

Carmarthenshire Corporate Risk Register (Review 14/07/2022)

Risk Ref	Risk Title	Assigned To				
CRR190030	Coronavirus - Risk to business continuity, system failure and service delivery	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190030/006	Safe systems of work designed		Assistant Chief Executive	Significant 20	Significant 20	
CRR190030/007	Consultations with TUs		Assistant Chief Executive		Catastrophic Likely	
CRR190030/008	e-form developed to deal with redeployment requests		Assistant Chief Executive			
CRR190030/009	L&D Team have developed and are now managing the Redeployment Hub		Assistant Chief Executive			
CRR190030/001	Services are updating their business continuity plans, with ongoing review carried out.		Director of Communities			
CRR190030/002	Regional planning group in place with other public sector organisations		Director of Communities			
CRR190030/003	Risks will be managed service by service daily monitoring		Director of Communities			
CRR190030/004	Service specific plans prepared - assessing impact of 10%/20%/30% staff sickness		Director of Communities			
CRR190030/005	Identify where there may be potential to free up capacity in some areas, so that resources can be released to assist with the essential services		Director of Communities			
Action Items						
<p>CMT Comment - 14/07/2022 Is the risk rating too high? Risk has moved on, there are two elements now: current variant - risk has come down and how prepared are we for a new variant and the impact of that - is higher. Action: Jake Morgan to re-word the risk and reassess the risk rating. Covid risks - general: ND stated that combining all Covid risks into one have been raised in the past, and that they remain separate. The risks had been reviewed and a couple have been merged where there are common issues but as the others were diverse they were not merged. It is still felt that there should be just one risk / they should be streamlined. WW suggested leaving the risks as they are and taking the matter that CMT wish to streamline the Covid risks and for Governance & Audit Committee to consider. Action:</p> <ul style="list-style-type: none"> CRR to Governance & Audit Committee – raise the matter of merging Covid risks – on FWP for G&AC Sept 2022 		Jul-22				

Departmental Review for CMT - 14/07/2022

Communities update - June 22

Safe systems of work continue to be delivered in line with WG guidance and business continuity plans in place, and currently being reviewed. Lessons learnt exercise carried out following Storm Eunice and actions now being implemented. Regional group continues to meet to address business continuity issues and areas of high risk.
 Vacancy factor continues to affect service delivery due to our difficulties to recruit into certain roles e.g. care staff and social work. Service need consequently being addressed on a risk assessed basis. Position continues to be regularly monitored via Social Care Recruitment and Retention Group chaired by the Director. Recruitment and retention plan in place in relation to social care roles.

Jul-22

Departmental Review for CMT - 14/07/2022

People Management Review

Control Measures:

CRR190030/006 Safe systems of work designed.

Safe systems of work have been continually reviewed in line with WG guidance. As we emerge from the pandemic our H&S team will refocus our work to ensure the management of all Health & Safety risks across the authority.

CRR190030/007 Consultations with TUs

As we emerge from the pandemic consultation with the TU's will continue a regular basis to ensure employee relations are maintained. We have also established the Joint Consultative Forum (Group Leaders and TU's) and this year we will develop an Employee Relations Strategy to outline

CRR190030/008 e form developed to deal with redeployment requests

Redeployment Hub was established to quickly train and move staff around the organisation. This control measure can be deleted now as the Hub is no longer in use

CRR190030/009 L&D Team have developed and are now managing the Redeployment Hub

Redeployment Hub was established to quickly train and move staff around the organisation. This control measure can be deleted now as the Hub is no longer in use.

General comment from People Management:

All managers have been asked to prepare a "service control plan" which should include contingency plans to deal with any future service disruption. Role for the Emergency Planning group to monitor the efficacy of these plans – see CRR 190073

Although we are moving to a covid stable phase, we continue to face challenges in terms of attracting and retaining staff in some areas such as social care, which could affect business continuity. Attendance figures can also impact business continuity. We are seeing an increase in mental health referrals – contributing factors include covid, concerns around moving to a post covid working world, cost of living crisis, war in Ukraine. See CRR190038 for control measures to mitigate risk.

The impacts of moving to a different way of working with reduced restrictions and increasing numbers of staff mixing is likely to increase the number of covid cases and other respiratory diseases as we move through the summer. We will need to decide how we manage communicable diseases in the workplace when symptomatic testing will cease, and isolation guidance will change to taking additional precautions when ill such as staying at home where possible if sick. The pandemic has taught us much about contingency planning and ensuring business continuity. We should now consider a shift in policy in terms of how we deal with communicable diseases in the workplace going forward – so that services are not adversely affected by future outbreaks.

Jul-22



Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190033	<p>Flood - Operational Risk</p> <p>The physical effects of more frequent and intense storm conditions that compromise and stretch our operational ability to respond to widespread and prolonged emergencies both in the immediate response phase and recovery phase of a flood event, whilst also maintaining normal services. This will also include the risk of managing the public's expectation as the Council cannot respond to all requests for help during storm conditions. Response is curtailed by the resources available and the priorities at the time.</p>	Director of Environment				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190033/002	<p>Management of the response to a storm event in accordance with our strategic emergency plans, protocols and command structures.</p> <p>Available resources are prioritised according to strategic requirements.</p>		Director of Environment	Significant 20	Significant 20 Substantial Probable	16  4
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u></p> <p>June 2022 –update (Ben Kathrens)</p> <p>Recommended increase to the current risk rating back to 20 because the control measure pertaining to IT resource has been postponed due to the pending SOCTIM review. The current manual data entry system is slow and resource intensive. Incidents have to be manually reviewed and input into the incident system before the strategic picture can be analysed. As such, we are still working on a delayed, reactive basis when responding to flooding incidents.</p> <p>Developing information of critical infrastructure and priority communities has commenced as a part of the development of the new Flood Risk Management Plan.</p>		Jul-22				

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190061	Effect of Covid-19 and Brexit on recruiting and impact of workforce planning	Assistant Chief Executive			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190061/001	Revisited gradings for homecarers - recruitment hotspot		Assistant Chief Executive	Significant	Significant
CRR190061/002	Reviewing wider T&Cs to make post more attractive		Assistant Chief Executive	25	20
CRR190061/003	Other employee benefits to be promoted		Assistant Chief Executive		Substantial
CRR190061/004	Workforce planning workshops with CMT & HoS - corporate priority		Assistant Chief Executive		Probable
CRR190061/005	Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area = Dom Care / REs care and social workers		Assistant Chief Executive		
Action Items					
<p><u>CMT comment – 14/07/2022</u> Covid risks - General: ND stated that combining all Covid risks into one have been raised in the past, and that they remain separate. The risks had been reviewed and a couple have been merged where there are common issues but as the others were diverse they were not merged. It is still felt that there should be just one risk / they should be streamlined. WW suggested leaving the risks as they are and taking the matter that CMT wish to streamline the Covid risks and for Governance & Audit Committee to consider. Action:</p> <ul style="list-style-type: none"> CRR to Governance & Audit Committee – raise the matter of merging Covid risks – on FWP for G&AC Sept 2022 		Jul-22			

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<p><u>Departmental Review for CMT - 14/07/2022</u> Control Measures: CRR190061/001 - Revisited gradings for home carers recruitment hotspot Complete - regrading of some critical posts and market supplements introduced e.g. Home Care and Residential Care. CRR190061/002 Reviewing wider T&Cs to make post more attractive Review underway – specific to Home Care and Residential Care CRR190061/003 Other employee benefits to be promoted Staff rewards hub launched earlier in the year providing staff with discounted shopping in large and local retailers CRR190061/004 Workforce planning workshops with CMT & HoS corporate priority Completed – the team will continue to provide the relevant people data to support services to workforce plan effectively. CRR190061/005 Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area = Dom Care / REs care and social workers Funding for additional social care support has stopped and volumes remain high and application pools across the board remain low – causing problems within care sector. New Recruitment System – procurement of system finalised. Implementation team established. New system fully operational by end of financial year. General People Management comment We continue to experience challenges in this area – higher than average turnover in some areas, high number of vacancies, number of applicants relatively low. Risk Rating Substantial 4 Very likely to occur 5 = 20</p>	<p>Jul-22</p>			
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Manager

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Risk Ref	Risk Title	Assigned To				
CRR190046	Covid19 - Strategic Failure to ensure the expected progress and outcomes of all Carmarthenshire learners for the period that operation of schools and learning establishments are affected by the pandemic	Director of Education & Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190046/001	We will work closely with schools to monitor wellbeing, progress and outcomes of all learners		Director of Education & Children Services / Head of Education & Inclusion	Significant 20	Significant 20	
CRR190046/002	We will plan for seamless transition from delivery to distance learning when required for all learners		Head of Curriculum and Wellbeing		Catastrophic Likely	
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> Comments June 2022: This risk should currently be kept separate from other covid risks and from the generic risk of Failure to deliver a quality Education Service (CRR190018) as the next set of results/measures will be the results of end of key stage tests and summer 2022 GCSE / A level exams at the end of an academic year (2021-22) which covers the last two years study affected by the pandemic. However, we propose reducing the current Risk Rating to 16 Significant (Substantial 4, Likely 4). This is due to a reflection on current data and the output from the Departmental Service Review. There has also been a reduction in Covid positive cases in learners and staff and a reduction in the likelihood for another lockdown. Transition to virtual learning, when required, has become smoother and most school support services have returned to normal delivery.</p>		Jul-22				
<p><u>CMT comment - 14/07/2022</u> ND stated that combining all Covid risks into one have been raised in the past, and that they remain separate. The risks had been reviewed and a couple have been merged where there are common issues but as the others were diverse they were not merged. It is still felt that there should be just one risk / they should be streamlined. WW suggested leaving the risks as they are and taking the matter that CMT wish to streamline the Covid risks and for Governance & Audit Committee to consider. Action: <ul style="list-style-type: none"> CRR to Governance & Audit Committee – raise the matter of merging Covid risks – on FWP for G&AC Sept 2022 </p>		Jul-22				

