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ASC1	15/07/2015	SIP	Adult Social Care	Not gaining full agreement on some of the more controversial and high profile agreements for the direction of travel of the service, which without we'll be unable to achieve the full level of financial savings	Inability to meet the demands and requirements of service users	H	H	High	9	• Ensure appropriate information is available to inform Member's decision making; • Appropriate options appraisal undertaken; • A series of pre and formal consultation events are being held over the winter period.	Amanda Lewis	Cllr Stephen Hayes	Hold regular member development sessions to keep them informed of issues relating to service. 19/10/15 - Consultation process over the winter period for the following services: - • Daytime activities for Older People; • Fairer Care Policy; • Residential Care; • Older Peoples Commissioning Strategy; • Learning Disabilities Project - Day & Employment Services; • Budget Consultation.	H	H	High	9	Updated at Adults SMT 22/1/16
ASC10	15/07/2015	SIP	Adult Social Care	Re-negotiation of contracts are unsuccessful or increase costs of service delivery.	• We fail to re-negotiate a contract; • Capacity to support the development of interim arrangements could delay the process; • Replacement services not planned for / in place in a timely manner • Commercial Services are unable to achieve savings identified over and above the MTFS.	H	H	High	9	• SIP outlines action to develop interim arrangements and to assess longer term implications; • Service provider to be consulted as part of the above; • Project team established. Project has commenced and is managed through ICPOP.	Amanda Lewis	Cllr Stephen Hayes	• In conjunction with Commercial services risk assess any interim plans; • Corporate ownership and support in place to ensure focused and successful implementation.	H	H	High	9	Updated at Adults SMT 22/1/16
ASC11	15/07/2015	SIP	Adult Social Care	Failure to stabilise the Domiciliary Care market.	• A service which does not deliver the outcomes that our services users need / want; • An unsustainable financial burden to the council; • Impact on capacity of ASC Services to undertake innovative work; • Adverse reputational risk for the Council; • Service users left at risk; • Failure to meet statutory duty.	H	H	High	9	• SIP outlines specific action to develop plan to establish a stable Domiciliary Care Service; • Additional / temporary officer capacity has been sourced for Adult Social Care to support this area of work; • Project Board established; • External support and evaluation / critical support from IPC; • Commissioned a range of many providers to deliver care; • Provider forum established; • Robust support and monitoring arrangements in place.	Amanda Lewis	Cllr Stephen Hayes	• Integrated approach with Health to design a joint domiciliary service model; • Cabinet report in October on Domiciliary Care next steps.	M	H	Medium	6	
CR11	14/09/2015	CEO	Social Care	Implementation of CCIS (DRAIG replacement)	Loss of data resulting in an efficient service with officers being unable to access client files. Delay in new system being commissioned as part of a National approach. Demand on resources; Continuity of reporting; Loss of data.	H	H	High	9	Project team and project governance established. DRAIG will continue to support the current system until we migrate onto CCIS.	Amanda Lewis	Cllr Phil Pritchard	Project Risk Register managed by ICT.	M	H	Medium	6	National system for Wales for Community Health & Social Care, and Early Intervention and Prevention across Wales. Integrated working and access to relevant information will be increased.

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CG1	Prior to 2014	SIP.L.V2	Corporate	Failure of governance.	Council acts ultra vires; Contravenes finance regulations and EU procurement regulations.	M	M	Medium	4	All work is report based and there is a mechanism in place by which appropriate checks are made - two checks are made by Finance and two checks by Legal (Section 151 Officer and Monitoring Officer).	Jeremy Patterson	Cllr Phil Pritchard	Installation of a software package by Autumn/Winter 2015. This will insist on timely provision of reports and will send reminder emails to the appropriate officers; Programme Governance Action Plan - spot audits of Programme Boards; Audit of Programme Board governance; Regulatory Reports.	L	M	Low	2	The software is extensively used by WG and automatically sends reminder emails to officers.
