

Strategic Risk Register

| Strategic Risk Register | | | | Portfolio | Inherent | Residual | Controls and Actions | |
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| Ref & Owner | Risk Identified | Potential Consequence | Last Reviews | Director or Head of Service | | | Control or Action | Status |
| CS0081 Jan Coles Escalated From :- Children's Services | BUDGET: If Children's Services are unable to manage within budget due to: - Market sufficiency for children's placements - Reliance on agency social workers - Inflationary costs and management of pressures - Surge in demand due to COVID-19 - Ending of grant funding | Then this will have implications for the whole Council: - Unable to meet statutory duties - Leaving service users at risk - Reputational damage to the Authority - Unable to manage within financial envelope | | Cllr Rachel Powell Alison Bulman | 12 | 9 | <ul style="list-style-type: none"> Integrated budget planning Develop early intervention and prevention services in order to mitigate demand on longer term services Work with service providers to limit impact of supreme court legal judgement Ensure market within Powys is sufficient to meet demand Work to reduce reliance on agency social workers Make best use of Welsh Government COVID-19 Hardship Fund and other available resources Ensure Continuing Care for Children and Young People protocol being applied correctly and consistently | <ul style="list-style-type: none"> Action In Progress |

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| ED0022 Lynette Lovell Escalated From :- Education | The council will be unable to manage the schools' budget without ongoing adjustments to the distribution formula and improving financial management. If they are unable to manage the budget, there will be a significant compromise to the quality of education for Powys learners. | Some schools will have spiralling deficits which will have a financial impact on the rest of the Council and the learners in their care. | <u>10/01/2021</u> 3rd Qtr 2020-2021. Review Summary: A rolling programme of the review of the school budget funding formula has continued through 2020 despite the pandemic, although the scale of the review was limited to the Additional Learning Needs (ALN) funding element as this was needed urgently. A full review of the whole formula will begin in 2021 with the aim of ensuring that the formula will be suitable for the post-transformation configuration of schools. All schools in a deficit or significant surplus position in May 2020 were asked to submit Recovery Plans or Spend plans by mid October 2020. These were reviewed by the Interim Chief Education Officer and Head of Finance for any follow up actions which were addressed where needed. The Schools finance team have worked with schools to identify the financial impact of their response to the Covid-19 pandemic, including ensuring that additional expenditure / lost income is accurately recorded and claimed and that any savings / delayed savings are identified and captured. Autumn Term finance surgeries were undertaken with all schools. All opportunities were taken to reinforce the importance of good financial housekeeping (e.g. accuracy of coding etc.) and to keep schools updated on the latest economic / financial issues. Training and support has been provided to individual schools and any new business managers. Governor Finance training was provided in November 2020 and support has been provided for the Business Manager recruitment processes. The ALN element of the funding formula has been reviewed by a working group of authority officers, head teachers and governor representatives with the aim of | Cllr Phyl Davies Lynette Lovell | 12 | 9 | <ul style="list-style-type: none"> Implementation of R5 in the PIAP PIAP | Action In Progress Control In Place |

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| | | | <p>ensuring that the budget is more closely targeted to learners with ALN. The revised funding methodology has been agreed by Schools' Budget Forum and Cabinet and the impact assessment and transitional arrangements are being prepared.</p> <p>04/10/2020</p> <hr/> <p>Qtr 2 20/21. Review Summary: In Quarter 1 the new formula was in place for schools, and the change mainly affects the secondary schools in Powys. The authority's ability to evaluate the impact of the change has been hampered by the pandemic, but in the budget setting process the signs were encouraging and were pointing towards reducing the overall in-year deficits within the secondary sector. All schools budget submissions were reviewed by the interim Chief Education Officer and SSMT in conjunction with the Head of Finance. All schools in a deficit or significant surplus position were asked to submit Recovery Plans or Spend plans, supported by all appropriate documentation by 16th October. The Schools finance team have worked with schools to identify the financial impact of their response to the Covid-19 pandemic, including ensuring that additional expenditure / lost income is accurately recorded and claimed and that any savings / delayed savings are identified and captured. Autumn Term finance surgeries have begun, prioritising those schools with deficits / concerns around finances. All opportunities taken to reinforce importance of good financial housekeeping (e.g. accuracy of coding etc. and to keep schools updated on latest economic / financial issues.</p> <p>1-2-1 training and support has been provided to individual schools as required and additional support has been provided for any new business managers. Finance</p> | | | | | |