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Risk Ref	Risk Title	Assigned To				
CRR190056	Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding (formerly CRR190004)	Director of Corporate Services/Head of Financial Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190056/001	Medium Term Financial Strategy - 5 Year Plan (including efficiency targets)		Director of Corporate Services/Head of Financial Services	Significant 20	Significant 20	
CRR190056/002	Full County Council Elected Member Engagement on an annual basis to set priorities and allocate the Budget		Director of Corporate Services/Head of Financial Services		Catastrophic Likely	
CRR190056/003	Challenge from Scrutiny Committees		Head of Administration & Law			
CRR190056/004	Public Consultation regarding budget priorities on an Annual Basis		Director of Corporate Services/Head of Financial Services			
CRR190056/005	Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council receives fair funding from Welsh Government		Director of Corporate Services/Head of Financial Services			
CRR190056/006	TIC Programme to identify efficiencies and promote alternative methods of service delivery		Assistant Chief Executive			
CRR190056/007	Workforce Planning to ensure staff resources are planned to match demand		Assistant Chief Executive			
CRR190056/008	Wales Audit Office external challenge and assessment		Director of Corporate Services/Head of Financial Services			
CRR190056/009	CRR190056/009 Individual Heads of Service to develop efficiencies following external budget challenge reports		Director of Corporate Services			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 People Management Review CRR 190056/006 - TIC Programme to identify efficiencies and promote alternative methods of service delivery Establishment of a Transformation Board and development a new Transformation Strategy will help to re-prioritise areas of work. CRR 190056/007 - Workforce Planning to ensure staff resources are planned to match demand We continue to support the organisation to workforce plan via the provision of training and data. This year we will take steps to strengthen the performance monitoring of workforce management. General People Management comment We will develop a Workforce Strategy this year to ensure workforce skills match demand of the organisation.</p>		Jul-22				

Carmarthenshire Corporate Risk Register

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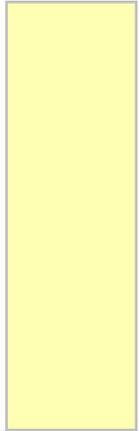
Manager

Corporate Management Team

Departmental Review for CMT - 14/07/2022

July 2022 update - Inflation forecasted to peak higher and last longer than previously expected, this is driving risk of higher pay settlements for 2022 (current risk year) as well as significant increases in third party spend including commission care. Any particular increases in year could lead to budgetary overspend and/or reduced capacity. NJC pay award likely to be significantly delayed - unions claim for the higher of £2k of RPI for all staff.

Jul-22



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Manager

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Risk Ref	Risk Title	Assigned To				
CRR190068	Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£38 million), as a consequence of falling investment levels leading to high levels of demand. Increased level of claims.	Director of Environment/Head of Transportation & Highways				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190068/001	Manage network in accordance with Highways Asset Management Plan adopting a risk based approach in accordance with the National Code		Director of Environment/Head of Transportation & Highways	Significant 20	Significant 20	25 
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 Environment/Head of Transportation & Highways		Catastrophic Likely	-5
CRR190068/003	Inspection regime and response in line with highways asset management plan in compliance with Highways Maintenance Code of Practice		Director of Environment/Head of Transportation & Highways			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June update (Steve Pilliner) Uncontrolled risk rating has been reduced to 20 to reflect comments from CMT 12/05/2022. Regarding the query raised by CMT on risks/impact of insufficient funding on the highways infrastructure: It is the estimated that the cost to keep pace with on-going deterioration of our road surfaces across the 3500km network requires long term funding of £6m per year to carry out corrective and preventative maintenance. The current lack of planned maintenance is leading to increased abortive cost of reactive maintenance for potholes and surface failures, placing increased pressure on diminishing revenue budgets and increased replacement costs for future generations. Current budget levels (600k Capital), even with additional WG funding (£1500k PA in recent years but not confirmed for future years) is not keeping pace with deterioration and we face increased future costs and risk of claims against the authority. Current funding does not support the authorities' commitments and promotion of cycling on the highway network. Currently 9.4% of the County's classified road network are in a RED condition (plan maintenance soon) and in need of refurbishment to provide a safe and sustainable transport network. This is particularly prevalent for the C and unclassified road network in our rural areas. We continue to have an overall lower than average level of investment in our Highways and transport, ranking 18th out of 22 authorities and remain in the lower quartile across Wales. Key Facts:</p> <ul style="list-style-type: none"> • Carmarthenshire has the second largest highway network in Wales (3485 Km of highway) and is more than double the Welsh average of 1514km. • Carmarthenshire has the third highest traffic volume in Wales - in 2020 the Wales average was 1.12 billion vehicle km/per year and Carmarthenshire was third at 1.68 billion (Cardiff 2.65 and RCT at 1.77 were highest) • In 2020/21 our spend on highways and transport was ranked 18th out of 22 authorities on money spent per km on highways and roads. £3090/km compared to a Welsh average of £6610/km. • Based on current funding levels, the length of road estimated to be in a poor condition is predicted to increase from 9% to 28% over the next 20 years. 		Jul-22				

Risk Ref	Risk Title	Assigned To				
CRR190066	Insufficient numbers of social work and care staff to provide sufficient assessment and care capacity which provides a risk to vulnerable people in not having needs assessed and being unsupported and potentially unsafe in the community.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190066/001	Develop and implement social care recruitment and retention strategy.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Significant 25	Significant 20 Substantial Probable	
Action Items						
	<p><u>Departmental Review for CMT - 14/07/2022</u></p> <p>We are still experiencing significant difficulties in recruiting sufficient numbers of qualified social workers and unqualified care staff. These pressures are continuing to affect both our in-house services and the wider independent care sector. We continue to progress our Social Care Recruitment and Retention Plan which is overseen through fortnightly meetings chaired by the Director of Community Services, but we are not seeing any net gains from a workforce perspective so our ability to assess people as quickly as we would like, and provide timely care and support at home continues to be challenged. In the meantime we are continuing to risk assess all those waiting for assessment and those waiting for care to ensure that those with greatest needs are supported first. Key actions over the last reporting period has included a review of the Home Care Worker Job Description, which has resulted in a change of grade. We have also established a Care Academi which will give people the opportunity to work in care whilst accessing qualification to develop their career. In addition a further market supplement has been offered to social workers and is in the process of being finalised and we are continuing to contract with an external organisation to help with our backlog of assessments. Over the next few months, we will be looking at options to support social work career progression as a way to effectively retain and attract staff and intend to engage with the workforce surrounding some potential options. The ongoing inability to recruit and retain Approved Mental Health Professionals means that there is a continued risk we will be unable to fulfil our statutory responsibilities. However this year adult social care division is supporting 3 social work assistants to undertake a Masters in social work and we are continuing to second staff to the Open University Social Work Degree which is an established programme.</p>	Jul-22				

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190067	Lack of availability of domiciliary care to support vulnerable adults which leads to the risk of people being unsupported and potentially unsafe in the community, as well as people being delayed leaving hospital preventing others being able to access urgent medical treatment.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190067/001	Support the sector to grow the workforce.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Significant 25	Significant 20	
CRR190067/002	Review of all those receiving care to look at opportunities to safely reduce arrangements to release care hours to support others		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		Substantial Probable	
CRR190067/003	Ongoing review of those waiting for care to reduce level of care needed.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
CRR190067/004	Consideration of temporary placement where appropriate to support those waiting for care.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
CRR190067/005	Bridge packages of care wherever possible.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> We continue to experience significant pressures with availability of domiciliary care due to staffing availability both in-house and with external providers. We are continuing therefore to work within a significantly constrained number of hours of care in both the in-house and externally commissioned service. As a consequence we still have a significant number of people waiting for care in both the community and hospital, although the numbers waiting is now fairly static and many of those waiting continue to be bridged by some form of alternative care as an interim measure. Whilst work is ongoing to address the underlying staffing pressures, both through national and local recruitment initiatives, this work will take time. Therefore, the following controls continue to be progressed:</p> <ul style="list-style-type: none"> - Review of all those either receiving or waiting for care to see whether levels of care can safely be reduced, and care hours released. In addition, we are risk assessing all those waiting for care so we can prioritise those waiting when hours become available. - Considering bridging opportunities to temporarily provide care whilst a long-term provider is sourced. Supporting those waiting in hospital for care to consider temporary residential placements where possible. In addition, we are working with the Health Board to look at how we can enhance the in-house reablement service via an integrated approach to recruitment of homecare workers. This will enhance the service to provide a focus on hospital admission avoidance and earlier discharge from hospital.		Jul-22				

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190049	Risk of local business and economy not recovering from the lockdown and rises in energy and inflation	Head of Regeneration				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190049/001	Financial support to businesses		Head of Regeneration	Significant 20	Significant 16	20 
CRR190049/002	Advice to businesses		Head of Regeneration		Substantial Likely	-4
CRR190049/003	Support to businesses		Head of Regeneration			
CRR190049/004	Database of local suppliers and traders		Head of Regeneration			
CRR190049/005	Robust economic recovery plan to protect jobs and safeguard businesses		Head of Regeneration			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June Update - Businesses have done well to 'bounce back' - Restrictions imposed on businesses created a number of operational challenges which hampered income generation and productivity. Consumer demand and changing consumer spending practices were a significant concern but financial interventions and support provided by the Council have assisted businesses to operate and diversify in a post-lockdown economy which was complemented by a campaign to think and buy local through the '100% Sir Gar' initiative. As a result of the above the risk score has been changed :- Uncontrolled Risk Assessment = 20 Current Risk Assessment = 16</p>		Jul-22				
<p><u>Departmental Review for CMT - 14/07/2022</u> July 2022 Update - Rises in energy inflation expected to peak higher and longer than originally forecast</p>		Jul-22				

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To
CRR190032	Flood - Strategic Risk 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.	Director of Environment