CG2	21/11/2012	Risk Register 21/11/12 12.11	Corporate	Data Protection Breaches	Information Commissioners Intervention. Financial Penalties	H	H	High	9	• Information Governance Plan supported by the Corporate Information Governance Group which meets on a quarterly basis; • Ensure we comply with corporate training requirements and quality assure our processes; • IT equipment encrypted; • Policies and procedures in place; • Staff training; • Printer security controls; • Data transmission controls (secure email).	Amanda Lewis	Cllr Barry Thomas	Introduction of information asset owners; Information Asset Register; Information Risk Assessments.	M	M	Medium	4	
CR1	21/11/2012	Risk Register 21/11/12 12.100	Corporate	The Council is unable to manage the level of financial cuts required by the Welsh Government and the relatively poor funding position	The Council incurs significant overspend. Projected budget will suffer an overspend. Penalties and fines may be imposed Council reputation damaged	H	H	High	9	Medium Term Financial Plan; Cost Recovery work; 3rd party spend reduction; Income Generation; Monthly reports to cabinet and Management Team on budget progress and progress on savings.	David Powell	Cllr Wynne Jones	Moving to 3 years balanced budget; Setting up Budget Management Reserve; Single impact assessment incorporating a risk assessment of each individual identified saving.	M	H	Medium	6	Updated at RMT 10/12/15

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CR3	21/11/2012	Risk Register 21/11/12 12.92	Corporate	Inadequate Corporate Governance arrangements for shared services and partnerships	Failure to effectively deliver services	H	H	High	9	Progress on the One Plan is reported through the Transformation Board and the LSB. In July 2012 PCC and PtHB entered into a formal partnership to deliver ICT services from a joint team formed by the integration of the ICT teams from both organisations. A Section 33 agreement was employed and provides a formal basis for partnership working. This agreement has two tiers of governance: - 1. ICT Management Team; 2. Joint Partnership Board. The Joint Partnership Board was established in 2012 and is chaired by the Leader. This manages all Section 33 agreements and is attended by the PCC Leader, PCC Chief Executive, PtHB Chief Exec and PtHB Executive Director.	Jeremy Patterson	Cllr Barry Thomas	As we enter the new landscape of integration being delivered by PCC and PtHB we will require suitable governance arrangements and lines of accountability which makes governance less ambiguous and more robust, and making scrutiny more effective and more complementary with other accountability mechanisms. Taken together these make organisations more responsive to change, and will mean that scrutiny and accountability drive improvement effectively. This work is underway to agree a revised Scrutiny and Governance structure that will meet the increased scope & pace of change for PtHB /PCC integration required by Welsh Government, address member concerns about levels of member involvement and meet PtHB requirements for separation of Board and executive functions. As part of this work we will: - • Implement a shared governance and scrutiny structure; • Develop and implement a shared member / non-executive training programme; • Develop & implement a shadowing programme across PCC cabinet / scrutiny and PtHB Board and Committees; • Seek approval at Cabinet and PtHB.	M	H	Medium	6	WAO report presented to Audit Committee 22nd April 2015 identified that the Section 33 agreement has improved service resilience and reduced IT risk, and Section 33 arrangements provide a good basis for integrated working.

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CR4	21/11/2012	Risk Register 21/11/12 12.102	Corporate	Failure to deliver on the Powys One Plan	Failure to deliver on the Powys One Plan which incorporates our statutory corporate improvement plan - could be subject to intervention	H	M	Medium	6	Programme Office established with Strategic Programme Managers leading on each of the 5 programmes within the Powys One Plan. Programme Boards meet bi-monthly and monitor progress of the projects in each programme. This is then reported up to the Transformational Board and the LSB. Programme Office has adopted the corporate risk assessment methodology and Strategic Programme Managers report the Programme risk registers to the Programme Boards. Projects also have their own risk registers. The registers report risks which may impact upon delivery of objectives, and identify mitigating actions taken to control these risks. Scrutiny challenge and feedback sessions have been held on progress made so far, this has been reported using the Performance Evaluation Grids.	David Powell	Cllr Barry Thomas	Continue to improve the reporting process to make the One Plan and what we're achieving 'more visible'. This transparency leads to clearer lines of accountability and responsibility, which in turn will lead to greater success and delivery of objectives. PCC and PtHB Programme Office' have been aligned and will continue to meet and share experience between teams. This will strengthen the programme management process and support the delivery of the programmes. Continue with monitoring of progress on the programmes and projects within the programmes via project and programme boards. Regular meetings between Programme Sponsors and Strategic Programme Managers, to identify and unblock any issues that arise. 17/12/15 A number of projects within the Powys One Plan are due to be completed beyond April 2017, due to various dependencies including WG funding. Due to a 'gap' between the meetings of the LSB and the Public Service Board (which will replace the LSB), it may be appropriate to continue and maintain monitoring of these projects beyond 2017.	M	M	Medium	4	
