

| 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 | | |
|----------|---|-----------------|--------|----------------------------|--|--|---------------|---|-------------|------------------|---|------------------|-------------------------------------|--|---|-------------|--------|---|--|
| | | | | | | | P | I | Risk Rating | | | | | P | I | Risk Rating | | | |
| ASC11 | Services delivered for less Supporting people in the community | 15/07/2015 | SIP | Adult Social Care | It is a challenge for Domiciliary Care suppliers and stakeholders in the Powys market 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 is 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 for July 2017 . Market position statement in draft format which will lead into a Domiciliary Care Strategy. | M | H | Medium | 6 | |
| 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 James Evans | Recruitment campaigns commencing for key services; Develop workforce plans looking at workforce demographics over next 5-10 years, skills and workforce training; Recruitment of Workforce Planner within PTHB will be able to support an element of the ASC workforce planning. Move to a new approach of values based recruitment process. RROOTS Project (Recruiting & Retaining Our Own Talent and Skills). Work with PCC/Heath Board to understand new skill mix required. Conversations held with WG re: new Qualification Framework. Grown Your Own / Career Graded Apprenticeship Approach. | M | H | Medium | 6 | |

| 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 |
|----------|---|-----------------|------------------------------|--------------|---|---|---------------|---|-------------|---|------------------|--------------------|---|---------------|---|-------------|---|
| | | | | | | | P | I | Risk Rating | | | | | P | I | Risk Rating | |
| 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 Aled Davies | 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. Production of a project risk register. Head of Operations for Adult Services to attend WCCIS Board. | Carol Shillabeer | Cllr Stephen Hayes | | H | H | High 9 | WCCIS went live 24th April 2017. |
| 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 Aled Davies | 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; <u>Regulatory Reports.</u> | L | M | Low 2 | The software is extensively used by WG and automatically sends reminder emails to officers. |
| 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 James Evans | Introduction of information asset owners; Information Asset Register; Information Risk Assessments. | M | M | Medium 4 | |

| 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 | |
|----------|---|-----------------|-------------------------------------|--------------|---|---|---------------|---|-------------|------------------|------------------|----------------------|--|---------------|---|-------------|-------|---|
| | | | | | | | P | I | Risk Rating | | | | | P | I | Risk Rating | | |
| 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 | David Powell | Clr Aled Davies | 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 | Jeremy Patterson | Clr Rosemarie Harris | A new model template is currently being developed for 2017/18 which will make signing off of future Section 33 Agreements much easier. | M | H | Medium | 6 | WAO report to AC 22/4/15 identified that S.33 agreement has improved service resilience and reduced IT risk, and S.33 arrangements provide a good basis for integrated working. |
| 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) / CIP | Failure to deliver the aims and objectives outlined within Council Plans . | H | M | Medium | 6 | David Powell | Clr Rosemarie Harris | Continue to monitor progress on the programmes. Regular meetings between Programme Sponsors and Programme Managers to identify and unblock any issues that arise. | M | M | Medium | 4 | |

| 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 | | |
|----------|---|-----------------|-------------------------------------|-------------------|--|--|---------------|---|-------------|------------------|---|------------------|-------------------------------------|--|---|-------------|--------|---|--|
| | | | | | | | P | I | Risk Rating | | | | | P | I | Risk Rating | | | |
| CR5 | Services delivered for less Supporting people in the community | 21/11/2012 | Risk Register 21/11/12 12.102 | Corporate | Lack of a clear definition and structure to support the organisation's commissioning and commercial vision. | 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 Aled Davies | 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; Contract Management Training. | 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 Aled Davies | 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 12.97 | 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 James Evans | Ensure that all services have their own asset registers in place; Incorporate into Starters and Leavers process. | M | M | Medium | 4 | |
| PL1 | Services delivered for less | Prior to 2014 | SIP | Place Directorate | The authority doesn't have a sufficiently robust risk assessment process for the management of Health & Safety (H&S) across the organisation. In addition to this, due to nature of the work carried out in HTR, considerable reliance is placed on the workforce to deliver services safely, in the interests of both staff and public. | 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. Promotional campaign for risk assessment for staff across the authority completed w/e 26/05/2017; Staff bulletin issued; Management Team (MT) briefing cascaded to ensure learning is understood by all staff responsible for H&S; | Paul Griffiths | Cllr James Evans | Continually review robust site supervision and monitoring processes internally and externally with contractors; Full review of risk assessments to be undertaken by all Service Areas - Risk assessment audit process currently being reviewed by H&S team; H&S to be included within IPRs; MT considering sufficiency of current mechanism for managing H&S; | M | H | Medium | 6 | |

| 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 | |
|----------|---|--|-------------|---|--|---|---------------|---|-------------|------------------|--|---|--|---------------|---|-------------|-------|--|
| | | | | | | | P | I | Risk Rating | | | | | P | I | Risk Rating | | |
| 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. | H | H | High | 9 | 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 James Evans | 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. | H | H | High | 9 | Risk increased to High |
| 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 Wales. | Paul Griffiths Cllr Jonathan Wilkinson | 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 Martin Weale | 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. Examination started in March 2017 and is progressing well. |
| RPC12 | Services delivered for less | 11/12/2015 | HoS | Regeneration, Property & Commissioning | We have identified CE1M 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 Jonathan Wilkinson | 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 | |