Control Measures	Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190032/001		Director of Environment	Significant	Significant	
CRR190032/002		Director of Environment	20	16	
CRR190032/003		Director of Environment		Substantial	
CRR190032/004		Director of Environment		Likely	
CRR190032/005		Director of Environment			
CRR190032/006		Director of Environment			
CRR190032/007		Director of Environment			
CRR190032/008		Director of Environment			

Action Items

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Manager

Corporate Management Team

<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 –update (Ben Kathrens) No change to current risk rating. 001 – Flood Risk Strategy and FRMP A draft template has been prepared by the WLGA to ensure that all 22 LLFAs have similarly structured documents. Our FRMP will to drafted in house, not outsourced to consultant engineers. Currently Carmarthenshire’s highest risk flood areas and our priority areas for flood risk management are being developed. The report deadline in October 2023 before which there must be a public consultation and corporate signoff. 002 – No progress 003 – we are continuing to work with NRW and DCWW on a number of projects including the Llanybydder and Llandysul flood risk management business cases development and our evaluation of flood risk at Kidwelly post October 2021 flooding. 004 – A final draft of the S19 report into the October 2021 floods at Kidwelly is ready for the Director to review. 005 – The 2022/23 programme is underway have inspected over 100 flood and coastal erosion risk management (FCERM) assets. 006 – The FDCP team continue to use the latest Flood Maps for Planning (FMfP) and the Flood Risk Analysis Wales (FRAW) maps provided by NRW when we administer our functions. 007 – We are continuing to develop the SAB with the limited resources available. The focus in 2022, in addition to the determination of all applications within he statutory time frame is to develop strategies to target and manage non-compliance. With regards to the new TAN15, there have been national and regional meetings and conferences attended by Planning and Flood Risk Management managers. While the current policy has been delayed, the feedback is that changes are likely to be centred around development in existing towns. 008 – There are currently two public consultations running pertaining to flood risk in Llanybydder and Llandysul. A further consultation is planning for Llangennech by the end of the year.</p>	<p>Jul-22</p>			
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Risk Ref	Risk Title	Assigned To			
CRR190038	Covid19 - Strategic Increase in levels of anxiety which is directly affecting mental health. Health and wellbeing of staff and the public	Assistant Chief Executive			
Control Measures	Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190038/001	Provision of support from Occupational Health to our own staff	Assistant Chief Executive	Significant 25	Significant 16 Substantial Likely	15  1
Action Items					
	<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 CRR190038/001 - Provision of support from Occupational Health to our own staff Employee wellbeing: Whilst we are emerging from the pandemic, concerns remain about general employee wellbeing, referrals into our WSS service is increasing. Factors affecting our staff include, the cost-of-living crisis, legacy of covid, inability to access treatments due to NHS waiting lists. Attendance is also impacted. Staff are waiting longer for NHS procedures or are unable to access GPs for referrals to necessary services. Wellbeing strategies are being put in place to support staff through this difficult time. However, capacity within the Health and Wellbeing team is problematic at a time where we should be increasing support for our staff. Mitigation: resource bids being prepared to increase the number of Wellbeing staffing so that additional / new interventions can be developed. Supporting Employee Mental Health: Mental Health support referrals are increasing. We have capacity concerns within OH service to meet the new demand. Mitigation: resource bids being prepared to increase OH staffing to support staff being referred for mental health therapies. Resourcing bids will ensure permanent funding for a service that has historically been funded by risk management bids or contributions from departments, General People Management comment: The impacts of moving to a different way of working with reduced restrictions and increasing numbers of staff mixing is likely to increase the number of covid cases and other respiratory diseases as we move through the summer. We will need to decide how we manage communicable diseases in the workplace when symptomatic testing will cease, and isolation guidance will change to taking additional precautions when ill such as staying at home where possible if sick. The pandemic has taught us much about contingency planning and ensuring business continuity. We should now consider a shift in policy in terms of how we deal with communicable diseases in the workplace going forward – so that services are not adversely affected by future outbreaks Revised Risk Rating Impact 4 Likelihood 4 = Overall Score 16</p>	Jul-22			

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Corporate Management Team

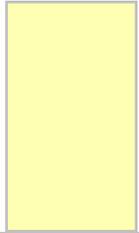
CMT comment - 14/07/2022

ND stated that combining all Covid risks into one have been raised in the past, but that they remain separate. The risks had been reviewed and a couple have been merged where there are common issues but as the others were diverse they were not merged. It is still felt that there should be just one risk / they should be streamlined. WW suggested leaving the risks as they are and taking the matter that CMT wish to streamline the Covid risks and for Governance & Audit Committee to consider.

Action:

- CRR to Governance & Audit Committee - raise the matter of merging Covid risks - on FWP for G&AC September 2022.

Jul-22



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Risk Ref	Risk Title	Assigned To				
CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)	Director of Corporate Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190015/001	Strategic Asset Steering Group		Head of Financial Services	Significant	Significant	12 
CRR190015/002	Project Management Tool Kit		Head of Regeneration	16	16	4
CRR190015/003	Project Management Training		Assistant Chief Executive		Substantial	
CRR190015/004	Long term Treasury management / loan funding		Director of Corporate Services		Likely	
Action Items						
<p>Departmental Review for CMT - 14/07/2022 July 2022 update - Shortage of Contractor availability with a risk of increases in costs</p> <p>CMT comment - 14/07/2022 Inflation is an issue that needs to be reflected in the narrative. Risk Rating considered to be too low in the current climate - change to 16.</p> <p>Action:</p> <ul style="list-style-type: none"> Chris Moore to update the narrative and to amend the risk rating. 		Jul-22				
		Jul-22				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190016	Delivery of the Authority's Waste Management and Recycling Strategy to ensure that we meet our statutory recycling targets and wider obligations including improvements to the quality of recyclable materials to support circular economy principles and reduce carbon outputs in accordance with Welsh Governments Beyond Recycling national strategy	Head of Waste & Environmental Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190016/001	Maintain current provision and infrastructure for recycling		Head of Waste & Environmental Services	Significant 20	Significant 16	
CRR190016/002	Continue education and awareness activity to improve participation		Head of Waste & Environmental Services		Substantial Likely	
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 update (Ainsley Williams and Daniel John) No change to current risk rating. The current statutory target for 2022/23 is 64%, with the next specific statutory target being 70% by 24/25. We did not meet the statutory 64% target for 2021/22. The Welsh Government have been made aware of our performance last year and we are engaged with them on this matter. The adoption of the future waste strategy will be a long term mitigation of this risk and the WG are supportive of this direction of travel. We have also reintroduced our kerbside restriction policy and recycling contamination process to support with the education and enforcement of contraventions to our service policies. This action should improve our performance. To achieve this we have implemented a series of actions.</p> <ol style="list-style-type: none"> 1. Recycling contamination plan - A series of actions which look to reduce recycling contamination levels within the kerbside recycling scheme. Reducing contamination from in excess of 30% to 25%. 2. Deliver the first phase of the waste service change in November 2022 - With weekly recycling, three weekly black bag collections and glass recycling. The aim of this is to increase glass recycling capture, improve food waste and dry recycling yields and reduce residual waste. 3. Deliver the Nappy Waste Collection Scheme - Service roll out June 2022 will capture nappies from the residual waste and divert into recycling. Improving our recycling performance. 4. Deliver the Circular Economy Projects - With Paint recycling commencing in April 2022. The Eco-village at Nantycaws opening in June 2022, capturing waste for refurbishment, repair and resale diverting away from disposal and also Commercial waste recycling at Nantycaws. 		Jul-22				

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Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190019	Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	Director of Education & Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190019/001	Lead the TIC Schools project, working with colleagues and schools to identify significant savings as set by the County Council through the budget efficiency programme		Director of Education & Children Services / Head of Education & Inclusion	Significant 16	Significant 16 Substantial Likely	
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> Comments June 2022: The Risk Rating should remain as 16 Significant (Substantial 4, Likely 4). Although school balances are significantly improved during the 22/23 financial year, these budgets are highly buoyed by additional grant funding linked to the pandemic. Depletion of these grants will see a return to a to a fragile situation in many more schools. The risk therefore remains significant.</p>		Jul-22				

Risk Ref	Risk Title	Assigned To				
CRR190028	School Leadership - Our ability to recruit and retain high quality and resilient school leaders who can respond to and deal with the transformation of education in Wales	Director of Education & Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190028/001	Develop and use a more robust competency based process to recruit school leaders		Head of Education and Inclusion	Significant 16	Significant 16	12 
CRR190028/002	Provide each new school leader with a mentor who's an experienced and successful school leader		Head of School Effectiveness		Substantial Likely	4
CRR190028/003	Encourage leaders and prospective leaders to enrol on Partneriaeth's leadership courses/programmes		Head of School Effectiveness			
CRR190028/004	Provide Educational Support Adviser support for all new school leaders and provide bespoke induction/mentoring programme		Head of School Effectiveness			
CRR190028/005	Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders		Head of School Effectiveness			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> Comments June 2022: The current Risk Rating needs to be amended to High 12; the impact remains Substantial 4 but the probability needs to increase to possible 3. 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. We continue to use an Assessment Centre approach to recruit Headteachers; provide each new school leader with a mentor, encourage prospective leaders to enrol on Partneriaeth's leadership courses/programmes; provide Educational Support Adviser support for all new school leaders and use the Headteacher Performance Management process effectively to challenge, develop and support school leaders. A new recruitment drive is being developed with assistance from HR and Communications colleagues in order to attract more applicants for the current vacancies, this will form a key part of the new Workforce Strategy being developed for the Council.</p> <p><u>CMT comment - 14/07/2022</u> Its felt that the risk doesn't reflect the current situation and needs to be increased - proposed that it should be 16. Action:</p> <ul style="list-style-type: none"> Aeron Rees to take it back to Education & Children's Service DMT. 		Jul-22				
		Jul-22				