CR5	21/11/2012	Risk Register 21/11/12 12.102	Corporate	Lack of management of the procurement process within services.	Inadequate contracts and contract management exposing the authority to financial and reputational risk	H	M	Medium	6	E-Learning 'Commissioning: The Fundamentals Level 1' training course has been developed, is available and being used, and is aimed at all those employees who undertake some purchasing / ordering / buying and may undertake some commissioning. Level 1 training must be completed before anyone proceeds onto the Level 2 taught course.	David Powell	Cllr Graham Brown	It is planned to provide key messages around Commissioning to all Powys County Council employees via NetConsent. The content of and targeted audience for 'Commissioning: The Technicalities Level 2' taught training course is currently being discussed with external providers and a specification is being developed. Visibility of the contracts register. Introduction of Commissioning Toolkit and Gateway process to ensure that a member of the Commercial Services team is applied to each project	M	M	Medium	4	Updated at RMT 10/12/15

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CR6	21/11/2012	Risk Register 21/11/12 12.90	Corporate	Lack of adequate resilience planning	Non-compliance with Civil Contingencies Act (CCA) 2004; Failure to deliver critical services in the event of a declared emergency or event.	M	H	Medium	6	Education and training programme delivered to services; Business Continuity Management (BCM) Group established and meets quarterly; Services supported to produce their own Business Continuity Plans (BCPs); Self-evaluation of BCM incorporated into SIP process; PCC Emergency Planning Dept works with Dyfed Powys Local Resilience Forum (LRF) to ensure CCA 2004 Compliance; 24/7 Duty Emergency Planning Officer to facilitate PCC response.	David Powell	Cllr John Powell	Continual engagement with BCM Champions via quarterly Business Continuity Group; Services to continue to develop and test their BCPs; External Education and Training with LRF Partners to ensure Integrated Emergency Management (IEM).	L	M	Low	2	Updated 25th February 2016
										IT IS PROPOSED TO REMOVE THE RISK BELOW AS PROCEDURES ARE IN PLACE TO ENSURE THE LEVEL OF RISK TO THE COUNCIL IS AT A MINIMUM LEVEL								
CR7	21/11/2012	Risk Register 21/11/12 12.94	Corporate	Inadequate registers / notifications of items requiring statutory testing provided to the compliance team.	Regulations not met; Financial Penalties; Corporate Manslaughter.	H	H	High	9	The statutory testing team maintain a register of plant, equipment and buildings that require testing, and the timetable for testing these items. This register then forms their work programme.	Paul Griffiths	Cllr Avril York		L	H	Medium	3	
										THE RISK BELOW IS TO BE REMOVED AS IT WAS AGREED AT RESOURCES MANAGEMENT TEAM 25TH FEBRUARY 2016 THAT THIS IS NO LONGER A RISK TO THE COUNCIL								
CR8	21/11/2012	Risk Register 21/11/12 12.95	Corporate	Inadequacy of Absence Management process	Failure to provide service to a satisfactory standard.	H	L	Medium	3	New Absence Management Policy; Pro-active work plan in place which is supported by HR; Monthly targets reported to HoS.	David Powell	Cllr Phil Pritchard	Maintain position of low absence rate and continue to reduce the risk by managing interventions; Raise awareness across Management Teams.	M	L	Low	2	Robust processes in place makes this a low risk. Updated at RMT 10/12/15.
CR10	21/11/2012	Risk Register 21/11/12 12.97	Corporate	Failure to monitor and protect Council assets	Theft and abuse of Council property	H	M	Medium	6	Each service should have it's own asset register. All ICT equipment should be recorded on the ICT asset register.	David Powell	Cllr Barry Thomas	Ensure that all services have their own asset registers in place; Incorporate into Starters and Leavers process.	M	M	Medium	4	
PL1	Prior to 2014	SIP	Highways, Transport & Recycling	Failure to ensure Health and Safety of public and workforce	Injury to individual employees and risk to the Authority; People could be seriously or fatally injured; Exposure to litigation.	H	H	High	9	Health and Safety meetings, revenues, training and audit; Public liability insurance; Procurement - external contractors risk statements - monitoring.	Paul Griffiths	Cllr John Brunt / Cllr John Powell	Continually review robust site supervision and monitoring processes internally and externally with contractors;	M	H	Medium	6	

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ICS1	Prior to 2014	SIP.ICT.?	Information and Customer Services	ICT Disaster Recovery	Failure to maintain key ICT services in the event of a major incident.	M	H	Medium	6	PCC have been working closely with Microsoft and Platform Consultancy to explore utilising the latest cloud services, to provide both a backup solution and disaster recovery solution. This will provide PCC with the ability to instantly power up all replicated servers in the cloud. 06/01/2016 Project in place. Critical services have been identified from Service BCPs to identify criticality of applications for prioritisation.	David Powell	Cllr Phil Pritchard	Microsoft Data Protection Manager will perform nightly backups to on-site storage, this backup data will then replicate into Azure blob storage as an off-site back for long-term storage. We are currently investigating a second link with BT Global Services. The link will be from a second site within the North of the County (different power grid) to replicate systems. Replacement of existing systems. The above are incorporated into ojbective ICT5 in ICT and Programmes 2016-19 SIP. Fire prevention for server rooms - remedial works to be completed by end of March 2016. New systems which are purchased must have cloud hosting capability.	L	H	Medium	3	The cloud extension suite will enable PCC to replicate the on-site virtual server environment and compatible physical server environment into Azure. This work will reduce the level of risk in terms of virtualised systems, however a risk will remain in respect of physical systems. This risk will be mitigated by the replacement of existing systems.
