

Risk Ref	Corporate Priority	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk			Current Controls	Risk Owner	Portfolio Holder	Proposed Further Actions / Controls	Residual Risk			Notes	
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ASC1	Services-delivered-for-less Supporting-people-in-the-community	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, without which we'll be unable to achieve the full level of financial savings	Inability to meet the demands and requirements of service users as well as a potential for significant overspending	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.	Carol Shillabeer 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; • Residential Care; • Older Peoples Commissioning Strategy; • Learning Disabilities Project - Day & Employment Services; • Budget Consultation.	H	H	High	9	Lower level risks will continue to be monitored within the Project Management framework.
ASC10	Services-delivered-for-less Supporting-people-in-the-community	15/07/2015	SIP	Adult Social Care	Governance options in respect of residential care contracts result in costly or ineffective service delivery.	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. Potential expensive extension of contract, or challenging developments of	H	H	High	9	Negotiations continue between BUPA and PCC. Work is ongoing on developing a Business Plan for a LATC.	Carol Shillabeer 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; Further resource has been secured resulting in joint working with Cardiff Council and V4 on residential care. Cabinet decision required in December. Recruitment plans for LATC in train. Re-registration with CSSIW being actioned.	H	H	High	9	Residential Care contracts have been negotiated.
ASC11	Services delivered for less Supporting people in the community	15/07/2015	SIP	Adult Social Care	Domiciliary Care suppliers and stakeholders in the Powys market are not sufficiently mature to respond to changing demand from customers and commissioners.	Commissioned services are not delivered to required standards; Re-commissioning may be needed; Complaints from service users may increase; Risk to service user independence including customer safety; Failure to stabilise the Domiciliary Care market, resulting in: - • 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	The provider forum will be an opportunity to engage with local service providers and consult on potential service proposals; Regular contract management will engage providers in the process; Action plan and accountability framework in place following IPC report on Domiciliary Care Commissioning; SIP outlines specific action to develop plan to establish a stable Domiciliary Care Service; Additional/temporary officer capacity has been sourced; 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.	Carol Shillabeer Cllr Stephen Hayes	Improved working arrangements with PAVO to support and build capacity in the 3rd sector; To move from traditional provider / commissioner relationship to a relationship of co-production with stakeholders; Integrated approach with Health to design a joint domiciliary service model; Cabinet report being prepared for Domiciliary Care Framework Options. Market position statement in draft format which will lead into a Domiciliary Care Strategy.	M	H	Medium	6	

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CR2	Services delivered for less Supporting people in the community Developing the economy Learning	15/07/2015	HoS	Organisational Development	Inability to recruit the level and scale of staff required to vacant posts across the organisation due to inability to attract and/or an unsustainable employable local demographic.	Insufficient staff to meet service demands; Inability to progress service development. Financial implication of using agency staff/contractors.	H	H	High	9	Integrated approach to integration across Health and Adult Social Care including the alignment of HR / Organisational Development being managed under the One Powys Plan.	Julie Rowles	Cllr John Powell	Recruitment campaigns commencing for key services; Develop workforce plans looking at workforce demographics over next 5-10 years, skills and workforce training; Work with partners. Move to a new approach of values based recruitment process. RROOTS Project (Recruiting & Retaining Our Own Talent and Skills).	M	H	Medium	6	
CR17	Services delivered for less Supporting people in the community	22/01/2016	SMT	Corporate	Living wage and increased pension requirements are resulting in increased financial pressure.	Additional financial implications; Some providers may remove provision; Inability to meet statutory requirements; Unaffordable within current budget.	H	C	High	12	Working with providers to understand increased cost pressures; Funding identified for 2017/18 in the budget process.	David Powell	Cllr Wynne Jones	Continuation of existing controls.	L	C	Medium	4	
CR11	Supporting people in the community	14/09/2015	CEO	Social Care	Implementation of WCCIS (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;	H	H	High	9	Project team and project governance established. DRAIG will continue to support the current system until we migrate onto CCIS; Project team working with Programme team for Summer 2017 implementation.	Carol Shillabeer	Cllr Tony Thomas	Production of a project risk register. Head of Operations for Adult Services to attend WCCIS Board.	H	H	High	9	
CG1	Services delivered for less	Prior to 2014	SIP.L.V 2	Legal	Failure of governance.	Council acts ultra vires; Contravenes finance regulations and EU procurement regulations. Failure to distribute	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 Wynne Jones	ModernGov Phase 2 tested and to be rolled out by September 2017. Input required from company to provide training. Will be piloted with one service initially. 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;	L	M	Low	2	The software is extensively used by WG and automatically sends reminder emails to officers.