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Risk Ref	Risk Title	Assigned To				
CRR190034	Cyber Risk such as: - Ransomware or malware infection - Denial of Service Attack (DOS) - Unauthorised network access (hacking) - External and Internal - Phishing Email Attack - staff approach - Increased risk of cyber crime due to phishing and malware attacks exploiting Covid-19	Head of ICT & Policy				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190034/001	Cyber incident response plan		Head of ICT & Policy	Significant	High	
CRR190034/002	Staff awareness training		Head of ICT & Policy	20	15	Catastrophic Possible
CRR190034/003	Firewalls		Head of ICT & Policy			
CRR190034/004	Application control on servers		Head of ICT & Policy			
CRR190034/005	Security updates continuously rolled out		Head of ICT & Policy			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 - The risk from a cyber attack continues to be a significant risk to the Authority. There is an increase in the number of cyber criminals and state sponsored organisations who continually try and exploit internet facing services, with the Council having many of these. The work ICT undertakes does reduce this risk to high as we continue to rollout measures such as awareness training and multi-factor authentication. We are also testing Window 11, which will become Microsoft latest operating system with the latest security features embedded.</p>		Jul-22				

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Risk Ref	Risk Title	Assigned To				
CRR190050	<p>Risk of contractor and suppliers failing to deliver projects/schemes, because of highly volatile macro economic conditions and inflation/disruption to suppliers, service goods and materials, which has an impact of the non-delivery of capital works.</p> <ul style="list-style-type: none"> - Failure to meet grant expenditure conditions. - contractors resources depleted - contract failure - cost increases - sourcing materials - Contractors unwilling to carry out work at framework prices 	Director of Environment				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190050/001	Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.		Director of Environment	Significant 20	High 15	
CRR190050/003	Undertake regular financial checks on suppliers.		Director of Environment		Catastrophic Possible	
CRR190050/004	Approved exception process in place for exceptional circumstances		Director of Corporate Services			
CRR190050/005	Undertake a review of the Council's Contract Risk allocation		Director of Environment			
Action Items						
	<p><u>CMT comment - 14/07/2022</u> WW highlighted the role of LG in taking measured risks / be the drivers for change in the economic environment - few National policy makers are stating we have a role. Will need to consider this when drafting our Risk Appetite Statement. NFA for register.</p> <p><u>Departmental Review for CMT - 14/07/2022</u> July 2022 update - combination of high inflation and significant staff shortages is an acute risk.</p>	Jul-22				
		Jul-22				

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Risk Ref	Risk Title	Assigned To			
CRR190072	Deterioration of the Council's School and Non-School buildings due to the lack of building surveys.	Director of Environment / Property Maintenance Manager			
Control Measures		Review Date	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		Director of Environment / Property Maintenance Manager		Catastrophic Possible
CRR190072/003	Risk Management bid to be considered to fund urgent building condition surveys		Director of Environment / Property Maintenance Manager		
CRR190072/004	Establishment of a Schools Handy Van service for Primary school, with 2 inspections by an inspector annually.		Director of Environment / Property Maintenance Manager		
Action Items					
<p><u>CMT Comment - 14/07/2022</u> Consideration given as to why schools and non-schools have been combined, this was combined following the last CMT review of the register and concluded that there should be a general overarching risk in the Corporate Risk Register - Accepted. Action:</p> <ul style="list-style-type: none"> Noelwyn Daniel to update the wording on the control measure - CRR190072/003 		Jul-22			
<p><u>Departmental Review for CMT - 14/07/2022</u> June update (Jason G Jones) As per the CMT meeting of 12/05/22, this risk has been merged with CRR 190025, which has been deleted, and wording of CRR 190072 changed accordingly . All control measures from CRR 190025 have been included within this risk. No change to risk ratings. Update on Control measures CRR190072/001and 002 – Building condition surveys have commenced. County Farm estate is currently being prioritised by Regeneration with a report being presented to Council later in the year. A prioritised programme list to be developed to determine the schedule of future surveys. CRR190072/003 – Action complete, as bid has been approved and resources are in place. CRR190072/004 – Progress of the Schools Handy Van service is being monitored by the TIC Programme Board.</p> <ul style="list-style-type: none"> All Handyvan inspection visits undertaken for primary schools and Building Inspectors undertaking second visits for each primary school. A schedule of repairs requiring budget approval by schools is held in Property Maintenance, but there are some delays in approval. Property Maintenance and Business Support developing a process for following up outstanding budget approvals with schools. 		Jul-22			

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Risk Ref	Risk Title	Assigned To				
CRR190027	Fraud & Corruption The cost of fraud to the Welsh Public Sector is estimated to be in the region of between £100million and £1billion annually (as reported by the WAO)	Head of Revenues & Financial Compliance/Director of Corporate Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190027/001	Anti-Fraud & Anti-Corruption Strategy		Head of Revenues & Financial Compliance/Director of Corporate Services	Significant	High	
CRR190027/002	Whistleblowing Policy		Head of Revenues & Financial Compliance/Director of Corporate Services	20	15	Catastrophic 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						

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<p><u>CMT comment - 14/07/2022</u> WW asked that the whistleblowing policy is linked / referred to where appropriate in the FPRs and CPRs. Consideration to the risk rating will be picked up by CMT in the next CRR review in two months time, following a meeting to consider current arrangements. Action:</p> <ul style="list-style-type: none"> Wendy Walters, Chris Moore, Linda Rees-Jones and Paul Thomas to meet to consider current processes, Code of Conduct etc. 	<p>Jul-22</p>		
<p><u>Departmental Review for CMT - 14/07/2022</u> July 2022 update - Code of conduct training undertaken for new Members and Governance and Audit Committee scheduled for Friday 8th July 2022.</p>	<p>Jul-22</p>		

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Risk Ref	Risk Title	Assigned To				
CRR190043	Post Covid19 - Strategic Financial Implications - loss of income Financial implications - increased costs due to Covid-19 demands and compliance with Cabinet and Welsh Government instructions	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190043/001	Recovery of Council Tax & NNDR whilst being sensitive to the current situation		Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance	Significant 25	High 15	
CRR190043/002	Recovery of Housing Rent		Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance		Catastrophic 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 & Financial Compliance			
Action Items						
<p><u>CMT comment - 14/07/2022</u> Decision: leave as is. NFA Covid Risks - general: ND stated that combining all Covid risks into one have been raised in the past, and that they remain separate. The risks had been reviewed and a couple have been merged where there are common issues but as the others were diverse they were not merged. It is still felt that there should be just one risk / they should be streamlined. WW suggested leaving the risks as they are and taking the matter that CMT wish to streamline the Covid risks and for Governance & Audit Committee to consider. Action:</p> <ul style="list-style-type: none"> CRR to Governance & Audit Committee – raise the matter of merging Covid risks – on FWP for G&AC Sept 2022 <p>Departmental Review for CMT - 14/07/2022 July 2022 update - Covid levels appear to be rising within population currently causing short term sickness absence resulting in additional supply cover/agency costs for front line services.</p>		Jul-22				
		Jul-22				

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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		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190031/001	Public participation strategy being produced		Corporate Management Team	High 12	High 12	
CRR190031/002	Petition scheme being developed		Corporate Management Team		Substantial Possible	
CRR190031/005	Collaborative working with Principal councils - awaiting further guidance from WG		Corporate Management Team			
CRR190031/006	Corporate Joint Committees - Guidance awaiting from WG - LG engagement will be expected in developing regulation		Corporate Management Team			
CRR190031/007	Webcasting of meetings arrangements in place and work ongoing on developing the arrangements for moving from remote attendance meetings to hybrid meetings		Corporate Management Team			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 - The new Performance requirements in the Act are being embedded gradually with self-assessment forming part of the Council Annual Report for 2021-22. We have also undertaken an external review of our approach to date with embedding self-assessment (completed by Ness Young, through WLGA support). The findings of this review will be considered and implemented as appropriate. Ongoing discussion with Audit Wales in terms of approach and direction of travel.</p>		Jul-22				
<p><u>CMT comment - 14/07/2022</u> Joint Committees - member training needed. Action:</p> <ul style="list-style-type: none"> Linda Rees-Jones to include training an action on the risk and to arrange training for members 		Jul-22				
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 CRR190031/001 - Public Participation Strategy approved by Full Council on 9th February 2022, public consultation period on the document closes 7th July 2022. Responses will be considered and any changes required to the Strategy reported back to Council for decision. CRR190031/002 – Petition Scheme approved by Full Council on 9th February 2022, and live. CRR190031/006 - South West Wales Corporate Joint Committee established and inaugural meeting held in January 2022. CRR190031/007 – Post election democratic meetings held as multi location meetings, as from the AGM on 25th May 2022.</p>		Jul-22				
<p><u>Departmental Review for CMT - 14/07/2022</u> July 2022 update - Three Lay Members have been appointed with the fourth Lay Member position currently being advertised.</p>		Jul-22				

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Risk Ref	Risk Title	Assigned To			
CRR190013	Delivery of the City Deal (Outcomes / Budget)	Corporate Management Team			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190013/001	Establishment of Swansea Bay City Region Board		Corporate Management Team	Significant	High
CRR190013/002	Development of Regional Joint Committees		Corporate Management Team	16	12
CRR190013/003	An agreement between the UK and Welsh Governments and 4 local authorities (Carmarthenshire, Swansea, Neath & Port Talbot and Pembrokeshire) and successful private and public collaboration will address the economic underperformance of the region, with emphasis on uplifting productivity, skills, employment and prosperity.		Corporate Management Team		Substantial
CRR190013/004	Financial Planning SBCD portfolio level risks are identified within the quarterly report under each project/programme		Director of Corporate Services		Possible
Action Items					
<p>CMT comment - 14/07/2022 Inflation is an issue as well as borrowing costs - these need to be included in the narrative of this risk. Risk rating to stay as it is for now, but for further review / consideration in the Sept CRR review.</p> <p>Action:</p> <ul style="list-style-type: none"> Chris Moore to incorporate inflation and borrowing costs into this risk. 		Jul-22			

