

## Strategic Risk Register

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
ASC0064  Nina Davies  <b>Escalated From :-</b> Powys County Council	IF WCCIS is not fit for purpose, then it will impact upon service area's ability to carry out our statutory operational duties.	<ul style="list-style-type: none"> <li>Veracity of decision making around adults and children in Powys could be compromised, leading to poor outcomes</li> <li>The safeguarding of children and adults in Powys could be compromised</li> <li>There could be significant delays in securing time critical packages of care</li> <li>Our ability to manage transfers of people from hospital to the community could be compromised</li> <li>We may not be able to respond effectively to out of hours emergencies</li> <li>There may be delays in making decisions and taking action to keep children safe</li> <li>Staff morale could be affected, leading to increased sickness absence and staff leaving</li> <li>Potential for reputational damage to the council and negative impact on our ability to recruit and retain social workers.</li> </ul>	<p><b>16/01/2023</b> Qtr 3 22/23 Review Summary: Digital Transformation of Social Services Project is ongoing. The review is considering future options for a data management system.</p> <p><b>03/10/2022</b> Qtr 2 22/23 Review Summary: Digital Transformation of Social Services Project has been approved and is in progress. The review will include consideration of the possible future options for a data management system.</p> <p><b>11/07/2022</b> 1st Qtr 22/23 Review Summary: An options appraisal is being finalised ready for consideration through appropriate channels.</p> <p><b>04/04/2022</b> Qtr 4 21/22 Review Summary: Agreement from Cabinet to move to a soft market testing exercise. In addition, agreement that digital services and corporate change/improvement resource will be deployed to support any transition to a new system and resulting changes to processes/ways of working.</p>	Cllr Sian Cox  Nina Davies	12	12	<ul style="list-style-type: none"> <li>Internal Review</li> <li>Performance issues raised to Welsh Government through SBAR</li> <li>Monthly Contract review meetings with Supplier</li> <li>Follow correct change management processes</li> </ul>	<ul style="list-style-type: none"> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Control In Place</li> </ul>

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ASC0066  Rachel Evans   Escalated From :- Powys County Council	IF a Social Care provider(s) fail then care homes, domiciliary care providers, supported living providers and others would become unsustainable.	Potential of care services becoming unviable and not sustainable, resulting in requirement to support residents to access different services/care homes etc. Potential of care staff not being paid. Potential of harm to residents in having to be moved or having care provider unavailability. Potential of financial implications to residents, Council and local economy. Potential of reputational damage. Potential of increased failure and a large number of care staff not being paid appropriately	<b>18/01/2023</b> Qtr 3 22/23 Review Summary: On behalf of service: <ul style="list-style-type: none"> <li>Joint PCC and PTHB provider workshop held with domiciliary care and care home providers 18.12.22 to explore creative solutions and business continuity / resilience</li> <li>Additional contract monitoring capacity in place to support care homes</li> <li>Rapid Action Plan developed in conjunction with PTHB</li> <li>Contingency and focused support around direct payments commissioning</li> <li>Increase in travel mileage rate for domiciliary care workforce</li> <li>Commissioning exploring sustainable new models</li> </ul> <b>09/11/2022</b> Qtr 2 22/23 Review Summary: Care homes remain fragile but not at imminent risk of failure. All of the mitigations continue, and a contingency plan has been put in place in regard to direct payments service.	Cllr Sian Cox   Nina Davies			<ul style="list-style-type: none"> <li>Direct Payment Support Scheme</li> <li>Care Home Support</li> <li>Care Home Staffing and Resilience Review</li> <li>Joint Support for Residents and Care Homes</li> </ul>	Action In Progress  Action In Progress  Action In Progress  Control In Place



