes in a managed and co-ordinated way.	Director of Communities		Director of Communities			
Action Items			Target Date				
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>There is no change to the current risk rating. There are still significant housing pressures which we are mitigating.</p>							

**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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		Target Date			
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>A growing concern is the lack of internal staff who are interested in taking up election duties, particularly Polling Station duties, hence this Council is looking to recruit externally where reliability is often questioned. A high risk as on election day, these staff are on the front line delivering the vote. Impact of not implementing relevant legislation, poor planning assumptions, no comprehensive project plan and lack of coordination with other Returning Officers will lead to electors being disenfranchised, inconsistent voter experience and potential breach of legislation. The control measures we have in place such as a recruitment initiative, increasing fees, robust Project Team that has a wealth of experience in Finance, Communication, IT and election law, live issue and risk registers ensure that all necessary activities are planned for and sufficient resources are available.</p>					

**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)	Director of Corporate Services			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190015/001	Strategic Asset Steering Group	Head of Financial Services	Significant	High	
CRR190015/002	Project Grants Manual and Project Management Tool Kit	Head of Regeneration	16	12	Significant
CRR190015/003	Project Management Training	Assistant Chief Executive		Likely	
CRR190015/004	Long term Treasury management / loan funding	Director of Corporate Services			
CRR190015/005	Consideration to be given to prioritisation of approved schemes to maximise outcomes, subject to grant conditions.	Director of Corporate Services			
Action Items					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>October budget monitoring indicates £53M potential variance/slippage, risk of potential delays to a high profile levelling up projects.</p>					

**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190005/005	Recovery Group reviewing financial position	16	High	
CRR190005/006	Reprioritisation of funding to best address the current liabilities		Substantial Possible	
CRR190005/007	Reprioritisation of capital programme			
CRR190005/001	Project Management Training			
CRR190005/002	Grant Funding Bodies Guidance Briefings and Training			
CRR190005/003	Grants Panel			
CRR190005/004	Grants Manual / CPRs / FPRs			
CRR190005/008	Effective Budget Monitoring			
CRR190005/009	Contract management toolkit has been developed & E-Learning to be launched			

Action Items
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>Majority of WG grants are again flat cash which is a significant real terms reduction due to high pay awards &amp; inflation.</p>

**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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  
January 2024 Update (Rhodri Griffiths/Ian Llewelyn)

CRR190057/001 AND 004 – Revised LDP 2nd Deposit and supporting documents published for public consultation between 17 February to the 14 April 2023. The response received are currently being registered with over 1200 representations received in relation to all aspects of the LDP as well as 12 for the Integrated Sustainability Appraisal and 17 for the Habitat Regulations Assessment predominately from technical and regulatory technical consultees.

The responses received will moving forward be considered and will form part of the suite of documentation to be submitted to the Welsh Government as part of the Examination into the Revised LDP. The meeting on Cabinet considered a report on the Habitat Regulations Assessment and Integrated Sustainability Assessment on the 29th January 2024. At this meeting, the need to undertake a further consultation on these documents was considered. This further consultation specifically on these documents and the focused changes to their content reflects matters of evidence in relation to the issues relating to phosphates in protected rivers and procedural matters and regulatory compliance. Following this consultation, the Revised LDP will be submitted to the Welsh Government for examination.

CRR190057/006 – Joint evidence has been prepared regionally with the dual benefit of supporting the preparation to a future Strategic Development Plan but also informing reviews of the LDPs across the region. This evidence has included a regional Strategic Flood Consequences Assessment, Defining the extent of the National Growth Area for Swansea Bay and Llanelli as well as Nutrient Credit Trading Feasibility Study.

CRR190057/002 – Annual Monitoring Report for 2022/23 in relation to the Adopted LDP was submitted to the Welsh Government by the 31st October deadline.