<p>• <u>Departmental Review for CMT - 14/07/2022</u> July 2022 - A Joint Committee is in operation, with supporting governance and advisory boards. Each project within the city deal has its own local project board. A Joint Committee agreement has been implemented to support the four regional authorities in the discharge of their obligations to one another, the Welsh Government and the United Kingdom Government ("UK Government") and to promote and facilitate projects funded under the Swansea Bay City Deal in order to further the growth of the Swansea Bay City Region. The Councils have accordingly agreed to enter into this Agreement to document and regulate their respective rights and obligations to each other and to enable the Councils to work together to establish and to participate in a Joint Committee. A five year operational budget has been compiled and was approved by the Joint Committee on 9th July 2020. An annual budget for 2022/23 was approved on 23rd June 2022. Collaboration agreements to facilitate the delivery of regional projects are currently being finalised. These will support the regional authorities in the discharge of their functions and support delivery of the three SBCD regional projects. The SBCD implement evaluation and monitoring arrangements to support the delivery of the portfolio, these include a portfolio level risk register, supported by project level risk registers, integrated assurance action plan, quarterly monitoring updates and highlight report, quarterly financial monitoring update, forward works programme and COVID 19 impact risk assessments. All of the nine SBCD projects are now engaged in delivery and have been formally approved by both UK and Welsh Government. The SBCD portfolio is subjected to an independent external audit by Audit Wales, currently the audit review is in the process of completion in respect of the 2021/22 financial statements.. An internal Audit Review was conducted during February 2022 with a substantial level of assurance issued 'There are no or few weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, and they would either be unlikely to occur or their impact is not likely to affect the achievement of the SBCD objectives'. Specific portfolio risks recorded and reviewed in the SBCD Risk Register including legal, operational and financial risks. The risk register is updated quarterly and reported to governance boards and committees with appropriate mitigation or control actions. SBCD manage the grant award in line with the funding conditions set out by Governments and inline with discernment conditions outlined within the SBCD Joint Committee agreement, programme and project funding agreements and Carmarthenshire County Council's financial regulations and appropriate adopted financial strategies. Funding for year 4 (2021/22) of the SBCD has been received, including the front loading of UK government grant. The control measures we have in place to mitigate the risk include:</p> <ul style="list-style-type: none"> • Establishment of Swansea Bay City Region Board • Development of Regional Joint Committees • An agreement between the UK & Welsh Governments and 4 Local Authorities (Carmarthenshire, Swansea, Neath & Port Talbot & Pembrokeshire) & successful private & public collaboration will address the economic underperformance of the region, with emphasis on uplifting productivity skills, employment & prosperity. • Financial Planning – SBCD portfolio level risks are identified within the quarterly report under each project/programme. 	<p>Jul-22</p>		
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Risk Ref	Risk Title	Assigned To
CRR190005	Ensuring effective management of Grant Funding (including accessing Grant Funding) Threat of having to repay significant Grant monies. Failure to manage grants and maximise on the funding resources available Failure to secure funding Failure to deliver current projects within the set timescales Failure to deliver outputs in line with the T&Cs of grant paying department	Director of Corporate Services

Control Measures	Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190005/005		Director of Corporate Services	Significant 16	High 12	
CRR190005/006		Director of Corporate Services		Substantial Possible	
CRR190005/007		Director of Corporate Services			
CRR190005/001		Director of Corporate Services			
CRR190005/002		Director of Corporate Services			
CRR190005/003		Director of Corporate Services			
CRR190005/004		Director of Corporate Services			
CRR190005/008		Director of Corporate Services			

Action Items	Review Date
<p><u>Departmental Review for CMT - 14/07/2022</u> July 2022 update - Contractor availability is a risk and we need to ensure that the Terms and Conditions of the grant are adhered to.</p>	Jul-22
<p><u>CMT comment - 14/07/2022</u> Control measures need to be updated to include Contract Management Tool Kit and contract Management training. Action: Chris Moore to update control measures.</p>	Jul-22

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Risk Ref	Risk Title	Assigned To				
CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190057/001	Development of an effective Local Development Plan (LDP)		Head of Place & Sustainability	High 12	High 12	
CRR190057/002	Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective implementation.		Head of Place & Sustainability		Substantial Possible	
CRR190057/003	Develop policy interventions to ensure the effective implementation of the adopted LDP including use of LDO's etc enabling policy approaches to be agile and adaptable to changes in context and strategic objectives.		Head of Place & Sustainability			
CRR190057/004	To continue the preparation of the Revised LDP reflecting of the Councils corporate and strategic objectives whilst having appropriate regard to national policy and legislation.		Head of Place & Sustainability			
CRR190057/005	Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement.		Head of Place & Sustainability			
CRR190057/006	To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.		Head of Place & Sustainability			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 Update (Rhodri Griffiths) Maintain existing risk rating CRR190057/001 – Ongoing – Adopted LDP in place work ongoing on the replacement Revised LDP. CRR190057/002 – Ongoing – in accordance with the requirement for annual monitoring the 2022/21 Annual Monitoring Report (AMR) submitted to WG and published in October 21. 2021/22 AMR under preparation for reporting to County Council in October ahead of publication. CRR190057/003 – Ongoing – LDO's adopted for Ammanford and Carmarthen Town Centres and under preparation for the Cross Hands East Strategic Employment Site. CRR190057/004 – Ongoing – County Council on the 9th of March 2022 resolved to prepare a second Deposit Revised LDP. Evidence gathering and work ongoing ahead of reporting and publication. CRR190057/005 – Ongoing – Informal agreement with WG on proposed revised timetable pending official response. CRR190057/006 – Ongoing – Collaboration ongoing. Regional work on evidence commenced on Flood Risk and the spatial extent and impacts of the National Growth Area for Swansea and Llanelli</p>		Jul-22				

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Risk Ref	Risk Title	Assigned To				
CRR190065	Failure to determine or secure Extension of Time (EOT) for Planning applications which are outside the determination date. Current risk in relation to the repayment of the planning fee applicants where a planning application is over time (not been determined within the determination date) or has not been subject to an agreed EOT, as at 30/6/22 - 323 planning applications and fees of £536,000 at risk of repayment), which is reducing.	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190065/001	Develop, review and implement processes relating to the timely determination of planning applications.		Head of Place & Sustainability	High	High	
CRR190065/002	Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning applications, including the use of EOT.		Head of Place & Sustainability	15	12	Substantial Possible
CRR190065/003	Standardise and ensure consistent use of EOT letters (where there may be delays in the timely determination of planning applications) including monitoring mechanisms and protocols for the identification of relevant applications.		Head of Place & Sustainability			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 update (Rhodri Griffiths) No change to current risk rating. Mitigation actions continue to improve determination times and ensure consistent use of Extension of Time (EOT) for Planning applications. Significant improvements have been made since the Wales Audit review, with a reduction in outstanding planning applications from 402 in September 2021 to 323 in June 2022, (fees risk of repayment reduced from £756, 000 to £536,000.)</p>		Jul-22				

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Risk Ref	Risk Title	Assigned To			
CRR190026	Ash die back and the risk to public safety	Head of Place & Sustainability			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190026/001	The Council's Tree Safety Officer carries out regular tree safety inspections of all trees on CCC properties where required.		Head of Place & Sustainability	Significant 20	High 12
CRR190026/002	Officers delivering approved strategy for managing risk to highways posed by diseased ash trees		Head of Place & Sustainability		Substantial Possible
CRR190026/003	Highways inspectors complete annual surveys of the extent of ash dieback adjacent to highway network, and safe routes to schools		Head of Place & Sustainability		
CRR190026/004	Chainsaw training for Council operatives specific to Ash die back		Head of Place & Sustainability		
CRR190026/005	CCC's Ash Dieback project to work with landowners of affected trees adjacent to the highway network to ensure these trees are removed.		Head of Place & Sustainability		
Action Items					
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 update (Rhodri Griffiths) No change to the risk rating</p> <ul style="list-style-type: none"> Removal of all CCC owned trees identified as posing a risk to highways in Summer 2021 were removed by May 2022. Repeat summer surveys of all A and B roads to be completed by Highways by mid-September 2022, with some more heavily used C roads included in this survey where time permits. Highway Area Managers and teams allocate c. 1 day per week in the summer to ADB survey work. TSO is completing Tree Safety Surveys of all trees in schools' sites, over the Summer with the aim of getting all necessary work completed either over the Summer holidays or in the October half term. Approximately 50 sites will be surveyed in 2022. Education now has a central budget for tree safety work, so this no longer falls on the Head Teachers to fund. Following completion of the survey, the TSO organises the work using the appropriate procurement process. Work required in different schools is grouped for tenders. This approach ensures that necessary safety works are completed without delays and is a marked improvement on the previous arrangement. 		Jul-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190029	Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Director of Environment/Head of Place and Sustainability			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190029/001	The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan.		Head of Place & Sustainability	Significant 20	High 12 Substantial Possible
Action Items					
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 update (Rhodri Griffiths) No change to current risk rating. - Annual report on the NetZero Plan has been developed and will be presented to pre-cabinet on the 24 June 2022. The report shows a 214 % decrease on 2020/21 carbon emissions. Control measure updates - New cabinet member for Climate change Decarbonisation and Sustainability appointed in May 2022 - Training for councillors on climate change completed on 15 July - First of 5 carbon literacy training events for councillors on 5th July. - Intra authority steering group convened in December and March 2022 to coordinate activities. - Governance arrangements for CC and nature currently being reviewed.</p>		Jul-22			
<p><u>CMT comment - 14/07/2022</u> There is now a cross-party group established which needs to be reflected in the measures. Action:</p> <ul style="list-style-type: none"> Noelwyn Daniel to amend the wording Noelwyn Daniel to discuss with Cllr Aled Vaughan-Owen - Cabinet member 		Jul-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190040	Covid19 - Strategic Availability of Personal Protective Equipment (PPE)	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190040/001	Procurement arrangements in place for PPE		Director of Communities	Significant 25	High 10	
CRR190040/002	Central controlled stock arrangements in place		Director of Communities		Catastrophic Unlikely	
CRR190040/003	Stock management is robust to ensure correct level of supply and use		Director of Communities			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> Ongoing work with the Store to rationalise deliveries is ongoing based on bringing the service to a close in March 2023, when the free issue of PPE is due to stop. The current supply of PPE is stable; therefore, the risk is slightly lower. The longer-term plan for the store is to look at the central procurement of PPE for the Department, this will ensure that the costs of PPE can be controlled centrally and to gain economies of scale, and enable the store to hold a backup supply as a contingency for any future events.</p> <p><u>CMT comment - 14/07/2022</u> ND stated that combining all Covid risks into one have been raised in the past, and that they remain separate. The risks had been reviewed and a couple have been merged where there are common issues but as the others were diverse they were not merged. It is still felt that there should be just one risk / they should be streamlined. WW suggested leaving the risks as they are and taking the matter that CMT wish to streamline the Covid risks and for Governance & Audit Committee to consider.</p> <p>Action:</p> <ul style="list-style-type: none"> CRR to Governance & Audit Committee – raise the matter of merging Covid risks – on FWP for G&AC Sept 2022 		Jul-22				
		Jul-22				