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ED0022  Lynette Lovell  <b>Escalated From :-</b> Powys County Council	IF the Council is unable to improve financial management of the schools' budget, through ongoing adjustments to the distribution formula, they will be unable to manage the budget, resulting in a significant compromise to the quality of education for Powys learners.	Some schools will have escalating deficits which will have a financial impact on the rest of the Council and the learners in their care.	<p><b>09/01/2023</b> Qtr 3 22/23 Review Summary: Through continued excellent joint working and collaboration between the finance team and the Schools Service senior managers significant savings have been made which continue to ease the internal financial pressures. Further efficiencies have been explored in specific service areas and through ongoing collaboration and solution focused decision making we have reduced the overspend further helping this financial year and next. Covid-19 pandemic continues to place additional pressures on the service and consideration needs to be given regarding the long-term challenges this could bring in certain areas such as ALN. The service continues to work hard on mitigating financial issues as they arise through the effective use of grants and have managed to alleviate pressures.</p> <p><b>07/11/2022</b> Qtr 2 22/23 Review Summary: Through excellent joint working between the finance team and the Schools Service senior managers significant savings have been made which will help ease the internal financial pressures. Further efficiencies are yet to be achieved in specific service areas but through ongoing collaboration and solution driven decision making we hope to reduce the overspend further helping this financial year and next. Covid-19 pandemic continues to place additional pressures on the service and consideration needs to be given regarding the long-term challenges this could bring in certain areas such as ALN. The service is working hard on mitigating financial issues as they arise through the effective use of grants and have managed to alleviate pressures.</p> <p><b>10/07/2022</b> 1st Qtr 22/23 Review Summary: Quarter 1 Review: The year end position for schools moved significantly since the previous forecast, this is due to the allocation of over £5.936 million grant to support schools core costs. Schools planned to utilise £0.577m of reserve but actually put in to reserve £5.732m, an overall movement of £6.289m.</p>	<p><i>Cllr Pete Roberts</i></p> <p><b>Lynette Lovell</b></p>	20	16	<ul style="list-style-type: none"> <li>• Progress Funding Formula review.</li> <li>• Effective use of the Scheme for Financing Schools</li> <li>• Implementation of R5 in the PIAP</li> <li>• PIAP</li> </ul>	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action Completed</p> <p>Action Completed</p>

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			<p><b>18/05/2022</b> Review Summary: Qtr 4 2021-22:</p> <p>Primary: The forecast contribution from reserves for the Primary Sector is currently £505k which has reduced by £107k since last month.</p> <p>Secondary: The Secondary sector has a forecast contribution to reserves currently of £17k. This has increased by £302k since last month. Officers have been working effectively with the Secondary sector and as a result there is a reduction in deficit balances.</p> <p>All Through: The all age sector has a forecast contribution to reserves of £145k which has increased by £62k since last month.</p> <p>Special: The special sector has a £102k forecast contribution to reserves. This has decreased by £29k since last month.</p> <p>Surgery sessions are ongoing with all schools and school budget positions are being effectively monitored and issues are being escalated quickly by officers.</p> <p>Powys County Council have received a substantial amount of Education grant funding into the Authority during the Spring Term to be spent by the end of the financial year. This may have a positive impact on the schools' delegated outturn position for 2021-22.</p>					

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EDR0011  Diane Reynolds  Escalated From :- Powys County Council	A climate emergency has been declared by Powys County Council. IF we experience the extreme consequences of not taking action then we will experience flooding, poor air quality, impact on nature and our communities.	<ul style="list-style-type: none"> <li>-Exceeding acceptable CO2 emissions</li> <li>-Increasing demand on flood alleviation and response (including increase demand on resources)</li> <li>-Increased emissions due to depletion of natural carbon stores and sequestration</li> <li>-Unable to meet demand for housing linked to land suitability</li> <li>-Unable to meet future public building needs</li> <li>-Councils reputation is hurt if by lack of prevention/resilience planning and being perceived to be a contributor</li> <li>-Deteriorating river and water way quality</li> <li>-Increased phosphates due to extreme weather events i.e. flooding</li> <li>-Investing in adapting service delivery</li> <li>-Risk to Biodiversity - see Nature Emergency risk</li> <li>-Negative effect on supply of food, goods and vital services due to climate related collapse of supply chains and distribution networks</li> <li>-Risks to the people and the economy climate related failure of the power system</li> <li>-increased risks to human health, wellbeing and productivity from increased exposure to heat, in homes and other buildings</li> <li>-possible multiple risks to the County from Climate change impact</li> </ul>	<p><b>18/01/2023</b> Qtr 3 22/23 Review summary. On behalf of service. The risk is ongoing. The Climate Emergency Programme Board continue to meet monthly and work on developing workstream action plans has continued. A climate stakeholder group has been established to plan for an event in June aimed at supporting Town and Community Councils to declare climate and nature emergencies. A climate and nature engagement group has also been established and had it's first meeting in December</p> <p><b>10/11/2022</b> Qtr 2 22/23 Review Summary: No change, progress has been made through the further development of the climate workstream plans and the analysis of our carbon accounts</p>	<p>Cllr Jackie Charlton</p> <p><b>Nigel Brinn</b></p>	25	16	<ul style="list-style-type: none"> <li>• Carbon accounts reporting</li> <li>• Implement Powys' Climate Strategy</li> <li>• Engagement with stakeholders and experts</li> <li>• Workstream Action Plans developed</li> <li>• EMT/SLT dedicated session to take place in December to focus on risk and plan strategic mitigation</li> </ul>	<ul style="list-style-type: none"> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> </ul>