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| | | | <p>training was provided as part of the New Head Induction training. Support has been provided for Business Manager recruitment processes.</p> <p>The ALN element of the funding formula is currently being reviewed by a working group of authority officers, head teachers and governor representatives to ensure that the budget is more closely targeted to learners with ALN.</p> <p>28/06/2020</p> <hr/> <p>1st Qtr 20/21. Review Summary: All Schools have submitted budgets approved by their Governing Bodies. These are being reviewed by the Schools finance team and finance surgeries with Schools are continuing. The interim Chief Education Officer and SSMT in conjunction with the Head of Finance will consider a report setting out individual schools' budget plans and agree any actions required in relation to deficits or clawback. The Schools finance team are working with Schools to update budgets for the impact of the Covid-19 lockdown, both in terms of cost reductions due to closure of schools and delayed savings realisation as a result of the temporary withdrawal of the Management of Change process. Schools service and Schools finance team will continue to work with Schools to produce balanced budgets / deficit recovery plans, providing support, challenge and scrutiny as required.</p> <p>A limited review of part of the Schools' funding formula during 2020 is proposed to consider the ALN element. Ongoing work on school transformation needs to be delivered to provide long term sustainable school finances.</p> <p>26/04/2020</p> <hr/> <p>4th Qtr 19/20 Review Summary: In Quarter 4 Cabinet and, subsequently in February, Full</p> | | | | | |

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| | | | <p>Council agreed the additional funding for the schools delegated budget as part of their budget proposals for 2020/2021. This funding would be used for the funding of pay awards, increased teachers pension costs, some items of non-staffing funding and the creation of a TLR allowance for the secondary sector.</p> <p>Schools were issued in February with their 2020/21 funding allocation including the above additional funding commitments, and were also provided with estimated funding for 2021/22 onwards.</p> <p>Ongoing work between the Schools Service, Finance, HR and the individual schools to look at the budget which is anticipated for 2020/21 and the setting of a balanced budget by each school continues to take place. Prior to the lockdown, budget meetings had taken place with the majority of the schools. However, due to Co-VID-19 the management of change has been temporarily stopped. Final budget plans from all schools are due by 1st May 2020, schools were given an extension until the 22nd May. However, due to the current COVID 19 lockdown in respect of schools, we have not received further guidance on schools delegated budgets and will continue to assess the impact on the budgets of schools being closed.</p> <p>12/01/2020</p> | | | | | |

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| ED0023 Lynette Lovell Escalated From :- Education | Post Inspection Action Plan (PIAP) for Estyn - Coronavirus may impact on the ability of the service to maintain the level of progress against the PIAP. In particular, Recommendation 1 of the PIAP - 'Improve standards in secondary schools and more able learners' as schools are currently closed. Also, Recommendation 4 (the School Transformation/Re organisation programme) could be affected by the Council's ability to conduct strategy consultations relating to Schools Organisation. | Progress against the PIAP may be affected due to the Covid-19 pandemic. | 10/01/2021 3rd Qtr 2020-2021. Review Summary: R1 – On 4th January 2021, Welsh Government made the decision that all schools would move to online learning, with schools only open to the children of critical workers and vulnerable learners. Extensive planning to support schools with blended and online learning has already taken place with resources, professional learning and guidance shared with all schools. Strong communications between the school headteachers and leadership teams, governors, Unions and other key stakeholders has continued with frequent meetings held to share good practice and undertake collaborative decision making has continued. Following the recent Estyn post-inspection conference in November 2020, it has been decided that in the absence of outcome data for summer 2020 and summer 2021, that the Post Inspection Action Plan will be re-written to focus on individual pupil progress, leadership, professional learning, and a secondary strategy written in collaboration with LA officers and Powys headteachers. R2 - All ALN work continues and is on track. R3 - All work continues and is on track. R4 – All work continues and is on track, for example, programme implementation and proposals being progressed to Cabinet R5 - improved financial management with schools and continued improvement of the formula, particularly the ALN funding This risk was reviewed and agreed on 11/01/2020 and is up to date 04/10/2020 Qtr 2 20/21 Review Summary: The risk was reviewed and agreed 28/9/2020. The Improvement and Assurance Board on 29.07.20 recognised that Recommendation 1 | Cllr Phyl Davies Lynette Lovell | 12 | 9 | <ul style="list-style-type: none"> • Reopen Schools • Implementation of the PIAP | Action In Progress Action In Progress |