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190009/002	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services		Head of Children Services	Significant 25	High 10
CRR190009/003	To have a sound procedure for professional abuse allegations effectively promptly and correctly		Head of Children Services		Catastrophic Unlikely
CRR190009/004	To respond appropriately to Regulators reports and recommendations		Head of Children Services		
CRR190009/005	To proactively monitor adequate procedures are being effectively operated by third party providers		Head of Children Services		
CRR190009/006	Ensure sexual exploitation Risk Assessments (SERAFs) and Missing Persons Risk Assessments are completed as required		Head of Children Services		
CRR190009/010	New arrangements implemented for our leaving care services in accordance with the Social and Well-being Act 2014		Head of Children Services		
Action Items					
<p><u>Departmental Review for CMT - 14/07/2022</u> Comments June 2022: The Risk Rating remain 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 continues to meet, to monitor and scrutinise the care and support that the Local Authority provides to our Looked After Children and Care Leavers. In addition, Looked After Children and care leavers have continued to be supported via the childcare teams and corporate parenting service to ensure they are safeguarded and enabled to reach their potential. Regular MALAC (Multi Agency Care Management meetings) and CYSUR Audit and Evaluation Meetings have continued to take place virtually to ensure the council fulfils its corporate parenting role and progress is monitored as part of the Corporate Parenting Strategy. Service Managers continue to carry out monthly audits and assessments, plans and reviews. Internal inspection is carried out within the Internal Audit and Evaluation sub-group of the Safeguarding Board. 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. All regulatory reports and recommendations are included in business planning and monitored quarterly. We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts. Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group.</p>		Jul-22			

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190051	Covid19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Chair - Silver Recovery				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190051/001	Silver Recovery Group		Chair - Silver Recovery	Significant 16	Medium 9	
CRR190051/002	Performance Management Framework quarterly reporting & monitoring to CMT		Chair - Silver Recovery		Significant Possible	
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> Whilst national restrictions have been lifted and we progress to our 'Moving Forward' and 'covid-stable' phase of recovery, case numbers are again on the increase. As life returns to more normal patterns, greater social mixing and engagement are, as expected, leading to covid variants affecting infection rates across our population, albeit with high risk groups better protected than ever. It is therefore prudent to keep the risk rating at Impact 3 (Significant) and Probability 3 (Possible), giving an overall risk rating score of 9 (Medium). Whilst Silver and Gold command have been stood down, covid related guidance continues to be updated via the corporate intranet pages. Work is ongoing across departments to continuously update service control plans and associated risk assessments, especially as we adopt better ways of working principles and in many instances move to hybrid working models, promoting protective behaviours and making environmental adaptations where appropriate.</p>		Jul-22				

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Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190074	Potential risks of disputes in relation to pay negotiations	Assistant Chief Executive				
Control Measures						
		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190074/001	Regular consultation with Trade Union colleagues to avoid disputes escalating to disruptions to services		Assistant Chief Executive	Significant 20	Medium 9	15 
CRR190074/002	Introduction of a Joint Consultative Forum with trades union / elected Member		Assistant Chief Executive		Significant Possible	-6
CRR190074/003	Development of an Employee Relations Strategy, which will clarify how we will work with our TU colleagues		Assistant Chief Executive			
CRR190074/004	Review current pay model		Assistant Chief Executive			
CRR190074/005	Contingency plans if strike action taken in critical services		Director of Communities			
CRR190074/006	Contingency plans if strike action taken in other service areas		Corporate Management Team			
Action Items						
	<u>CMT Comment - 14/07/2022</u> Agreed - it is a risk.	Jul-22				
	<u>Departmental Review for CMT - 14/07/2022</u> NEW RISK FOR CMT CONSIDERATION.	Jul-22				

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Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190023	The post Brexit Settlement	Economic Development Manager				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190023/005	Decrease in external funding due to new SPF regimes		External Funding Manager	High	Medium	12 
CRR190023/001	Officer/Member Working Group with representations from all council services		Economic Development Manager		Significant	-3
CRR190023/002	Review all services/plan contingencies		Economic Development Manager		Possible	
CRR190023/003	Follow advice from Welsh Government and WLGA		Economic Development Manager			
CRR190023/004	Communications with residents and businesses		Economic Development Manager			
Action Items		Target Date				
<p><u>Departmental Review for CMT - 14/07/2022</u> June Update CMT agreed the following on 14/4/22. 1. Discontinue future meetings of the CCC Brexit Member and Officer Working group following the April meeting. A Corporate Funding Group has been established to channel information on external funding sources which replace EU funds. 2. Regeneration Department will continue to communicate any relevant information from WLGA and any other sources relating to Brexit to this group via the Teams channel that has been set up for this purpose as and when necessary. 3. Pass all remaining risks from the Brexit risk register to the departments for inclusion on departmental registers where necessary. Carmarthenshire's Shared Prosperity Fund allocation is now known, at £38.68m. So the risk of uncertainty of external funds has decreased. Risk rating reduced as a result of the above:- Uncontrolled Risk Assessment = 12 Current Risk Assessment = 9</p>		Jul-22				
<p><u>CMT comment - 14/07/2022</u> Leave as is - NFA</p>		Jul-22				

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Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Environment/Head of Place and Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190058/001	Identify and triage "major" applications and those related to the Council's Covid Recovery Strategy along with those with grant related potential - identify opportunities for consideration where available.		Head of Place & Sustainability	Significant 20	Medium 9	12 
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	-3
CRR190058/003	Stakeholder Engagement - Instigate a communication and awareness raising programme reaching out across all sectors to ensure the implications are known and to develop an understanding of shared ownership and solution finding in addressing the issue		Head of Place & Sustainability			
CRR190058/004	Developer and Applicant Guidance - Preparation of a guidance pack for applicants and developers on the type and application of mitigation in relation to proposals impacted by the NRW guidance		Head of Place & Sustainability			
CRR190058/005	Develop a Catchment based Phosphate Calculator - Develop and implement including NRW endorsement. Calculator would enable the phosphate loading from any given development to be understood and consequential mitigation/compensation schemes to be identifiable.		Head of Place & Sustainability			
CRR190058/006	Specialist Legal and Ecological Support - Ensure decision making is supported by robust interpretations of the Council's duties and of the NRW guidance including identifying opportunities to refine the scope of the guidance and our understanding of the types of development that may be permissible.		Head of Place & Sustainability			
CRR190058/007	Provide a dedicated and continually refreshed webpage to set out the latest information and any updated guidance. To include also provide guidance for planning applicants, businesses and other interested parties - ensuring support and information is available.		Head of Place & Sustainability			
CRR190058/008	Collaborate across sectors on developing an understanding of the issues and in establishing solution based approaches.		Head of Place & Sustainability			
Action Items						

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Corporate Management Team

Departmental Review for CMT - 14/07/2022

June 2022 update (Rhodri Griffiths)

Change proposed to current risk rating: to significant x possible score of 9.

The development of a calculator, further guidance and establishment of the nutrient management boards moves us into the active management of the issue.

Control measure updates

CRR190058/001 — Action complete and ongoing “Major” applications triaged on an on going basis as applications are received.

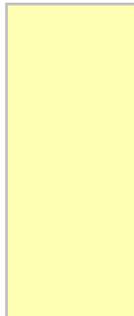
CRR190058/002 – Action complete. Nutrient management boards have been established.

CRR190058/003 – Programme of agent and developer days in development for Summer- April 22/23

CRR190058/004 – Further mitigation guidance has been developed to be issued in Summer 2022

CRR190058/005 – Action complete. Phosphate Calculator published online on 01 March 2022.