**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190018	Failure to deliver a quality Education Service	Director of Education & Children Services			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190018/003	Raise standards at each key stage	Head of Education and Inclusion	Significant 16	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 February 2024 Update

The risk rating remains High 12 (the Impact remains Substantial 4, and possibility is now Possible 3), as increased in October 2023. 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. The Budget Consultation process has restarted and will be reflected in the Risk score on conclusion of this process in February 2024.

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, we will continue to monitor wellbeing issues in schools amongst the children and staff which has been a concern following the lockdown period. Attendance in our schools also remains below the Welsh average. This may be linked to the difficulties arising from the pandemic. Attendance at the start of the new term has improved for most schools and overall, compared to 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 slightly below pre COVID benchmarks. 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 Modernising Education Programme MEP is currently undertaking a review in order to re invigorate the 21st Century School Programme. The revised MEP Strategy has now been agreed by Cabinet as will go out to consultation asap.

The Department was inspected by Estyn during July 2023. We believe we have produced a robust Service Evaluation Report which coupled with any recommendations from the inspection will give us a Development Plan going forward to allow us to continue to deliver a quality Education Service. The inspection report is due later in September 2023 and this external view of our services will be used to review the risk rating and commentary in the next update.

Estyn concluded that Carmarthenshire's education services are led robustly by senior leaders and elected members, who share a clear vision for education within the authority. This is supported by an open and positive culture and self evaluation and improvement planning processes that are rigorous, on the whole. Through this, leaders have a positive effect on improving education provision and learners' outcomes in most of their areas of responsibility and are able to set a clear direction for further improvement in the future.

The authority has productive working relationships with schools and other providers. This contributes beneficially towards ensuring that new initiatives, changes in provision and sharing of ideas happen jointly, in partnership.

Over time, the inspection outcomes of schools in Carmarthenshire vary, although more recently, since 2022, the proportion requiring follow up activity by Estyn has decreased.





## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

- Financial position updated February 2024

Draft budget plans reduce school budgets by £2.454m.



**Risk Register - Carmarthenshire Corporate Risk Register**

Manager

Corporate Management Team

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 Audit Wales)	Head of Revenues & Financial Compliance/Director of Corporate Services				
Control Measures			Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190027/001	Anti-Fraud & Anti-Corruption Strategy	Head of Revenues & Financial Compliance/Director of Corporate Services		Significant 20	High 12	
CRR190027/002	Whistleblowing Policy	Head of Revenues & Financial Compliance/Director of Corporate Services			Substantial Possible	
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				
CRR190027/005	Participation in the National Fraud Initiative Exercise	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				
CRR190027/007	Counter Fraud proficiency within the Internal Audit Team	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				
CRR190027/009	CRR190027/0009 Financial controls in place to mitigate fraud	Head of Revenues & Financial Compliance/Director of Corporate Services				
CRR190027/010	CRR190027/0010 Fraud is specifically included in the Internal Audit Plan	Head of Revenues & Financial Compliance/Director of Corporate Services				
Action Items						

**Risk Register - Carmarthenshire Corporate Risk Register**

Manager

Corporate Management Team

- Departmental Review for CMT  
February 2024 Update

The Anti-Fraud & Anti-Corruption Strategy and the Financial Procedure Rules are available to staff via the Council's Intranet. The Anti-Fraud Strategy and Anti-Fraud message is actively promoted through various channels such as the staff newsletter and has recently been promoted again via the screensaver. The Financial Procedure Rules have been promoted via the staff weekly newsletter and on the front page of the Intranet.

The National Fraud Initiative (NFI), which is an exercise that matches electronic data within and between public and private sector bodies to prevent and detect fraud, has recently been undertaken.

A new Fraud e-learning training module has been developed, which is due to be rolled out imminently; completion of this e-learning module will be mandatory for all Council staff.

The Financial Procedure Rules for Schools document has been revised and is currently in draft format, awaiting approval through the appropriate Governance channels; once approved the document will be actively promoted across schools and the Authority.