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| | | | <p>is most at risk due to the prolonged period in which the schools were closed.</p> <p>28/06/2020</p> <hr/> <p>1st Qtr 20/21 Review Summary: All staff and pupils have access to the national learning platform (Hwb). All Schools were committed to providing online learning experiences for their pupils, including significant interaction across schools to share effective practice. There are 16,000 learners in Powys and 881 have been provided with digital devices and 532 have received mobile Wi-fi devices for use at their home address. This was achieved through effective collaboration between the schools and the Local Authority. Following the WG guidance 'Stay safe, stay learning' and the new advice around live streaming of lessons, all of the Powys schools have now engaged effectively in providing learning experiences for Powys learners. This is monitored weekly by the Challenge Advisers and fortnightly by the Interim Chief Education Officer. However, there is always concern that some learners will find it hard to engage without face to face support from teachers and staff. The School Transformation Board has considered papers which were taken to Cabinet and Scrutiny, and the Leader approved the Strategy for Transforming Education in Powys in Quarter 1. The strategy is currently being implemented and the governance has been approved. The Home to School Transport Policy, is currently in consultation. Following extensive discussions with headteachers, an engagement paper outlining the broad vision for ALN reform has been agreed by Cabinet and is subject to public engagement which finishes in Quarter 2. In Quarter 1, collaborative and robust decision making by leaders was taken at</p> | | | | | |

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| | | | <p>pace. Officers produced clear guidance for schools and parents. Learners' wellbeing underpinned all strategic decision making.</p> <p>26/04/2020</p> <hr/> <p>4th Qtr 19/20 Review summary. Following an HMI visit, which took place on 11 February 2020, it was recognised that there is a clear direction of change, with effective prioritising of work and the Local Authority was moving at pace. The Improvement and Assurance Board have received monthly thematic reports, which detail progress made on all recommendations, both at a strategic and an operational level. The Improvement and Assurance board recognised in their February 2020 update that 'the authority has appropriate plans to push forward with improvements in education and is seeking to address these with energy.' It should be noted that the Improvement and Assurance Board is temporarily suspended due to COVID-19, however contact remains in place and progress against the Post Inspection Actions Plan is monitored by Schools Service, the Chief Executive and the Chair of the Board, Jack Straw.</p> <p>12/01/2020</p> <hr/> <p>01/12/2019</p> <hr/> | | | | | |