2017-03-13 Risk Register

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CG2	Services delivered for less	21/11/2012	Risk Register 21/11/12 12.11	Corporate	Data Protection Breaches	Information Commissioners Intervention. Financial Penalties	H	H	High	9	<ul style="list-style-type: none"> 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). 	Carol Shillabeer	Cllr Rosemarie Harris	Introduction of information asset owners; Information Asset Register; Information Risk Assessments.	M	M	Medium	4	
CR1	Services delivered for less	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; Budget Challenge Events; Moved to a 3 year balanced budget; Budget Management Reserve; Impact Assessments;	David Powell	Cllr Wynne Jones	Re-establishment of the Income & Cost Improvement Board.	M	H	Medium	6	
CR3	Services delivered for less Supporting people in the community Developing the economy Learning	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	A number of Section 33 Agreements are in place and are overseen by Joint Partnership Board.	Jeremy Patterson	Cllr Barry Thomas	A new model template is being developed for 2017/18 which will make signing off of future Section 33 Agreements much easier.	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	Services delivered for less Supporting people in the community Developing the economy Learning	21/11/2012	Risk Register 21/11/12 12.102	Corporate	Failure to deliver on the One Powys Plan (OPP)	Failure to deliver on the aims and objectives outlined within the OPP.	H	M	Medium	6	Programme Managers lead on each of the programmes within the OPP. Programme Boards meet bi-monthly and monitor progress of projects. This is then reported to the Transformational Board and LSB. Programme Office adopted corporate risk assessment methodology. Scrutiny challenge and feedback sessions using Performance Evaluation Grids. Greater transparency of the OPP reporting process. Clearer lines of accountability and responsibility. Sharing learning and knowledge between PCC and PTHB Programme Office'.	David Powell	Cllr Barry Thomas	Continue to monitor progress on the programmes. Regular meetings between Programme Sponsors and Programme Managers to identify and unblock any issues that arise. A number of projects within the OPP are due to be completed beyond April 2017. Due to a 'gap' between the meetings of the LSB and the PSB, it may be appropriate to continue and maintain monitoring of these projects beyond 2017.	M	M	Medium	4	
CR5	Services delivered for less Supporting people in the community	21/11/2012	Risk Register 21/11/12 12.102	Corporate	Lack of management of the procurement process within services. Lack of a clear definition and structure to support the organisation's commissioning and commercial vision.	Inadequate contracts and contract management exposing the authority to financial and reputational risk. Commissioned services not delivered in accordance with the Council's vision and priorities.	H	M	Medium	6	Implementation of a Commercial Services Team; E-Learning; Gateway process; Contract Management; CS involved in all Strategic Commissioning Projects; CS rep at DMTs/SMTs.	David Powell	Cllr Graham Brown	Key messages around Commissioning communicated to all employees; Visibility of the contracts register; Introduction of Commissioning Toolkit; Understand how services initiate the commissioning process; Commissioning Training; Commercial & Commissioning Strategy being drafted;	M	M	Medium	4	
CR6	Services delivered for less Supporting people in the community Developing the economy Learning	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; Business Continuity Management (BCM) Group established; Services supported to produce their own Business Continuity Plans (BCPs); Self-evaluation of BCM incorporated into SIP process; PCC representation on Dyfed Powys Local Resilience Forum (LRF); 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); Recent audit undertaken by Internal Audit team, resulting in an Action Plan.	L	M	Low	2	
CR10	Services delivered for less	21/11/2012	Risk Register 21/11/12 12.07	Corporate	Failure to monitor and protect Council assets	Theft and abuse of Council property	H	M	Medium	6	Each service should have its own asset register; All ICT equipment should be recorded on the ICT central asset register.	David Powell	Cllr Tony Thomas	Ensure that all services have their own asset registers in place; Incorporate into Starters and Leavers process.	M	M	Medium	4	