Jul-22



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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		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190014/001	Project Board is operational with suitable governance and representative membership		Chief Executive	Significant 16	Medium 8	
CRR190014/002	Development of Zones 1-4 of Pentre Awel consisting of business, education and skills, research and clinical delivery and leisure facilities (Zone 1), assisted living (Zones 2 and 3), affordable and social housing (Zone 2) and hotel and open market housing (Zone 4)		Chief Executive		Substantial Unlikely	
CRR190014/003	Financial Planning		Director of Corporate Services			
Action Items						
	<p><u>Departmental Review for CMT - 14/07/2022</u> July 2022 - Update July Zone 1</p> <ul style="list-style-type: none"> Full Council in March unanimously approved the maximum cost for the construction of £87.07m and to delegate authority to the Project Senior Responsible Owner, Chris Moore, Director of Corporate Services to agree the final cost envelope and confirm affordability in discussion with Chief Executive and Leader of the Council. Reserve Matters application submitted in June and unanimously approved by Planning Committee. Through pre construction internal areas have been confirmed for Swansea university and Hywel Dda University Health Board. Through the pre-construction phase internal areas have been confirmed for the dry and wet sports areas. Heads of Terms drafted for Swansea University , Hywel Da University Health Board and for University of Wales Trinity St David. Agreement in place with Cardiff University to lead on the innovation and business. The lead is Barbara Coles who is the University's ACCELERATE Project Manager and Clinical Innovation Hub Manager Lead appointed within Cardiff University to co-ordinate their academic input into Pentre Aweel. The lead is Professor John Wilde – Head of the School of Optometry. Health, Leisure, Research and Education workstreams have now progressed to the implementation phase and groups operational. Community Benefits working group with Bouygues operational and CCC oversight groups for performance assurance established and incorporated within the governance structure. <p>Update Zone 2 and 3</p> <ul style="list-style-type: none"> Work to commence to update the demand, capacity and affordability modelling for Zone 2, residential care. Work progressing on the deign development of Zone 3 – 144 units of retirement accommodation and 10,000 sqm of business expansion space. 	Jul-22				

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190060	Critical Authority wide IT systems	Head of ICT & Policy				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190060/001	Main server and backup server at different sites		Head of ICT & Policy	Significant 20	Medium 8	
CRR190060/002	Microsoft database SQL expertise in IT department		Head of ICT & Policy		Substantial Unlikely	
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 - Hybrid approach to our main servers IT systems, with some hosted in cloud service and the remainder in our data centres in 3 Spilman Street and Ty Parcyrhun. Audit Wales recently undertook an inspection of both data centres, focusing on physical security and access control and we are awaiting the results and recommendations from this.</p>		Jul-22				

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Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190010	Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190010/001	Representation at the Regional Board		Director of Communities	Significant 16	Medium 8	
CRR190010/002	Implementing effective safeguarding policies and procedures for vulnerable adults		Director of Communities		Substantial Unlikely	
CRR190010/003	Monitoring the performance of safeguarding within adult services		Director of Communities			
CRR190010/004	Responding to regulators reviews and recommendations		Director of Communities			
CRR190010/005	Monitoring of third party providers to ensure safeguarding procedures are being effectively operated		Director of Communities			
CRR190010/006	Robust process for professional concerns and increase staffing resource to respond to increasing demands		Director of Communities			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> Carmarthenshire is well represented on the board and associated subgroups. The Head of Adult Social Care continues to chair the Adult Practice Review Group and there is a rigorous process for manageing and tracking reviews and recommendations. Performance in relation to safeguarding is consistent the number of adult protection enquiries completed within 7 days is at 83.3% (average over the last year). There are no outstanding actions to respond to in terms of regulatory requirements. The Senior Manager Safeguarding is chairing a workstream in relation to the current Ukraine situation, and ensuring a robust response to safeguard adults. Carmarthenshire leads on strategic developments in relation to Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV).</p> <p><u>CMT comment - 14/07/2022</u> Action:</p> <ul style="list-style-type: none"> Jake Morgan to provide update and review the risk rating. 		Jul-22				
		Jul-22				

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190006	Ensuring effective People Management (including interpreting changes in HR legislation, capacity and compliance with Employment Law and Health & Safety Legislation)	Assistant Chief Executive				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190006/001	Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring, appraisals and supervision, probationary policy		Assistant Chief Executive	Significant 16	Medium 8	
CRR190006/002	Development of Employment Policies and briefings and training, audit and monitoring		Assistant Chief Executive		Substantial Unlikely	
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022</p> <p>In terms of Health and Safety, the pandemic raised the profile of ensuring safe working practices and environments, this has continued as we move beyond the emergency phase and WG advise that workplace Risk Assessments should continue to be carried out. To support this process, we have developed:</p> <ul style="list-style-type: none"> • A general Risk Assessment to help managers assess the risks linked to their activities. • Prepared guidance for managers who have people that were previously classed as ECV so that quality discussions can be had to ensure a safe working environment. • Refreshed the Pregnant Workers Risk Assessment. • A checklist for managers to ensure a safe working environment beyond the emergency phase, which includes a framework for having individual conversations with team members. <p>This information can then be used to complete a Service Control Plan including any contingency planning.</p> <p>The H&S team will now re-focus its work from Covid to ensure all health and safety risks are identified managed effectively</p> <p>In terms of HR – a comprehensive work programme is in place; we have reviewed a range of policies to align with the Better Ways of Working project and developed new Hybrid Working guidance with online resources to support managers and their teams who are moving to a hybrid way of working. We have also reviewed other policies such as Travel Policy, Secondment Policy, Domestic Abuse Policy incorporating the Safe Leave policy, Ukrainian paid leave guidance.</p> <p>Transitional People Management Guidance has also been developed to support managers during the transition period – which has been recently extended to the end of July.</p> <p>No new legislation on the horizon although we are keeping a watching brief on the Exit Pay cap.</p> <p>In terms of effective people management, our recently launched Employee Engagement Survey should provide us with data to assess how engaged staff are in terms of working for us.</p>		Jul-22				

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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		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190022/001	Governance arrangements incl management and Councillor representation on Shareholder/Governance Boards		Corporate Management Team	Significant 16	Medium 8	
CRR190022/002	Compliance with Companies Act and relevant legislation		Corporate Management Team		Substantial Unlikely	
CRR190022/003	Financial Planning Financial Reporting arrangements Audit programme		Corporate Management Team			
CRR190022/004	Training to be arranged for Directors		Corporate Management Team			
Action Items						
<p><u>CMT comment - 14/07/2022</u> Narrative missing. Action:</p> <ul style="list-style-type: none"> Seek update from Owen Bowen 		Jul-22				

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Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190007	Ensuring effective management of Procurement / Contract Management and Partnership arrangements	Head of Revenues & Financial Compliance				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190007/002	Participation in the WLGA Heads of Procurement Forum		Head of Revenues & Financial Compliance	Significant 16	Medium 8	
CRR190007/003	New Procurement Strategy developed and approved in April 2018		Head of Revenues & Financial Compliance		Substantial Unlikely	
CRR190007/005	TIC Expenditure Stream		Head of Revenues & Financial Compliance			
CRR190007/006	Economic Recovery Plan / Progressive procurement approach - agreed and signed off by CMT, P&R, Scrutiny and Cabinet		Head of Revenues & Financial Compliance			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> July 2022 update - The Procurement Strategy is due to be reviewed to include additional elements such as net zero carbon, progressive procurement and local spend. Contract Procedure Rules are being updated and going forward to CMT in August and to the Governance and Audit Committee in September for approval.</p>		Jul-22				

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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		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190012/001	Corporate Governance Group		Head of Revenues & Financial Compliance	Significant 16	Medium 8	
CRR190012/002	Implementation of the WLGA Review of Governance		Head of ICT & Policy		Substantial Unlikely	
CRR190012/003	Annual Governance Statement		Head of Revenues & Financial Compliance			
Action Items						
<ul style="list-style-type: none"> Departmental Review for CMT - 14/07/2022 July 2022 update - The Corporate Governance Group continues to meet on a quarterly basis. Better use of resources and building a better council are aligned to the Annual Governance Statement which are structured based on the 7 CIPFA principles of Good Governance. The Code of Corporate Governance has been updated to reflect the Future Generations Act and the 7 CIPFA principles of good governance. 		Jul-22				

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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		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190018/003	Raise standards at each key stage		Head of Education and Inclusion	High 12	Medium 8	12 
CRR190018/004	Support schools to develop and deliver new curriculum		Head of Education and Inclusion / Head of Curriculum and Wellbeing		Substantial Unlikely	-4
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						
<p><u>Departmental Review for CMT - 14/07/2022</u> Comments June 2022: As per commentary for CRR 190046, the Department recommends keeping these risks separate while currently in an academic year affected by the pandemic. The current risk rating should be amended to Medium 8 (the Impact remains Substantial 4, but the possibility is reduced to Unlikely 2). 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. Standards at each key stage remain high but exams and assessments for summer 2022 still cover a period affected by the pandemic. Following WG guidance, Standards are also moving away from attainment and toward progress and wellbeing. While we await a national set of measures for progress and wellbeing, we are currently reflecting progress based on Education Support Advisors conversations with schools and evidence of individual progress during academic year. We are continuing to develop trusting relationships in order to work closely with schools and partners in delivering the new curriculum and provide support and challenge. Some initiatives we lead on are cutting edge with schools appreciative and enthusiastic. Our experienced, dedicated Inclusion Team have fully up skilled to administer the new ALN system and processes for the LA, its schools and other relevant persons. 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. The Sustainable Communities for Learning (formally Modernising Education Programme) is currently undertaking a review in order to re-invigorate the 21st Century School Programme.</p>		Jul-22				

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Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190069	Contractor and internal capacity issues leading to a high backlog of housing responsive repairs and housing voids which reduces the number of homes available to let and a delay in repairs being completed.	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190069/001	Parcel work based on type and geographical location to encourage take up by contractor		Head of Housing Property & Strategic Projects	High 15	Medium 6	
CRR190069/002	Procurement arrangements to be reviewed to introduce a new Minor Works Framework by August 2023		Head of Housing Property & Strategic Projects		Moderate Possible	
CRR190069/003	Staffing resources to be reviewed as part of Divisional realignment in 2022		Head of Housing Property & Strategic Projects			
CRR190069/004	Discussions with contractors to encourage take up of work during existing Framework		Head of Housing Property & Strategic Projects			
CRR190069/005	Employment of additional operational staff to provide greater in-house resilience and to reduce dependence on the limited contractor base in the area		Head of Housing Property & Strategic Projects			
CRR190069/006	Undertake a review of Voids processes		Head of Housing Property & Strategic Projects			
CRR190069/007	Upgrade Total Repairs property maintenance job management system to Total Connect and Asset Management system to CX Assets to improve data management and issuing of work to contractors / in-house staff, plus improved communication with tenants		Head of Housing Property & Strategic Projects			
Action Items						