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| FIN0001 Jane Thomas Escalated From :- Financial Services | The Council is unable to deliver a financially sustainable budget over the short and medium term. The probability of this risk is heightened due to the impact of the Covid-19 pandemic and its impact on Welsh Government funding and subsequent settlements to the Council. | <ul style="list-style-type: none"> - The Council is unable to fulfil its legal obligation in setting a balanced budget - The Council will not be financially resilient or sustainable - Council reputation damaged - Inability to fulfil our statutory requirements | <p>10/01/2021</p> <p>3rd Qtr 2020-2021. Review Summary: The development of the budget has been completed by Cabinet following the receipt of the Provisional Settlement on the 22nd December providing the Council with an additional 4% in 'Aggregate External Finance' (AEF) funding for 2021/22. The additional settlement has helped bridge the remaining budget gap and Cabinet will propose a balanced budget for 2021/22. There is no indication of future funding levels, the Mid Term Financial Strategy (MTFS) has been updated to reflect the current economic climate and the 5 year Finance Resource Model (FRM) still shows significant budget gaps across the following 4 years based on a number of scenarios. The MTFS sets out the principles and approach that will be adopted to identify ways of bridging these gaps. The impact of the ongoing pandemic has been considered in the plans and we await confirmation of WG funding to support this.</p> <p>11/10/2020</p> <p>Qtr 2 20/21 Review Summary: Q2 outturn deficit reduced due to the WG support - services still improving on their forecasts to minimise the demand on reserves.</p> <p>Budgeting challenge through IBP process is ongoing with Services being asked to bridge the gaps they evidenced through the first Service Finance Resource Model (FRM) discussions - £19m to be addressed, which is not sustainable even with optimistic WG settlement scenarios</p> <p>05/07/2020</p> <p>1st Qtr 20/21. Review Summary: The Outturn for 2019/20 reported an underspend against budget of £1.4 million, however</p> | <p><i>Cllr Aled Davies</i></p> <p>Jane Thomas</p> | 25 | 15 | <ul style="list-style-type: none"> • Ongoing discussion with WG and WLGA through Society of Welsh Treasurers for Future Funding of Local Government • WG claims for Hardship and lost income continue and expect to remain in place til march 2021 • Revise the Medium Term Financial Strategy • Reassessment of the activities of the Council through the Recovery Coordination Group • Review budget position at end of first quarter and consider changes to the 2020/21 budget • 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 | <ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Action In Progress Control In Place Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn |

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| | | | <p>there were significant variances against budget for some service areas, and delivery of costs reductions were not fully achieved. These budget gaps were resolved at budget setting for 2020/21. Although delayed, due to the pandemic, work is now underway to assess each service area and the activity within in it in preparation for budgeting for next financial year and over the longer term. We do not yet have any indication of the funding levels that can be expected from WG, but we will update our financial modelling within the MTFS for potential funding scenarios and the revised budget gaps this creates. Ongoing discussion through Welsh Treasurers with WLGA and WG is fundamental raising awareness of the impact of changes in funding on the service the Council is able to deliver.</p> <p>03/05/2020</p> <hr/> <p>4th Qtr 19/20 Review Summary: The outturn position for 2019/20 is not yet completed however it is still anticipated that there will be an underspend again budget. The impact of Covid-19 pandemic is likely to have a significant impact on the councils budget and the situation is under constant review as we moved through the next weeks and months. The council will undoubtedly have to review its medium term financial plan in response to the emerging financial position.</p> <p>05/01/2020</p> <hr/> <p>29/09/2019</p> <hr/> <p>07/04/2019</p> <hr/> | | | | | |

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| HO0018 Andy Thompson Escalated From :- Housing | Compliance in Powys County Council Housing Stock | Risk of Injury or loss of life - Reputational damage - Loss of grants (including Major Repairs Allowance circa £3.63m) - Risk of legal action and significant fines | <p>03/01/2021</p> <p>3rd Qtr 2020-2021. Review Summary: 04.01.21: Compliance One Hundred continues to work successfully and is establishing higher levels of compliance across the Council's housing assets.</p> <p>20/09/2020</p> <p>Qtr 2 20/21 Review Summary: 22.09.20: Compliance One Hundred project is working well but the extent of the work needed - including some works to assets - to achieve 100% compliance means that a revised target date of December 2021 is now in place. High risk areas are being addressed with highest priority (for example legionella, heating systems and fire safety) which will mitigate the risks to residents.</p> <p>21/06/2020</p> <p>1st Qtr 20/21. Review Summary: Compliance One Hundred project extended to December 2020. Work continues apace to achieve 100% compliance by the end of 2020 and to have in place all necessary policies and procedures to maintain that status thereafter. Water systems management has already been improved, with a specialist contractor undertaking water monitoring and a Seven-day-flush regime introduced for all vacant municipal homes. Heating servicing has regained momentum after a hiatus during the Covid-19 event but concerns remain about the quality and administration of work, which have being addressed by the introduction of formal Quality Assurance checking by the Compliance One Hundred team. Asbestos management is being reinforced by a detailed review of all asbestos liabilities in the municipal housing assets. Tenders are being prepared for specialist providers to undertake fire safety work.</p> | <p><i>Cllr Iain McIntosh</i></p> <p>Nina Davies</p> | 16 | 9 | • Compliance One Hundred | Action In Progress |

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| | | | <p><u>29/03/2020</u></p> <p>4th Qtr 19/20 Review Summary: Compliance One Hundred project has completed analysis of liabilities and responsibilities. Funds allocated in Housing Revenue Account Business Plan, approved by cabinet March 2020.</p> <p><u>01/03/2020</u></p> <p><u>02/02/2020</u></p> <p><u>19/01/2020</u></p> | | | | | |

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| ICT0010 Helen Dolman Escalated From :- Digital Services | Non compliance with data protection legislation (General Data Protection Regulations (GDPR) and UK Data Protection Act (DPA) 2018 | '- 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 | 20/12/2020 3rd Qtr 2020-2021. Review Summary: Control activities continue such as Data Protection Impact Assessments, Data Processing Agreements etc. Information Security and personal data breach investigations continue to be managed and responded to. The Corporate Information Governance Group (CIGG) have considered and challenged elements of activity within the Council's Information Management Assurance and Governance plan (IMAG) to improve IG practices, taking into account work ongoing to support additional national Test, trace and Protect work, to ensure the lawful and fair use of personal data to deliver the Council's response to COVID 19. Subject Access Request (SAR) backlog is being addressed with those resources available to undertake such work. 27/09/2020 Qtr 2 20-21 Review Summary: Control activities continue, such as Data Protection Impact Assessments, Data Processing Agreements etc. Information Security and personal data breach investigations continue to be managed and responded to. The Corporate Information Governance Group (CIGG) have considered and challenged elements of activity within the Council's Information Management Assurance and Governance plan (IMAG) to improve IG practices, taking into account work ongoing to support additional national Test, trace and Protect work. Subject Access request (SAR) backlog to be included within COVID recovery planning alongside other information request recovery activity 05/07/2020 1st Qtr 20/21 Review Summary: Consideration of measures required | <i>Cllr Graham Breeze</i> Diane Reynolds | 12 | 12 | <ul style="list-style-type: none"> • Personal Data Breach Management • - 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 • Data Protection Impact Assessments • Provision of information to EMT, HoS, and Team Meetings • - Presentations to schools • GDPR Surgeries • - Review current ISP in line with revised versions • Staff training • Communication Plan • - Policies and Procedures • - Review existing Data Processing agreements • Cyber Security Action Plan • DPO considerations on reports to Cabinet • - Information sharing protocols • - Data sharing agreements • - Identify where information sharing takes place | <ul style="list-style-type: none"> Action In Progress Action Completed Action Completed Action Completed Action Completed Control In Place Withdrawn Withdrawn Withdrawn |

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| | | | <p>continue, based on new processes to be introduced, Data Protection Impact Assessments, new IT systems, new ways of working, new reasons to process personal data, outcome of breach investigations etc. The Corporate Information Governance Group agreed to revisit the Council's Information Management Assurance and Governance plan following COVID to consider whether processes, practices and risks may have changed.</p> <p>29/03/2020</p> <hr/> <p>4th Qtr 19/20 Review Summary: A breach of data protection legislation can occur in many different ways, and whilst the Council can put in place many technical and operational measures to ensure compliance, an instance of staff not adhering to those measures can result in very serious breaches of personal data, for which the regulator is able to take action against the Council as a Controller. The Council is not always able to control the errors caused by staff.</p> <p>The more robust the controls and measures the Council has in place to ensure compliance, then the more effectively it is able to argue cases of human error, when staff don't follow those measures or meet those controls put in place.</p> <p>05/01/2020</p> <hr/> <p>13/10/2019</p> <hr/> <p>07/04/2019</p> <hr/> <p>31/03/2019</p> <hr/> <p>03/03/2019</p> <hr/> | | | | <ul style="list-style-type: none"> - Implement revised WASPI Accord and templates - Revised centralised ISP register to link to information Asset and Record of Processing Activities (ROPA) - 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> <p>Withdrawn</p> <p>Withdrawn</p> |