RPC2	Prior to 2014	SIP.PPP.V1	Regeneration, Property & Commissioning - Environmental Health	Liabilities arising from closed landfill site portfolio	Significant pollution incident resulting in prosecution. Legal challenge from NRW / land owners.	H	H	High	9	We have two specialist Contaminated Land Officers who will seek external legal advice when appropriate, and work closely with Natural Resources Wales.	Paul Griffiths	Cllr John Powell		M	H	Medium	6	
RPC6	Prior to 2014	SBP 2014/17	Regeneration, Property & Commissioning - Spatial Planning	Failure to adopt the LDP	Reputational damage to the Council and a period when the Council would determine planning applications in accordance with material planning considerations rather than an adopted development plan; Financial implications.	H	H	High	9	There has been close working relationships with WG officers. However, recent correspondence suggests they consider the Plan may be unsound.	Paul Griffiths	Cllr Avril York	Meeting with WG; Appointing legal support to argue our issues at examination in summer 2016.	H	H	High	9	
RPC8	2014	SBP 2014/17	Regeneration, Property & Commissioning	The property disposals programme may not realise the expected returns on time.	Other developments which depend upon them cannot be supported.	M	H	Medium	6	Regularly revise progress on list of disposal sites/ buildings and feed this in through the corporate Cost Improvement Group / Income Project Board, as well as the property projects; The Strategic Assets Board meets quarterly.	Paul Griffiths	Cllr Barry Thomas	The policies and procedures reflect adequate internal control arrangements, monitoring and effective authorisation and scrutiny.	M	M	Medium	4	

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RPC12	11/12/2015	HoS	Regeneration, Property & Commissioning	We have identified C£1M of urgent health and safety works (electricals, sewerage systems, asbestos etc.) that need to be undertaken on the 139 Farm Houses in our estate.	Potential threat to life	H	H	High 9	£500k capital has been identified to start works in 2016/17.	Paul Griffiths	Cllr John Powell	Further report to Cabinet in May 2016 when the full position of works required is known. Rolling programme of works	L	H	Medium 3	
SS1	13/01/2015	SMT	Schools Service	Non delivery of the Schools Transformation Programme	Infrastructure which is not contributing to the Authority's efficiency agenda, and leading to poor educational outcomes	H	H	High 9	Added capacity now in place; ODP Programme defined; Revised governance around 21st Century Schools in place; Revised Schools Transformational Policy approved by Cabinet December 2015; New structure in place; Transformation funding provided for additional resource as and when required; Programme reports to Cabinet; Regular policy and procedure legal checks required.	Jeremy Patterson	Cllr Arwel Jones	A number of primary Schools have been identified for review under the Powys Schools Transformation Policy (Nov 2014) and we are in discussions with individual schools. Detailed Reports will follow to Cabinet in due course; Further discussions with WG about our capital programme; Formal consultation will commence during Spring term on a number of primary schools.	M	H	Medium 6	
CR14	13/01/2015	SMT	Corporate	Condition and security of buildings and premises.	• Breach of Equalities legislation; • Failure to comply with H&S legislation; • Failure to be able to provide services in a suitable way to the public, and accommodation which is suitable for staff.	M	H	Medium 6	Strategic review of office accommodation in progress. Schools Review of Special Schools; 21st Century Schools Programme (prioritised according to pupil vulnerability); A new Schools Service Major Improvement Programme Scoring and Prioritisation criteria was agreed by Cabinet 3/3/15, and it was also agreed a spend of £1m per year for the next three years.	Jeremy Patterson	Cllr Barry Thomas	Strategic Outline Plan for 21st Century Schools and Capital Investment Programme.	L	H	Medium 3	Updated 25/01/16 - incorporates SS4
CR15	25/01/2016	PCC Welfare Reform Advisory Group	Business Services	The roll out of Universal Credit has likelihood of large impact on Powys citizens.	Customers having less income; Customers needing support to adjust; Resilience of service to continue to provide additional service as UC increases; In subsidy audit potential penalty imposed.	VH	M	High 8	Provide financial advice. Administer discretionary housing payments (DHP) to people who are unable to manage their housing costs (WG allocated fund); Steering Group chaired by Portfolio Holder; Communication and money advice to support people.	David Powell	Cllr Wynne Jones	Using Powys data to be able to map and model customers within Powys who are going to be affected the greatest to provide advice and support to avoid them getting into debt; Using Shire meetings to notify members.	H	L	Medium 3	Universal Credit will replace the following: - • Jobseeker's Allowance; • Housing Benefit; • Working Tax Credit; • Child Tax Credit; • Employment and Support Allowance; • Income Support.