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PL1	Services delivered for less	Prior to 2014	SIP	Highways, Transport & Recycling Place Directorate	Health and Safety of public and workforce The authority doesn't have a sufficiently robust risk assessment process for the management of Health & Safety (H&S) across the organisation.	Injury to individuals 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; Promotional campaign for risk assessment to be considered for staff across the authority; Management Team (MT) briefing to be cascaded to ensure learning is understood by all staff responsible for H&S; Full review of risk assessments to be undertaken by all Service Areas; H&S to be included within IPRs; MT to consider sufficiency of current mechanism for managing H&S; Staff bulletin.	M	H	Medium	6	Merged with Risk LC1
ICS1	Services delivered for less Supporting people in the community Developing the economy Learning	Prior to 2014	SIP.ICT. ?	ICT and Programmes	Current systems are not covered by a fully resilient DR Solution (Infrastructure and Policies/processes)	Failure to maintain key ICT services in the event of a major incident.	M	H	Medium	6	Close working with Microsoft and Platform Consultancy to explore utilising the latest cloud services; Microsoft Data Protection Manager will perform nightly backups to on-site storage, this will then be replicated into Azure blob storage as an off-site back for long-term storage.	David Powell	Cllr Tony Thomas	Replacement of existing systems; Fire prevention for server rooms; Second link from a second site within the North of the County to replicate systems; New systems which are purchased require cloud hosting capability; DR and BC within 2017/18 SIP; SLA discussions will also impact the solutions; Engagement with external provider to identify and provide a suitable BC solution.	L	H	Medium	3	
RPC2	Services delivered for less	Updated 19th April 2016	SIP.PPP .V1	Regeneration, Property & Commissioning - Environmental Health	a) Legal challenge to PCC's intention to hand back responsibility of privately owned closed landfill sites back to the landowners; b) Liabilities arising from PCC owned closed landfill site portfolio	a) Costs arising from legal challenge and future liabilities. b) Potential legal action by NRW should an incident occur	H	H	High	9	a) QC advice sought at the outset, and supporting the Council's stance. b) We have two specialist Contaminated Land Officers who will seek external legal advice when appropriate, and work closely with Natural Resources	Paul Griffiths	Cllr John Powell	a) Our position was defended in the High Court on 30th September where we lost the case, however, we were granted the right to appeal by the High Court Judge.	H	H	High	9	
RPC6	Services delivered for less Developing the economy	Prior to 2014 Risk updated 05/04/2016	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 without an adopted LDP. Financial implications due to increased costs to produce LDP.	H	H	High	9	There has been close working relationships with WG officers. However, recent correspondence suggests they consider the Plan may be unsound. Senior Management Team meet with PL-PP on a regular basis. Action Plan to respond to issues raised by WG and Inspector.	Paul Griffiths	Cllr Tony Thomas	Work closely with WG; Exploratory meeting was held with the Inspector on 10th May, where we were given extra time to answer her queries.	M	H	Medium	6	LDP was re-submitted on 13th September and the examination process has re-started. Pre-hearing will be in February with public examination starting in March.