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| ICT0029 Julie Davies Escalated From :- Digital Services | Cyber Security Threat. 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. | 03/01/2021 3rd Qtr 2020-2021 Review Summary: Control Actions to reduce risk reviewed, Capital Budget had been approved for next 5 years to invest in Cyber Security. 04/10/2020 Qtr 2 20/21. Review Summary: Security Operation policy and Process formally documented, A Cyber Response procedure is in progress detailing Deter, Detect, Respond, and Recover procedures 28/06/2020 1st Qtr 20/21. Review Summary: Control actions in place and work continues on continual improvements identified in the Security Work plan in progress. It remains possible that a cyber attack can happen despite the many controls and procedures in place to prevent this. 22/03/2020 4th Qtr 19/20 Review Summary 30/3/2020: Continuing to work on actions identified in Cyber Security Plan and to conduct reviews into further improvements to add to plan. Capital investment has been used to strengthen process for vulnerability management and incident detection, which enables prompt corrective action on identified risks. Cyber Essentials + accreditation achieved during this financial year along with IASME Governance (Information Assurance for Small and Medium Enterprises Consortium). Progress made in Cyber Security Training for all staff and Council members. 29/12/2019 15/12/2019 | <i>Cllr Graham Breeze</i> Diane Reynolds | 12 | 9 | <ul style="list-style-type: none"> Major Incident response processes End Point AntiVirus in place detecting known threats Disaster Recovery Procedures Capital investment in Security Operations Management Tools Capital Investment Additional Staff Awareness Security Operations Procedures Policy SBAR Reporting Cloud Security controls in place to detect and prevent malicious content in Office365 Device Encryption Annual Penetration testing Cyber Security Improvement Plan Cyber Security Certification Staff Training | Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action Completed Action Completed Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place |

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| | | | <u>07/07/2019</u> <u>07/04/2019</u> | | | | | |

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| PCC0002 Andrea Mansfield | 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>10/01/2021</p> <p>3rd Qtr 2020-2021. Review Summary: The Brexit transition is now complete and a deal has been agreed. Work continues on assessment of how this will impact PCC and local businesses. This will be ongoing as new legislation comes through from Welsh Government.</p> <p>04/10/2020</p> <p>Review Summary: No change to risk rating. The Strategic Brexit Risk Register and associated contingency plans are still in place. Powys County Council continue to work with our partner agencies, Welsh Local Government Association, and Welsh Government to ensure that we are aware of, and acting to the latest advice and guidance.</p> <p>28/06/2020</p> <p>1st Qtr 20/21. Review Summary: Due to the impact of the COVID-19 outbreak UK Government preparations for Brexit have advanced at a slower pace. There is currently a lack of clarity over what, if any, trade deal might emerge from negotiations, as well as the measures the UK Government will take to mitigate disruption. This combined with the wider impact and current unknowns associated with COVID-19 has seen both the inherent and residual rating of this risk increase. The Strategic Brexit Risk Register and associated contingency plans are still in place. Powys County Council continue to work with our partner agencies, Welsh Local Government Association, and Welsh Government to ensure that we are aware of, and acting to the latest advice and guidance.</p> <p>12/04/2020</p> <p>4th Qtr 19/20 Review Summary: No change</p> | <p>Cllr Rosemaire Harris Nigel Brinn</p> | 16 | 12 | <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 • Brexit Continuity Plan • Brexit Risk Register | <ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Control In Place |

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| | | | <p>to risk rating. The Strategic Brexit Risk Register is still in place, and Powys County Council continue to work with our partner agencies, Welsh Local Government Association, and Welsh Government to ensure that we are aware of, and acting to the latest advice and guidance.</p> <p>12/01/2020</p> <hr/> <p>06/10/2019</p> <hr/> <p>07/07/2019</p> <hr/> <p>07/04/2019</p> <hr/> <p>31/03/2019</p> <hr/> <p>03/03/2019</p> <hr/> | | | | | |

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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 - Ability to provide a good quality of service to service users - Managing demand on the service - Recruitment and retention of staff - Staff morale - Reputational damage | <p>10/01/2021</p> <p>Qtr 3 2020/21. Review Summary. At the Improvement Conference in October 2020, CIW confirmed they were happy with the progress of Social Services and that they no longer needed enhanced monitoring. Estyn undertook an improvement conference and concluded that: During the conference, the local authority demonstrated that it has begun to make sound progress since the inspection. It is showing a clear commitment to addressing the issues that were raised as well as evaluating its progress against its plans. Importantly, it is building leadership capacity which has the potential to secure sustainable improvements. Overall, the local authority has identified sufficient resources to implement its plans as well as considering the barriers to progress and associated risks appropriately.</p> <p>Audit Wales conducted audits of Workforce Planning, the Vision 2025 Transformation Programme, and Environmental Health all of which were positive.</p> <p>04/10/2020</p> <p>Qtr 2 20/21. Review Summary: Care Inspectorate Wales (CIW) Monitoring Visit held week 14th September 2020, but outcome letter has not yet been received. This risk will be reviewed following the CIW Improvement Conference on the 9th October, and the Estyn Improvement Conference on the 18th-19th November.</p> <p>28/06/2020</p> <p>1st Qtr 20/21 Review Summary: Publication of the Sean Harriss report has been delayed due to Covid, but we expect WG to publish during the Summer of 2020. Powys County Council is currently establishing new improvements and assurance arrangements</p> | Cllr Rosemaire Harris Caroline Turner | 20 | 12 | <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 | <ul style="list-style-type: none"> Control In Place |

| Strategic Risk Register | | | | Portfolio | Inherent | Residual | Controls and Actions | |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner | Risk Identified | Potential Consequence | Last Reviews | Director or Head of Service | | | Control or Action | Status |
| | | | <p>in place, as part of the transitional arrangements, in anticipation of WG bringing the current Improvement and Assurance Board to an end later this year.</p> <p>We are awaiting the outcome of the recent joint inspection of Mental Health Services by HIW and CIW. Regular meetings continue to be held with Estyn and CIW. CIW will be undertaking monitoring visits during this quarter, with a view to undertake an Improvement Conference during the Autumn.</p> <p>22/03/2020</p> <hr/> <p>4th Qtr 19/20 Risk Review Summary: WG have commissioned Sean Harriss to undertake a review of the council's progress along its improvement journey since the Harriss review in Jan 2018. The review was undertaken during in Feb/March 2020, and will be published by WG in due course. All Inspections are suspended due to Covid-19, including the Improvement Conference that had been arranged for Adult Services by CIW.</p> <p>05/01/2020</p> <hr/> <p>08/09/2019</p> <hr/> | | | | | |

| Strategic Risk Register | | | | Portfolio | Inherent | Residua | Controls and Actions | |
|-------------------------|--|--|---|---|----------|---------|---|---|
| Ref & Owner | Risk Identified | Potential Consequence | Last Reviews | Director or Head of Service | | | Control or Action | Status |
| PCC0005 Nigel Brinn | The impact to Powys residents, services and Council staff as a result of a COVID-19 (Coronavirus) epidemic | Increased staff absenteeism; Increase demand for services from residents Increased workload for council staff as a result of staff absence and increased service demand Closure of Council premises resulting in reduced services to residents and office accommodation | <p>17/01/2021</p> <p>3rd Qtr 20/21 Review Summary: The Council has developed a separate risk register for the Coronavirus pandemic. The risks captured in this assessment include: Increase in services demands Financial impact on the council Availability of Personal Protective Equipment Reopening of Schools Safeguarding Workforce absence Delivery of Test Trace and Protect in conjunction with PTHB</p> <p>There are mitigating actions in place for all the risks identified and the risk register is reviewed weekly by the Council's internal GOLD Command Group (part of the Council's Emergency Response arrangements).</p> <p>04/10/2020</p> <p>2nd Qtr 20/21. Review Summary: The Council has developed a separate risk register for the Coronavirus pandemic. The risks captured in this assessment include: Increase in services demands Financial impact on the council Availability of Personal Protective Equipment Reopening of Schools Safeguarding Workforce absence Delivery of Test Trace and Protect in conjunction with PTHB</p> <p>There are mitigating actions in place for all the risks identified and the risk register is reviewed weekly by the Council's internal GOLD Command Group (part of the Council's Emergency Response arrangements).</p> <p>12/07/2020</p> <p>Admin: amended review date from auto</p> | Cllr Rosemaire Harris Nigel Brinn | 25 | 20 | <ul style="list-style-type: none"> Update Business Continuity Plans (at Service and Corporate Level); Establishment of an Internal Silver Command Powys County Council Representation on Powys Teaching Health Board Gold and Silver Command; Liaison with all Local Resilience Forum (LRF) Partners; PCC Liaison with Welsh Government and Public Health Wales; Communication and engagement with schools. Communications to residents, staff and members | <p>Action Completed</p> <p>Control In Place</p> |