<p><u>Departmental Review for CMT - 14/07/2022</u> In response to the CMT review of the Risk Register in May it is proposed that this risk is renamed "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". We are currently assessing backlog works and parcelling, where possible, to encourage take up by contractors but contractor capacity remains low. It is proposed that packaging of Voids is undertaken under the Minor Works Framework, to encourage commitment from contractors. The Environment Department is shortly to commence work on renewing the Minor Works Framework before expiry in August 2023 and both housing and non-housing property teams are looking at ways to make the next iteration of the Framework more effective. As part of the ongoing review of Voids processes meetings with framework contractors have facilitated an increase in the number of void properties that a small number of contractors are able to deal with, through wider use of sub-contractors and more frequent payment arrangements. Other contractors, however have withdrawn from working on Voids in favour of larger project work, as framework rates have not increased in line with inflation since October 2021. Disaggregation of the remaining maintenance and design teams into housing and non-housing teams is to commence in July and conclude by October, which will enable a wider Divisional realignment before the end of 2022. Recent recruitment has led to the appointment of 11 housing maintenance technicians from 22 applicants for 17 posts to start the process of undertaking more work in-house. Advertising for a further round of recruitment is to start soon. The Voids Review was completed in May and an Improvement Board now meets fortnightly to oversee implementation of the Action Plan. Environment is migrating and implementing the new Total Connect system and housing repairs is now planned to go live in November 2022, with Voids to follow later in the early 2023. In summary, with the above mitigations, and a current month-on month improvement in the number of outstanding voids (down from 385 at 30/4/22 to 350 as at 5/7/22) and a gradual reduction in the housing repairs backlog, it is recommended that this risk is maintained at Medium (6)</p>	<p>Jul-22</p>			
<p><u>CMT comment - 14/07/2022</u> Current climate its felt that this risk rating is too low. Needs to be revisited, need also to consider external forces not just internal capacity and performance issues. Action:</p> <ul style="list-style-type: none"> Jake Morgan to expand the risk narrative and reassess the risk. 	<p>Jul-22</p>			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190063	Failure in Determination of Major Planning Applications (Failure to determine major planning applications within timescale is adversely impacting on our ability as an Authority to achieve our regeneration ambitions)	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190063/001	A dedicated officer and support staff have commenced work on 'Major Projects' that support the county's economic recovery plan outputs and aspirations		Head of Place & Sustainability	Significant 20	Medium 6	16 
CRR190063/002	Establish a Corporate Major Projects Group comprising council officers representing the range of services involved in development proposals, e.g. Planning, Regeneration, Highways & Legal (but not limited to). Priority focus to be afforded to projects that deliver jobs and growth in support of the Council's economic recovery plan. This will be led by the Head of Regeneration.		Head of Regeneration		Moderate Possible	-10
CRR190063/003	Protocol to be developed covering applications for major development projects (schemes above 10 residential units or 1,000 m ² of commercial development) – setting out how we will engage with applicants / developers, with clarity and commitment on the process(es) we will adopt to provide a quality and efficient planning process. Protocol will include, and clearly articulate, the programme activities, timescales and responsibilities that will support CCC's protocol and commitment to determine major applications.		Head of Place & Sustainability			
CRR190063/004	Consideration to be given to whether a Planning Performance Agreement (PPA) should be entered into with applicants for major development projects. PPA would set out set out the scope and timetable for pre-application engagement and subsequent submission and determination of the planning application. Possible useful project management tool that would be bespoke to each development, requiring commitment from both parties – applicant and LPA.		Head of Place & Sustainability			
Action Items						
<ul style="list-style-type: none"> Departmental Review for CMT - 14/07/2022 June 2022 update Change to current risk rating to moderate x possible score of 6 As of 08 June 2022, 15 of the AW recommendations have been completed. Of 49 sub actions, 47 actions have been completed with a Cabinet update provided on 20th June, Planning committee quarterly performance report published on 23 June detailing the progress made. Following the AGW report, the team identified 133 planning applications which were subsequently classed as major projects, and a further 23 applications have been received in this period. Of these 156 applications, 23 applications currently remain in determination. Control measure updates CRR190063/001 – Action complete. Major Projects lead now in place. CRR190063/002 - Action complete. Major Projects now in SMT monthly, RDT consideration of the planning position considered quarterly CRR190063/003 – Action complete. CRR190063/004 – PPA being developed for roll out in Summer 2022 		Jul-22				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190064	Failure to address Significant performance issues in development management are undermining effective service delivery. (Significant backlog of undetermined planning applications, significant caseload in planning enforcement, timeliness of validation process, and lack of Sustainability performance monitoring.)	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190064/001	Planning Hwb to act as a single point of contact for Development Management and Enforcement queries.		Head of Place & Sustainability	Significant 20	Medium 6	12 
CRR190064/002	Develop, review and implement processes relating to the determination of planning applications.		Head of Place & Sustainability		Moderate Possible	-6
CRR190064/003	Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning applications.		Head of Place & Sustainability			
CRR190064/004	Develop a comprehensive suite of performance measures to ensure the Service can be held to account.		Head of Place & Sustainability			
CRR190064/005	Embed robust performance and case management within the Service to ensure effective performance management and improved performance.		Head of Place & Sustainability			
CRR190064/006	Review Scheme of Delegation and Planning Protocol and seek approval at CRWG/Full Council.		Head of Place & Sustainability			
CRR190064/007	To focus on positive recruitment and retention practices to motivate and sustain the workforce in order that we maintain a sufficient workforce and one that is equipped to perform their work requirements.		Head of Place & Sustainability			
CRR190064/008	Re-Design and develop a customer focused Planning section within the Corporate website.		Head of Place & Sustainability			
Action Items						

<ul style="list-style-type: none"> <u>Departmental Review for CMT - 14/07/2022</u> June 2022 update (Rhodri Griffiths) Proposed change to current risk rating: to moderate x possible score of 6 As of 08 June 2022, 15 of the AW recommendations have been completed. Of 49 sub actions, 47 actions have been completed. At the end of the financial year 2021/2022 annual Planning performance standards set by the Welsh Government have been exceeded for the first time. PAM/018 Percentage of all planning applications determined in time. Cumulative 12-month figure - 80.4% (WG target 80%) PAM/019 Percentage of planning appeals dismissed. Cumulative 12-month figure - 75% (WG target 70%) Quarter 1 performance standards for 2022 indicate that progress has further improved to outperform the standards set by the Welsh Government. Control measure updates CRR190064/002 and 003 – Action complete Revised processes are continuing to be developed and implemented in the determination of planning applications services. (e.g., progress on producing protocols for validation, consultation and publicity of applications). CRR190064/004 and 005 – Action complete Planning service and case management indicators are being prepared and quarterly performance reports are being prepared for consideration by divisional SMT. CRR190064/006 – Action complete Revised Scheme of Delegation and Planning Protocol was agreed by council in February 2022 CRR190064/007 – A new Head of Place and Sustainability commenced at the start of January 2022. Key posts have been filled temporarily and the section is currently going through a workforce review. CRR190064/008 – Action complete 	<p>Jul-22</p>		
<ul style="list-style-type: none"> <u>CMT comment - 14/07/2022</u> Leave as is - awaiting Audit Wales review and will then revisit. 	<p>Jul-22</p>		

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190062	Failure to implement Audit Wales Review Recommendations into the Authority's Planning Service. (17 recommendations have been made - key areas addressed specifically in risks CRR190063, CRR19064 and CRR19065.	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 27/05/2022
CRR190062/001	Intervention Board and Intervention Assurance Board set up to regularly monitor progress and review performance data via Arcus Global dashboards		Head of Place & Sustainability	Significant 25	Medium 6	
CRR190062/002	Monthly Progress Report presented to Preliminary Executive Board		Head of Place & Sustainability		Moderate Possible	
CRR190062/003	Fortnightly meetings held with respective Executive Board portfolio members to report on progress		Head of Place & Sustainability			
CRR190062/004	Performance Report presented quarterly to Planning Committee		Head of Place & Sustainability			
Action Items						
<p><u>Departmental Review for CMT - 14/07/2022</u> June 2022 update (Rhodri Griffiths) The Council's intervention board has provided oversight for a programme of works to address the AW Report. As of 08 June 2021, 15 of the AW recommendations have been completed. Of 49 sub actions, 47 actions have been completed. A further two relating to the development of a planning and enforcement charter, are currently being developed with a view to completion in the Summer of 2022. At the end of the financial year 2021/2022 annual Planning performance standards set by the Welsh Government have been exceeded for the first time. PAM/018 Percentage of all planning applications determined in time. Cumulative 12-month figure - 80.4% (WG target 80%) PAM/019 Percentage of planning appeals dismissed. Cumulative 12-month figure - 75% (WG target 70%) Quarter 1 performance standards for 2022 indicate that progress has further improved to outperform the standards set by the Welsh Government. CRR190062/001. The intervention board meeting of July 4th will consider closing down exception reporting based on the resolution of recommendations CRR190062/002, 003. Exception report provided to Cabinet on 20 June 2022 CRR190062 004. Quarterly report presented to planning committee on 23 June.</p>		Jul-22				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190073	Ensure effective Business Continuity Plans across the Authority.	Corporate Management Team			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190073/001	Emergency Planning section to establish and coordinate working group on behalf of CMT to look at Business Continuity Plans across the Authority.		Corporate Management Team		
Action Items					
<p><u>Details</u> <u>Departmental Review for CMT - 14/07/2022</u> June update (Alan Howells) New Corporate Risk has been set up and risk rating scored as requested by CMT 12/05/2022. CRR 190073/01 update – Working Group being established and will meet in July 2022 to review and co-ordinate Business Continuity Plans across the Authority.</p>		Jul-22			