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RPC8	Services delivered for less	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; The Strategic Assets Board meets quarterly.	Paul Griffiths	Cllr Rosemarie Harris	The policies and procedures reflect adequate internal control arrangements, monitoring and effective authorisation and scrutiny.	M	M	Medium	4	The programme is ahead of schedule and it is felt that this is no longer a significant risk to the Council.
RPC12	Services delivered for less	11/12/2015	HoS	Regeneration, Property & Commissioning	We have identified £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.	Financial and reputation risk to the Council if the remedial works are not undertaken.	H	H	High	9	£500k capital has been identified to start works in 2016/17.	Paul Griffiths	Cllr John Powell	Rolling programme of works. Funding for the urgent works has been dealt with as part of the Council's overall budget setting process.	M	H	Medium	6	
SS1	Services delivered for less Learning	13/01/2015	SMT	Schools Service	Non delivery of the Schools Transformation Programme. Risk of legal challenge to consultation process which will impact of 21st Century Capital programme.	Infrastructure which is not contributing to the Authority's efficiency agenda, and leading to poor educational outcomes; Delay in delivery of programme due to political dimension and potential loss of WG funding.	H	H	High	9	<u>Primary Schools</u> OBC approved for Welshpool Primary programme. Cabinet resolved to close the four schools in Jan 17 wef 31-8-17. <u>Secondary Schools</u> <u>Mid Powys</u> Cabinet resolved to publish statutory notices for the closure of Builth and Llandrindod High. <u>South Powys</u> OBC approved for new build in Brecon and investment in Gwernyfed. <u>North Powys</u> Business case production commissioned and ongoing.	Jeremy Patterson	Cllr Arwel Jones	<u>Secondary Schools</u> Statutory objections re: Builth / Llandrindod to be considered by Cabinet on 27th Feb / 14th March. Consultation responses re: Brecon Welsh medium to be considered by Cabinet on 14th March.	H	H	High	9	Updated by SMT 13-2-17.
CR14	Services delivered for less Learning	13/01/2015	SMT	Corporate	Condition and security of buildings and premises.	<ul style="list-style-type: none"> 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. <u>Schools</u> 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 Rosemarie Harris	Strategic Outline Plan for 21st Century Schools and Capital Investment Programme; Revision of Schools Service Asset Management Plan including: - <ul style="list-style-type: none"> Revision of SLAs as part of JVC (incorporating Property Plus); Defined Client side role; Develop robust SLA with clearly defined roles; Develop a commissioning model; Understanding of how work is commissioned. Health & Safety Officer carrying out a rolling programme of audits. Further guidance to be issued to schools in September relating to Health & Safety and Safeguarding.	L	H	Medium	3	

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CR15	Services delivered for less Supporting people in the community	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	V H	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	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	
CR16	Services delivered for less Developing the economy	07/07/2016	Audit Committee		The impact on the Council as a result of Brexit	Interest rates, negative impact on investments and the pension fund, wider economic impact, exchange rates, European funding grants	H H	H	High	9	Close monitoring; Cabinet briefed; Advice from pension advisers; Continue to work with WEFO.	David Powell	Cllr Wynne Jones	Continue to monitor economic indicators. Ongoing dialogue with external advisers.	M M	Medium	4	
LC1	Services delivered for less	28/08/2016	Strategic Director - Place	Leisure & Recreation	Leisure Centre related major incident or near miss, arising through mis-management or lack of procedures / systems.	HSE investigation leading to possible prosecution which would result in significant adverse reputational damage and financial impact to the Council.	H H	H	High	9	Area Manager Audits, External H&S Audits, Internal Audits, Operational Risk Assessment Updates; Regular staff training; Staff qualifications are monitored and updated when necessary; Monthly visits (to 1 or 2 LCs) to review the audits undertaken; Regular monthly and quarterly meetings with Freedom Leisure; Freedom H&S officer notifies the Council of any incident or pool building closure, and follows up with an outcome report;	Paul Griffiths	Cllr Graham Brown	Continue as per contract monitoring regime.	L H	Medium	3	Merged with Risk PL1
CR7	Services delivered for less	04/11/2016	Audit Committee	Corporate	Transition post-election of the Pensions Committee	Insufficient skills to oversee the Pension fund	H M	M	Medium	6	The Pensions Board is fully trained and holds a great amount of training and expertise. This Board is available to provide assistance to the Pensions Committee if required.	David Powell	Cllr Wynne Jones	Implement training plan previously developed for the Pensions Board, to develop members of the Pensions Committee where required.	L M	Low	2	