| Strategic Risk Register | | | | Portfolio | Inherent | Residual | Controls and Actions | |
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| Ref & Owner | Risk Identified | Potential Consequence | Last Reviews | Director or Head of Service | | | Control or Action | Status |
| | | | system setting it. <u>21/06/2020</u> <u>03/05/2020</u> | | | | | |

| Strategic Risk Register | | | | Portfolio | Inherent | Residua | Controls and Actions | |
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| Ref & Owner | Risk Identified | Potential Consequence | Last Reviews | Director or Head of Service | | | Control or Action | Status |
| | | | <p>as 1) Weekly compliance meetings 2) Weekly legionella meetings 3) Monthly/Weekly asbestos monitoring. Also additional monitoring meetings within PCC have been set up.</p> <p>The Corporate Compliance rectification plan is being monitored and at the end March, HOWPS are broadly on track with the rectification plan, but supply chain issues due to COVID – 19 has meant that targets within the Rectification plan has been narrowly missed.</p> <p>HOWPS are now utilising a new Compliance Tracker which is much easier to use and compliance can be easily identified across buildings and across tests.</p> <p>PCC have had to audit the information within the Tracker to ensure that the information is correct – This is putting extra pressure on the Strategic Property, but is necessary to ensure that the information being given to PCC is correct.</p> <p>Additional monitoring has been put in place to audit the access of the Alpha Tracker Database (asbestos information) to ensure that Alpha Tracker is accessed before every job is started. Our monthly audit has identified gaps in this access procedure, therefore this has been increased to weekly monitoring.</p> <p>Issues with Legionella Monitoring, information has not been sent to PCC by HOWPS. Clarification over roles and responsibilities is underway to ensure that risks are assessed and actioned.</p> <p>12/01/2020 _____</p> <p>06/10/2019 _____</p> <p>07/07/2019 _____</p> | | | | | |

| Strategic Risk Register | | | | Portfolio | Inherent | Residua | Controls and Actions | |
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| Ref & Owner | Risk Identified | Potential Consequence | Last Reviews | Director or Head of Service | | | Control or Action | Status |
| | | | 07/04/2019 | | | | | |

| Strategic Risk Register | | | | Portfolio | Inherent | Residual | Controls and Actions | |
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| Ref & Owner | Risk Identified | Potential Consequence | Last Reviews | Director or Head of Service | | | Control or Action | Status |
| | | | <p>The implementation of the council's workforce strategy and the RPB Workforce Futures Strategic Framework will resume when we return to business as usual.</p> <p>03/05/2020</p> <hr/> <p>4th Qtr 19/20 Review Summary: In quarter 4 the Powys Regional Health Board published its Strategic Framework for the Health and Care workforce in Powys.</p> <p>The Council responded to the current coronavirus pandemic by invoking its business continuity plans which means that we are focused on delivering business critical activities. As part of this response we are redeploying employees to business critical services.</p> <p>The implementation of the council's workforce strategy and the RPB Workforce Futures Strategic Framework will resume when we return to business as usual.</p> <p>19/01/2020</p> <hr/> <p>29/09/2019</p> <hr/> <p>08/09/2019</p> <hr/> <p>05/05/2019</p> <hr/> <p>03/02/2019</p> <hr/> | | | | | |