**Risk Register - Carmarthenshire Corporate Risk Register**

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services				
<b>Control Measures</b>						
CRR190009/002	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services	Head of Children 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	Head of Children Services		Catastrophic	
CRR190009/004	To respond appropriately to Regulators reports and recommendations	Head of Children Services	Head of Children Services		Unlikely	
CRR190009/005	To proactively monitor adequate procedures are being effectively operated by third party providers	Head of Children Services	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	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	Head of Children Services			
<b>Action Items</b>						

- Departmental Review for CMT February 2024 Update

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.

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 fulfill the local authority's corporate parenting responsibilities effectively.

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.

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.

We continue to contribute widely to the Regional Safeguarding Board and have representatives in most of their subgroups; this allows Children Services to share new policies, procedures and social work practice to the wider workforce in a timely manner. An example of our active involvement being that two senior managers are currently chairing child practice reviews within the region and therefore are able to bring the rich debates back to the service. Furthermore we continue to hold internal threshold meetings to consider whether we are consistently applying the threshold for S47 investigations, care and support assessments and early help. Internally we also ensure that we are meeting our national safeguarding standards by considering our data as a management group each quarter.

We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts.

Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group.

Schools are required to undertake a School Safeguarding Review to identify effective practice and challenges. All schools have completed and submitted their reviews. All Safeguarding Training for schools is currently up to date and all within timescales including Governors' training. The current school leadership issue, see Risk CRR190028, could have an impact on safeguarding in schools. Therefore we have added a specific Safeguarding in schools Risk to the Department RR which will become a control measure within this Risk and which we may propose is escalated as a Risk in the Corporate Risk Register.



Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190078	Failure to address recent concerns regarding the presence of Reinforced Autoclaved Aerated Concrete (RAAC) in non-housing properties.	Head of Regeneration				
<b>Control Measures</b>						
CRR190078/002	Stock Condition Team inspections have been completed for all non-housing properties, revealing no RAAC except within one isolated building	Head of Regeneration		High 15	Medium 9	
CRR190078/003	A specialised contractor with expertise in working with RAAC has been engaged	Head of Regeneration			Significant Possible	
CRR190078/004	A specialist Structural Engineer has been commissioned to generate a comprehensive report identifying necessary remedial actions	Head of Regeneration				
CRR190078/001	Initial desktop inquiries have been conducted across our maintained property estate. Additional extensive surveying to be undertaken over next 3 months. Corporate RAAC Task & Finish group established to provide effective oversight of the investigation and management of Reinforced Autoclaved Aerated Concrete (RAAC) within the Council's building assets.	Head of Regeneration				
CRR190078/005	Temporary propping has been installed to alleviate structural risks during the production of the detailed report	Head of Regeneration				
<b>Action Items</b>						
	<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>Extensive survey of buildings to be undertaken and RAAC management plan to be subsequently developed and implemented.</p>					

**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190079	Managing Premises with emphasis of Fire Safety in the Hybrid working environment.	Head of Regeneration			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190079/001	Identify staff regularly based at relevant venues to ensure continuity of fire warden cover	Head of Regeneration	High 15	Medium 9	
CRR190079/002	Provide appropriate training to additional staff identified	Head of Regeneration		Significant	
CRR190079/003	Review procedures for management	Head of Regeneration		Possible	
Action Items					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>Heads of Service have been contacted requesting details of senior staff to provide adequate coverage for relevant areas of administrating buildings during opening hours. Deadline for return 31st January. Partial response received. Reminders to be issued with extended deadline of February 29<sup>th</sup>.</p> <p>Drafting of training documentation / online material underway.</p> <p>Review of PRPs, management plans and information management in progress. Confirmation of details of Senior Responsible Officers from Heads of Service will inform the management review and any training requirements in relation to the above.</p>					

**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190023	Management and delivery of UK Government's Shared Prosperity Fund	Economic Development Manager			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190023/001	Corporate Funding Group with representations from all council services to ensure compliance and timely delivery.	Economic Development Manager	High 12	Medium 9	
CRR190023/002	Ongoing review of external funding opportunities emanating from all CCC services / business plans	Economic Development Manager		Significant Possible	
CRR190023/003	Follow guidance from and regular dialogue with UK Government and WLGA	Economic Development Manager			
CRR190023/004	Communications with communities and businesses	Economic Development Manager			
Action Items					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>A dedicated Programme Management Office is now in place to monitor and evaluate the delivery of Carmarthenshire's £38.38m Shared Prosperity funds, 98% of the pot has already been committed to projects across the County. Regular reports are provided to the Regeneration Partnership and the Cabinet Member on progress.</p> <p>The Bureau works corporately across all departments, especially on the delivery of the authority's SPF funds. Officers from different departments have been also involved in the SPF project Assessment Panels, this is to ensure that expertise on appropriate areas can be drawn upon. The Corporate Funding Group meet regularly and information on new funds from external providers is disseminated.</p> <p>We are currently working closely with the WLGA to lobby UK Government for a successor programme for SPF. We have fed into a position paper compiled by the WLGA on what any future funding should look like, e.g. the importance of flexibility and localised decision making. We will also be making contact with English LAs in order to have a unified voice when lobbying Government.</p> <p>A dedicated Officer is now in place to communicate the successes of regeneration in the County.</p>					



Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Place & Infrastructure/Head of Place and Sustainability				
<b>Control Measures</b>						
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			
<b>Action Items</b>						

**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

- Departmental Review for CMT  
January 2024 Update (Rhodri Griffiths/Ian Llewelyn)

CRR190058/002 – As part of NRW's wider Review of Permits for wastewater treatment works (WwTW) in phosphorus sensitive Special Area of Conservation (SAC) river catchments, updated permits are being issued for WwTWs which where appropriate include a total phosphorus limit reduction. These may have implications on the potential headroom for development to take place which discharges into a particular treatment works. We are monitoring the implications of the review of permits on pending and future planning applications as well as allocations within the Revised LDP.

CRR190058/003, 007 and 008 – The latest meeting of the Nutrient Management Board (NMB) took place on the 16th October. This has been followed by subsequent meetings of the Nutrient Stakeholder group on the 31st January and the Technical Advisory Group on the 17th January. Subsequent meetings of the NMB and the TAG are scheduled for the 5th June and 22nd May respectively. The Phosphate webpage has been refreshed and updated to explain the nature of the Review of Permits and the implications of any changes on the calculations in phosphate loading on development proposals.



**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190060	Critical Authority wide IT systems	Head of ICT & Policy			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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	
CRR190060/003	Frequent DR testing to simulate different loss of availability scenarios	Head of ICT & Policy			
CRR190060/004	Two data centres located in Ammanford and Carmarthen, benefiting from independent power supply. Each data centre has the capacity to accommodate all systems independently of the other if required.	Head of ICT & Policy			
CRR190060/005	UPS (uninterruptable power supply) and generator backup power supply options at both locations.	Head of ICT & Policy			
CRR190060/006	Remote workers can access internal critical systems via two internet connections which will also work independently if one is lost.	Head of ICT & Policy			
CRR190060/007	Key network components facilitating connectivity to critical systems are configured in high availability (HA) mode for redundancy.	Head of ICT & Policy			
Action Items					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>This risk remains at substantial. We continue to work on cloud migrations, disaster recovery, and have two data centres located in 3 Spilman Street and Ty Parcyrhun. We have a DR plan schedule for 2024 where we will test core infrastructure at each site to ensure there is resiliency.</p>					

# Risk Register - Carmarthenshire Corporate Risk Register

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Risk Ref	Risk Title	Assigned To			
CRR190010	Deliver Effective Safeguarding Arrangements – Adults at Risk	Director of Communities			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190010/001	Representation at the Regional Board	Director of Communities	Significant	Medium	
CRR190010/002	Implementing effective safeguarding policies and procedures for adults at risk	Director of Communities	16	8	
CRR190010/003	Monitoring the performance of safeguarding within adult services	Director of Communities		Substantial	
CRR190010/004	Responding to regulators reviews and recommendations	Director of Communities		Unlikely	
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					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>There are currently no areas of risk or concern in relation to adult safeguarding. It has been decided however, that this risk remains on the Corporate Risk Register for discussion and review following the Audit Wales report. The corporate safeguarding policy has been reviewed and presented to Cabinet, an action plan to respond to the audit and several actions have already been completed. . A mandatory programme of training is being rolled out across the Council. Compliance with the action plan will be monitored via the Corporate Safeguarding Group.</p>					