| 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 | | |
|----------|--|-----------------|-----------------------------------|-------------------|--|--|---------------|---|-------------|------------------|--|------------------|-------------------------------------|--|---|-------------|--------|---|--|
| | | | | | | | P | I | Risk Rating | | | | | P | I | Risk Rating | | | |
| 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 | <p><u>Primary Schools</u></p> <p>Welshpool - temporary Governing Body in place and Headteachers appointment process commenced.</p> <p>Gwernyfed - work commenced on the building of the 5 new Primary Schools.</p> <p>Temporary Governing Body established for Ysgol y Mynydd Du and Headteacher appointed.</p> <p><u>Secondary Schools</u></p> <p>Mid Powys - temporary Governing Body established for the new mid powys Secondary School.</p> <p>South Powys - OBC approved for new build in Brecon and investment in Gwernyfed.</p> <p>North Powys - Business case production commissioned and ongoing.</p> | Jeremy Patterson | Cllr Myfanwy Alexander | <p><u>Secondary Schools</u></p> <p>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.</p> | H | H | High | 9 | |
| 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 | <p>Strategic review of office accommodation in progress.</p> <p><u>Schools</u></p> <p>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.</p> | Jeremy Patterson | Cllr Phyl Davies | <p>Strategic Outline Plan for 21st Century Schools and Capital Investment Programme; Revision of Schools Service Asset Management Plan including: -</p> <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. <p>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.</p> | L | H | Medium | 3 | |
| CR15 | Services delivered for less Supporting people in the community | 25/01/2016 | PCC Welfare Reform Advisory Group | Business Services | The welfare reform programme and roll out of Universal Credit has likelihood of large impact on Powys citizens, in addition to HRA income. | Customers having less income and requiring support to adjust; Resilience of service to continue to provide additional service as UC increases; In subsidy audit potential penalty imposed; Rent collection rates drop, resulting in a loss of income for the HRA. | VH | M | High | 8 | <p>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; Financial advisers employed.</p> | David Powell | Cllr Aled Davies | <p>Financial profiling of tenants; Using Shire meetings to notify members; Discussions around working with Credit Unions to mitigate potential loss of income.</p> | H | M | Medium | 6 | Universal Credit will be rolled out in Powys by June 2018. |

| 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 | | |
|----------|---|------------------------------------|-----------------|---------------------------------|--|---|---------------|---|-------------|------------------|---|------------------|--|---|---|-------------|--------|---|---|
| | | | | | | | P | I | Risk Rating | | | | | P | I | Risk Rating | | | |
| 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 | High | 9 | Close monitoring; Cabinet briefed; Advice from pension advisers; Continue to work with WEFO. | David Powell | Clr Aled Davies | Continue to monitor economic indicators. Ongoing dialogue with external advisers. | M | M | Medium | 4 | |
| 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 | 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 | Clr Aled Davies | Implement training plan previously developed for the Pensions Board, to develop members of the Pensions Committee where required. | L | M | Low | 2 | |
| ICS8 | Services delivered for less Supporting people in the community Developing the economy Learning | 13/01/2016 (Revised 03/04/2017) | ICT SMT | ICT and Programmes | Failure to control and secure ICT systems and data against unauthorised access including Cyber-crime attack. | Corrupt data resulting in data loss. Corrupt machines resulting in system down time. Loss of internet access resulting in reputational damage. Financial consequences if we were held to ransom. | VH | H | High | 12 | Anti-virus software. Anti-malware software. Anti-spam software on email system. Firewalls. Security controls in place and continuously reviewed. Secure copies of data kept in the cloud to allow restoration of systems. Staff awareness of ICT security via e-learning. | David Powell | Clr James Evans | ICT Governance reviewed and has directed a new BC to be authorised based on the results of field testing conducted on 3 products. Currently evaluating a product. Resilient systems to be implemented to allow delivery of ICT systems if main site compromised. Review to be undertaken of the NCSC 10 Steps to Cyber Security, to include: - 1. Risk Management Regime; 2. Network Security; 3. User education and awareness; 4. Malware prevention; 5. Removable media controls; 6. Secure configuration; 7. Managing user privileges; 8. Incident management; 9. Monitoring; 10. Home and mobile working. Patching (updating software to ensure they have no vulnerabilities). Implementation of Government Cyber Essentials accreditation | M | H | Medium | 6 | |
| HTR2 | Services delivered for less | 2014 | SIP | Highways, Transport & Recycling | Meeting the requirement of the MTFS, including achievement of savings and income generation targets. | Financial implications for the Authority - budget will suffer an overspend. Impact on other services / functions. | H | H | High | 9 | Regular review through the MTFS and corporate governance; Programme and Project Boards; Finance report to Cabinet | Paul Griffiths | Clr Liam Fitzpatrick / Clr Phyl Davies | Monitoring and reporting through corporate systems | H | H | High | 9 | Potential overspend of £-300k in 17/18. Note also 18/19 MTFS target of £1.7m for Commissioning and £200k of further savings on the HWRCs. |