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		from overseas. -Inadequate planning for unforeseen events						





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			<p><b>04/04/2022</b></p> <p>4th Qtr 21/22 Review Summary: The council has approved the revenue budget for 2022/23 and the financial position for the new year will be monitored through the existing reporting mechanisms. EMT will begin reviewing the 5 year budget plan in April to address the ongoing budget gap for the next few years. Indicative funding settlements for the next 2 years do provide some certainty but we cannot underestimate the challenge that still remains. Rising inflation, energy costs and supply chain issues arising from the war in Ukraine will provide further challenge during 2022/23.</p>					



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		a loss of cultural values, reduced access to traditional medicines, reduced options for future drug development, and poorer mental health. <ul style="list-style-type: none"> <li>• A decline in tourism due to loss of nature and poor condition of the natural environment.</li> <li>• Unable to meet demand for housing linked to land suitability.</li> <li>• Unable to meet future public building needs.</li> <li>• Council's reputation is hurt by lack of prevention/resilience planning and being perceived to be a contributor.</li> <li>• Investing in adapting service delivery.</li> </ul>						





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							<ul style="list-style-type: none"> <li>• Cyber Security Certification</li> <li>• Staff Training</li> <li>• Detection and Response Tools</li> </ul>	Control In Place Control In Place Control In Place

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PCC0003  Caroline Turner	IF the Council receives a negative regulatory / inspection report, then we might be found failing in meeting regulatory and legislative duties.	<ul style="list-style-type: none"> <li>- it could affect our ability to provide a good quality of service, to the people of Powys</li> <li>- it could affect our ability in managing demand on the service</li> <li>- it might have a negative effect on recruitment and retention of staff</li> <li>- we could experience poor staff morale</li> <li>- we could suffer reputational damage</li> </ul>	<p><b>16/01/2023</b> Qtr 3 22/23 Review Summary: During the quarter, an audit of Corporate Safeguarding by Audit Wales highlighted issues that needed to be addressed; all are now being addressed.</p> <p>Gwernyfed High School and Brecon High School are now in special measures following Estyn Inspection reports.</p> <p>Further inspections taking place in Q4, in particular CIW inspecting Domiciliary Care provision and Mental Health provision in the North. Also expect to receive Audit Wales inspection of the Planning Service.</p> <p><b>07/10/2022</b> Qtr 2 22/23 Review Summary: Rating has been reviewed and residual score remains at 6. This is on the basis of regular feedback from Estyn, CIW and Audit Wales.</p> <p><b>15/07/2022</b> 1st Qtr 22/23 Review Summary: Rating have been reviewed and the residual score now sits as a 6. This is on the basis that the CIW Improvement Check that took place in May was satisfied with the progress that we've made (their letter is due to be published 3rd week of July).</p> <p><b>08/04/2022</b> 4th Qtr 21/22 Review Summary: Positive report received from Estyn, Education Service no longer requires enhanced monitoring. Also received positive reports from HIW/CIW on Mental Health Services, and from HMIPP on Youth Justice Service.</p> <p>Recently notified of forthcoming CIW improvement check of Adult Services and Children Services this will take place during May, report anticipated in the summer. It is likely that the improvement check will find gaps in provision and records due to the well-documented pressures on both Services since July 2021, due to the impact of COVID, increase in demand and staffing issues.</p>	<p>Cllr James Gibson-Wat t  Caroline Turner</p>	9	9	<ul style="list-style-type: none"> <li>• Monitoring improvements within key Services to be undertaken by Cabinet, with Scrutiny undertaking a challenge role</li> <li>• Monitoring key recommendations through the Corporate Regulatory Tracker</li> <li>• Improvement Board for HTR</li> <li>• Improvements to be identified and undertaken by each Service, and captured as part of their Integrated Business Plans &amp; progress</li> <li>• Communications strategy (internal/external)</li> <li>• Maintain close working relationships with all Inspectorates and Regulators as well as Welsh Government</li> <li>• Corporate support provided to all Services</li> </ul>	<ul style="list-style-type: none"> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> </ul>

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PCC0005 Nigel Brinn	IF the Council has another wave of COVID 19 or any other ILI's (influenza like illness) resulting in increased staff absenteeism; Increase demand for services from residents: Increased workload for council staff; Closure of Council premises, THEN there will be an increased workload for remaining council staff and increased service demand.	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><b>05/01/2023</b> