

Strategic Risk Register

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PCC0004 Ness Young	Significant long term decrease in the working age population impacts on Council's ability to recruit and retain or commission the workforce it requires	Council is unable to secure the services needed by the local population, including care and assessment provision, education, waste, highways, housing culture and support services.	<p>Progress against mitigating actions since last qtr.</p> <p>1st Qtr 19/20 No change this quarter</p> <p>4th Qtr 18/19</p> <p>Powys as a whole faces a significant long-term workforce challenge because demographic change is leading to an increase in older people (75+) and a decline in the number of people of working age. This information is based upon the Welsh Government Population Projections (2016) - http://pstatic.powys.gov.uk/fileadmin/Docs/Sstatistics/Themes/Population/R_POPPROJ_19-09-10129-2016-en.pdf</p> <table border="1"> <thead> <tr> <th>Age Group</th> <th>2014</th> <th>2019</th> </tr> </thead> <tbody> <tr> <td>2029</td> <td>2039</td> <td></td> </tr> <tr> <td>Working Age (16-64)</td> <td>77,200</td> <td>73,500</td> </tr> <tr> <td></td> <td>65,200</td> <td>56,900</td> </tr> <tr> <td>75+</td> <td>15,100</td> <td>17,600</td> </tr> <tr> <td></td> <td>24,000</td> <td>28,200</td> </tr> </tbody> </table> <p>The figures suggest that compared to 2014 there are now approximately 4,000 fewer people of a working age in Powys. In ten years' time that figure will have increased to 12,000 (ie a 15% reduction in our working age population) at the same time as we will see an increase in over 75s of nearly 60%. This risk will impact on the whole council, albeit some services may feel the impact at different times. We therefore need to take a whole council approach to our management of this risk. Vision 2025 sets out the Council's Improvement Plan for the next five years and there are a number of commitments contained in that document that will help to mitigate this risk, including:</p>	Age Group	2014	2019	2029	2039		Working Age (16-64)	77,200	73,500		65,200	56,900	75+	15,100	17,600		24,000	28,200	Cllr James Evans Nessa Young	28	21	<ul style="list-style-type: none"> Promoting Powys as a place to live, visit and do business Improving skills and supporting people to get good quality jobs Developing a health and care workforce for the future Developing digital solutions and services Improving education attainment of all pupils Improving the skills and employability of young people and adults Support communities to be able to do more for themselves and reduce demand on public services Developing a workforce strategy which ensures Council is an excellent employer increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/ Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications t Formal partnership with the Open University and secondment of students Consideration of a joint bank of staff available to maintain staffing levels and reduce risk Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care ro Build better connections with schools within Powys and universities within Wales and just across the border in order to attrac Conduct research to understand the workforce profile in health and social care Telehealth and telecare 	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p>
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			<p>Promoting Powys as a place to live, visit and do business - Head of Housing and Community Development</p> <p>Improving skills and supporting people to get good quality jobs- Head of Education</p> <p>Developing a health and care workforce for the future - Head of Workforce and Organisational Development</p> <p>Developing digital solutions and services - Corporate Director - Transformation</p> <p>Improving education attainment of all pupils - Head of Education</p> <p>Improving the skills and employability of young people and adult - Head of Education</p> <p>Support communities to be able to do more for themselves and reduce demand on public services -Head of Housing and Community Development</p> <p>Developing a workforce strategy which ensures Council is an excellent employer - Head of Workforce and Organisational Development</p> <p>In addition, Adult Social Services and Children's Services are taking a number of specific actions, supported by Workforce and Organisation Development to tackle the issue, which is already having a significant impact in domiciliary care staff recruitment and social work recruitment. Here there are areas where recruitment and retention is more difficult, including mental health social workers who are AMHP qualified, where a number of recent campaigns resulted in 19 applicants but only two people being appointed. Within domiciliary care, it is becoming more difficult for providers to recruit staff.</p> <p>Actions that are being taken forward in 2019-20 to mitigate the immediate social care risks include:</p>					

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			<p>Increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches - Head of Commissioning (Children's and Adults)</p> <p>Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/living environment - Head of Workforce and Organisational Development</p> <p>Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications to support role requirements within the Council and the Health Board - Head of Workforce and Organisational Development</p> <p>Formal partnership with the Open University and secondment of students - Head of Adult Services and Head of Children Services</p> <p>Consideration of a joint bank of staff available to maintain staffing levels and reduce risk - Head of Workforce and Organisational Development</p> <p>Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care roles - Head of Workforce and Organisational Development</p> <p>Build better connections with schools within Powys and universities within Wales and just across the border in order to attract younger people to work in Powys - Head of Education</p> <p>Conduct research to understand the workforce profile in health and social care - Head of Workforce and Organisational Development</p> <p>Telehealth and telecare - Head of Commissioning (Children's and Adults)</p>					

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CS0009 Jan Coles Escalated From :- Children's Services	Ability to meet the requirements of the MTFS / Retaining grant funding around posts within Children's Services / Addressing the deficit in the FRM (£1.1million) for 2018/19	- Budget overspend / efficiencies not achieved - Loss of funding leading to an impact on budget and potentially reducing EI&P help and prevention, which could increase costs of statutory services - Financial implications for the Authority - budget will suffer an overspend - Impact on other services/functions- Significant budget overspend - Decreased funding for 18/19 - Decreased funding expected 19/20 - Reconfiguration of anti-poverty grants likely to have an impact	Progress against mitigating actions since last qtr. 1st Qtr 19/20 4th Qtr 18/19 Restructure to place focus on early help, prevention and intervention to prevent escalation at every point is taking place and is on track. Agency staff reduced to 39 Agency staff applying and being appointed to permanent positions Two consultants due to leave in May Continued focus on returning children from out of county placements Admission panel established, chaired by Head of Service, to enable practice to be guided and ensure oversight of all admissions to care Budget training for all managers Budget included as part of performance management in the service	<i>Cllr Rachel Powell</i> Alison Bulman	15	15	<ul style="list-style-type: none"> Budget challenge in respect of placement Budget overspend. Increase number of foster carers. Improvement to Edge of Care services. Reporting to Assurance Board, FSP, and Audit Committee Early help hub All other opportunities for grant funding being reviewed, managed and approached Core funding to be aligned to EI&P and not just to rely on Welsh Government grants Future shape of service review Decrease use of agency staff Head of Service and Senior Managers routinely monitor with finance. Head of Service and Senior Manager control significant spend and staffing Budget challenge and scrutiny Budget plan in place to address pressures Opportunities for grant funding is continually explored with WG and all other bodies. The RPB has a key priority for EI&P across all ages Re-structure of Children's Services implemented to develop more locality working and enable resilience Development of transformation plan Review of residential placements 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place

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PCC0003 Caroline Turner	The council receives a negative regulatory / inspection report	<ul style="list-style-type: none"> - Meeting regulatory and legislative duties - Managing demand on the service - Recruitment and retention of staff - Staff morale - Reputational damage 	<p>Progress against mitigating actions since last qtr.</p> <p>1st Qtr 19/20</p> <p>During the quarter we received notification by Estyn of their intention to inspect PCC's Education Service week 1st July. The Education Service prepared thoroughly for the inspection by updating the Self-evaluation, gathering evidence and briefing partners in advance of the inspection. A small corporate Project Team met weekly from mid-April to ensure that the Service was well prepared for the Inspection. This highlighted some processes that needed to be strengthened and embedded over the summer, in advance of the publication of the Inspection report in September.</p>	<p><i>Cllr Rosemaire Harris</i></p> <p>Caroline Turner</p>	15	15	<ul style="list-style-type: none"> • Improvement and assurance board • Improvement plans • Communications strategy (internal/external) • close working relationships with regulators • corporate support provided to services • close working relationship with WG 	<p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>
PPPP0007 Gwilym Davies Escalated From :- Property, Planning, and Public Protection	Heart of Wales Property Services (HOWPS)	<ul style="list-style-type: none"> - Failure of statutory functions. - Failure to perform repairs and maintenance. - Failure to achieve projected savings. - Reputational damage to PCC. - Cost to PCC for poor performance. - Officer time costs (due to additional workload). - Financial Risk to HRA and wider Authority. - Critical Wales Audit Office Report. - Non-delivery of key projects due to lack of resources. - Financial Risk to HRA and wider Authority. - Critical Wales Audit Office Report. 	<p>Progress against mitigating actions since last qtr.</p> <p>1st Qtr 19/20</p> <ul style="list-style-type: none"> - Performance monitoring in place. - Pre-Board meetings attended by key internal stakeholders have been set up to discuss high level issues. Actions from meeting escalated to HOWPS Board. - Communication plan reviewed monthly. <p>4th Qtr 18/19</p> <ul style="list-style-type: none"> - Performance monitoring in place. - Communication plan reviewed monthly. 	<p><i>Cllr Phyl Davies</i></p> <p>Nigel Brinn</p>	15	15	<ul style="list-style-type: none"> • Potential to invoke step in clauses for specific parts of the contract in line with contract • Awaiting consultation resource plan. • Performance monitoring • Utilisation of contract document to escalate issues. • Development of evidence and fall-back systems • Introduced weekly officer level meetings • Development of contingency plans for contract failure • Head of Service on HOWPS Board of Directors. • Portfolio Holder on HOWPS Board of Directors. • Escalation of risk and concerns to Chief Executive and Strategic Directors. • Recovery plan submitted by Kier on behalf of HOWPS. 	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>

