

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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ASC11	Services delivered for less Supporting people in the community	15/07/2015	SIP	Adult Social Care	The Council's ability to recommission the Domiciliary Care Service by April 2018, at the end of the current framework period.	Dom Care Service fails, leaving service users at risk. Reputational and financial impact / damage. The Council would not be providing dom care services according to procurement regulations.	M	C	High	8	Bid in to Invest to Save. Implement approved provider list (Dynamic Purchasing System - DPS). Progressive rollout. Engagement with providers via contract management process. Action Plan & Accountability Framework. Action within SIP. Portfolio Holder delegated decision.	Carol Shillabeer Cllr Stephen Hayes	Improved working arrangements with PAVO to support and build capacity in the 3rd sector; Move from traditional provider / commissioner relationship to co-production with stakeholders; Develop outcome based commissioning. Integrated approach with PTHB to design a joint domiciliary service model; Portfolio Holder delegated decision 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.	I	H	Medium	3	
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		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	
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 ASC providers may remove provision; Inability to meet statutory requirements; Unaffordable within current budget.	H	C	High	12	Working with ASC providers to understand increased cost pressures; Funding identified for 2017/18 in the budget process. Identify capacity issues. All change projects allocated a project manager. Regular budget monitoring. ICF money from WG to engage with Work undertaken with Vanguard.	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 / continuity of provision of WCCIS (DRAIG replacement)	Loss of data resulting in officers being unable to access client files. Continuity of reporting; Loss of data	H	H	High	9	Ongoing support from ICT: - SIP Objective 2017 - ICT1 Support post implementation benefit release of the National WCCIS system	Carol Shillabeer Cllr Stephen Hayes		H	H	High	9	WCCIS went live 24th April 2017.

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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 December 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; Regulatory Reports.	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	
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; Resource Delivery Plan.	David Powell	Cllr Aled Davies	Re-establishment of the Income & Cost Improvement Board.	M	H	Medium	6	

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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 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) / Corporate Improvement Plan (CIP)	Failure to deliver the aims and objectives outlined within Council Plans.	H	M	Medium	6	Programme Managers lead on each of the programmes within the OPP and CIP. Programme Boards meet bi-monthly and monitor progress of projects. This is then reported to the Transformational Board and PSB. Programme Office adopted corporate risk assessment methodology. Scrutiny challenge and feedback sessions using Performance Evaluation Grids. Greater transparency of the reporting process. Clearer lines of accountability and responsibility. Sharing learning and knowledge between PCC and PTHB Programme Office. Resource Hub established.	David Powell Cllr 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		

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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. A Commissioning Commercial and Procurement Strategy(CCPS) has been drafted and is currently being consulted on (close 10th August) this will then be tabled to the Cabinet for approval. Contract Management Training has been undertaken between May and July and a further enhanced course will be run in September. Commissioning Toolkit embedded into the organisation and the new CCPS and staff trained across directorates.	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. Further training to be undertaken within Commercial services to enhance public procurement skills. Work also to be undertaken to enhance tendering for community/voluntary sector organisations working with Business Wales/Powys Association of Voluntary Organisations.	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	

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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	
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. c) Appeal heard June 2017, currently awaiting result.	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.	L	H	Medium	3	
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. Examination process of re-submitted LDP has been completed, it went well. But currently awaiting response from Planning Inspector.	Paul Griffiths	Cllr Martin Weale	Currently awaiting response from the Planning Inspector.	M	H	Medium	6	

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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	A further £500k capital identified to undertake work in 2017/2018.	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. £500k capital works (urgent works) has been completed. Programme developed for the next 2 years to address the highest priority cases.	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 Political dimension with a motion that all decision making in respect of school reorganisation is made by full Council.	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> Welshpool - temporary Governing Body in place and staffing processes near completion. Gwernyfed - work commenced on the building of the 5 new Primary Schools. Temporary Governing Body established for Ysgol y Mynydd Du and staffing process near completion. <u>Secondary Schools</u> Mid Powys - temporary Governing Body established for the new mid Powys Secondary School and Head teacher appointed. South Powys - OBC approved for new build in Brecon and investment in Gwernyfed. North Powys - Business case production commissioned and	Ian Budd	Cllr Myfanwy Alexander	<u>Secondary Schools</u> Meeting with Cabinet planned for the commencement of the Autumn term to establish the transformation priorities for the term of the current Council.	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	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 Phyl Davies	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 welfare reform programme and roll out of Universal Credit has likelihood of large impact on Powys citizens, in addition to HRA income. Access to IT equipment Resourcing issue, particularly in Libraries	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	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. Digital support being provided (training to staff). Establishment of Operational Group within Powys to co-ordinate activities of joint comms plan, joint training plan. Support from DWP - training, help with launches (Joint Powys & DWP introductions).	David Powell	Cllr Aled Davies	Financial profiling of tenants; Using Shire meetings to notify members; Discussions around working with Credit Unions to mitigate potential loss of income. Lessons learned via UC LA Group. Training provided to all support staff within Council.	H	M	Medium	6	Universal Credit will be rolled out in Powys by June 2018.
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	Cllr 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	Cllr Aled Davies	Implement training plan previously developed for the Pensions Board, to develop members of the Pensions Committee where required.	L	M	Low	2	

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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	Cllr 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	Cllr Liam Fitzpatrick / Cllr 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.

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LR24	Services delivered for less Supporting people in the community Developing the economy Learning	2016	LR SIP 2016-19 Objective LR10	Leisure & Recreation	Brecon Cultural Hub cost plan under continual pressure due to inflationary increases, complexity of design programme and other factors. Potential over-run beyond agreed budget.	Breaches in financial and project plans, resulting in project having to stop, or further funds having to be sought from Council .	H	H	High 9	Sourcing additional external funding (partially successful and ongoing). Continued working detailed design spec/materials and tender packages to determine detailed costings. Raising awareness internally and with responsible Portfolio holders, Strategic Director and senior officers, along with partners and Stakeholders. Raise concerns at early stages, and raise through Programme Board and Project Board. Project Manager in place who has building and project management experience and knowledge.	Paul Griffiths	Cllr Rachel Powell	Continuation and expansion of project development activity including cost engineering reduction exercise and design refinements and acquisition of accurate tender prices and costings	H	H	High 9	