**Risk Register - Carmarthenshire Corporate Risk Register**

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Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190022	Manage and Develop Cwm Environmental & Llesiant Delta Wellbeing	Corporate Management Team			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>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 during the last year and the outcome was that this would be incorporated into the review being led by Linda Rees Jones.</p>					

# 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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190007/002	Participation in the WLGA Heads of Procurement Forum	Head of Revenues & Financial Compliance	Significant 16	Medium 8	
CRR190007/003	Procurement strategy - this was updated and endorsed by CMT in July 2023	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					
<ul style="list-style-type: none"> <li>Financial position updated February 2024</li> <li>2024- 25 budget increased resources for Place &amp; infrastructure Department.</li> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>The Procurement Strategy was approved by Cabinet on the 11th December 2023 and has been uploaded onto the Procurement pages of the intranet. The Corporate Procurement Unit (CPU) continues to assist lead officers to develop performance measures from a set of typical KPIs for their specification documents during the tender process. Following contract award, CPU have no further involvement in the management of KPIs, although Principal Procurement Officers will provide advice and guidance occasionally when contractual issues arise.</p>					

**Risk Register - Carmarthenshire Corporate Risk Register**

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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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
<ul style="list-style-type: none"> <li>Departmental Review for CMT February 2024 Update</li> </ul> <p>Corporate Governance Group continues to meet on a quarterly basis and minutes of the Corporate Governance Group are reported to the Governance and Audit Committee. The Governance and Audit Committee is a key component of Corporate Governance. The Annual Governance Statement actions are now included in the Annual Report for 2022.23.</p>					

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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				
<b>Control Measures</b>						
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	
CRR190063/003	Protocol to be developed covering applications for major development projects (schemes above 10 residential units or 1,000 m <sup>2</sup> 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			Moderate Possible	
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 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				
<b>Action Items</b>						
<ul style="list-style-type: none"> <li>Departmental Review for CMT January 2024 Update (Rhodri Griffiths/ Hugh Towns)</li> </ul> <p>The Authority is actively seeking Planning Performance Agreements to ensure major development is delivered in a timely manner. We currently have 30 major applications under consideration (20 for major housing schemes and 10 for major non housing projects). 3 are awaiting S106 Agreements being completed. 17 have been received 2023 and 1 in 2024. In 2023 we determined 23 applications.</p> <p>All control measures are in place.</p> <p>This risk arose from the Audit Wales Review of Planning Services (July 2021) and the recommendation that the Council should align its planning service to its corporate ambitions to ensure it can respond effectively to deal with its regeneration ambitions and can deliver them at pace.</p> <p>The follow-up Review (October 2022) found that the Council's planning service is now focussed on helping the Council to deliver on its corporate agenda. It has a clearer strategic approach to major projects and a clearer focus on prioritising projects that deliver jobs and growth to support the Council's economic recovery plan.</p>						



Risk Ref	Risk Title	Assigned To			
CRR190043	Loss of income and increased costs – Financial Implications	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190043/001	Recovery of Council Tax & NNDR	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance	Significant 25	Medium 6	
CRR190043/002	Recovery of Housing Rent	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance		Moderate Possible	
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 &			
Action Items					
Departmental Review for CMT February 2024 Update  2024 25 budget includes funding to cover income gap on car parks. The Leisure issue is gone, the car park issue is ongoing but we have provided for through a growth pressure so it is mitigated on a permanent basis. Situation to be closely monitored and consideration given to de-escalation from the Corporate Risk Register to the Departmental Risk Register moving forward.					