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							<ul style="list-style-type: none"> Additional resources allocated by Kier (3.5 FTE Change Managers). Close monitoring by Directors/Portfolio Holder/Chief Executive/Strategic Directors. 	<ul style="list-style-type: none"> Control In Place Control In Place
ICT0010 Helen Dolman Escalated From :- ICT	Non compliance with data protection legislation (General Data Protection Regulations (GDPR) and UK Data Protection Act (DPA) 2018	<ul style="list-style-type: none"> Potential fine of up to £17,000,000 or 4% of annual turnover The Council is subject to regulatory data protection audits Reputational damage Regulatory enforcement action Detriment to the data subjects Civil action and associated consequences 	<p>Progress against mitigating actions since last qtr.</p> <p>1st Qtr 19/20</p> <p>4th Qtr 18/19</p> <p>Review of some policies, training and awareness raised. Changes to mandatory training agreed</p>	<p>Cllr James Evans</p> <p> </p> <p>Nessa Young</p>	21	14	<ul style="list-style-type: none"> Staff training Communication Plan - Information Asset Register - Development of internal records of processing - Ensure signed agreements are appropriately stored - Develop data controller vs data Processor check list for services Review of postal checking regimes in place Provision of information to EMT, HoS, and Team Meetings - Presentations to schools GDPR Surgeries - Review current ISP in line with revised versions - Policies and Procedures - Review existing Data Processing agreements - Information sharing protocols - Data sharing agreements - Identify where information sharing takes place - Implement revised WASPI Accord and templates - Revised centralised ISP register to link to information Asset and Record of Processing Activities (ROPA) 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action Completed Action Completed Action Completed Action Completed Control In Place Control In Place Withdrawn Withdrawn Withdrawn Withdrawn

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							<ul style="list-style-type: none"> - Create policy on services undertaking due diligence potential processors - Create log of data processors and agreements linking to information asset and ROPA 	<p>Withdrawn</p> <p>Withdrawn</p>
FIN0001 Jane Thomas Escalated From :- Finance	The Council is unable to manage the level of financial cuts required by the Welsh Government and the relatively poor funding position	<ul style="list-style-type: none"> - The Council incurs significant overspend - Projected budget will suffer an overspend - Penalties and fines may be imposed - Council reputation damaged 	Progress against mitigating actions since last qtr. 1st Qtr 19/20 4th Qtr 18/19 Revised MTFs approved by council on the 7.3.19. A new approach to financial planning and budgeting is currently being developed to improve financial resilience over the short, medium and long term. This will be approved by Cabinet by the end of April. A new specific savings delivery report will be submitted to cabinet and council on a quarterly basis in order to increase the monitoring of delivery and increase the challenge of non delivery.	Cllr Aled Davies Jane Thomas	15	10	<ul style="list-style-type: none"> • Cost Recovery work • 3rd party spend reduction • Income Generation • Medium Term Financial Strategy • Monthly reports to cabinet and Management Team on budget progress and progress on savings • Budget Challenge Events • Moved to a 3 year balanced budget 	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>
ICT0029 Julie Davies Escalated From :- ICT	Risk of financial loss, disruption or damage to the reputation of Powys County Council from a failure of its information technology systems and or/loss of Data due to a cyber attack or Incident.	Loss of Information systems until they can be successfully restored. Loss of data, inability to access data or public disclosure of Personal Data. Cyber risk could materialize in a variety of ways, such as: <ul style="list-style-type: none"> • Deliberate and unauthorized breaches of security to gain access to information systems. • Unintentional or accidental breaches of security. • Operational IT risks due to factors such as poor system integrity. 	Progress against mitigating actions since last qtr. 1st Qtr 19/20 4th Qtr 18/19 1. Cyber Security plan continues to be actioned, developed and maintained. 2. Cyber Essential Accreditation achieved, Cyber Essentials + accreditation is in progress. 3. Disaster Recovery Policy is in place which sets out our aspirations towards having a fully documented and operational Disaster recovery procedure. We realise there is a lot more work to be undertaken in developing the plans and procedures required to support the policy and to having a fully documented DR manual. We require a lot more input from Service areas to be able to plan and agree recovery time objectives and priorities to complete these plans.	Cllr James Evans Nessa Young	15	10	<ul style="list-style-type: none"> • Major Incident response processes • Cyber Security Certification • Disaster Recovery Procedures • Cyber Security Improvement Plan 	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Control In Place</p>

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PCC0002 Greg Thomas	The impact on the Council as a result of Brexit.	<ul style="list-style-type: none"> - Increased service demand; - Relocation from the EU to Powys of families - estimated at 500; - Fuel shortages; - Loss of access to external (EU) funding programmes; - Reduced income to Powys County Council; - External market factors; - GDPR compliance; - Potential financial crash; - Unable to recruit/retain staff (EU Nationals); - Employee workload; - Delays/disruption to food and/or essential supplies. 	<p>Progress against mitigating actions since last qtr. 1st Qtr 19/20</p> <p>Risk has been reviewed and risk rating increased due to the current uncertainties regarding Britain's exit from the European Union, and a potential 'No-Deal' Scenario on October 31st 2019. The Strategic Brexit Coordination Group (BCG) has conducted impact assessments, and where appropriate controls and monitoring are in place. PCC is prepared as far as practicable for any Brexit scenario, and we wait further guidance for UK and Welsh Government.</p> <p>4th Qtr 18/19</p> <ul style="list-style-type: none"> - The Strategic Brexit Co-Ordination Group has been established, which has identified 82 service level, and 11 strategic potential impacts as a result of Brexit. Where appropriate, mitigation has been put in place for these impacts. - Latest negotiations between the UK Government and the EU have suggested that a no deal Brexit is increasingly unlikely, therefore the risk level has been reduced. 	Cllr Aled Davies Nigel Brinn	15	6	<ul style="list-style-type: none"> • Close monitoring • Continue to monitor economic indicators • Ongoing dialogue with external advisers • Cabinet briefed • Advice from pension advisers • Continue to work with WEFO 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Control In Place Control In Place Control In Place
PPPP0008 Gwilym Davies Escalated From :- Property, Planning, and Public Protection	Lack of adequate resilience planning	<ul style="list-style-type: none"> - Non-compliance with Civil Contingencies Act (CCA) 2004 - Failure to deliver critical services in the event of a declared emergency or event - Disruption to business as usual activities 	<p>Progress against mitigating actions since last qtr.</p> <p>1st Qtr 19/20</p> <ul style="list-style-type: none"> - Three SLT members have completed gold training. - Loggists, silver and gold training being requested. - Operation Wales Connet planned for July 2019 (Training) <p>4th Qtr 18/19</p> <ul style="list-style-type: none"> -Gold training to be promoted to SLT. -Two SLT enlisted on gold training. -Emergency planning awareness presentation to SLT completed 10/04/2019. 	Cllr Aled Davies Nigel Brinn	10	3	<ul style="list-style-type: none"> • - Education and training programme • - Business Continuity Management (BCM) Group • - Service Business Continuity Plans (BCP) • - Corporate BCP • - Major Incident Plan • - Self-evaluation of BCM incorporated into SIP process • - PCC representation on Dyfed Powys Local Resilience Forum (LRF) 	<ul style="list-style-type: none"> Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place

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							<ul style="list-style-type: none"> - 24/7 Duty Emergency Planning Officer to facilitate PCC response 	Control In Place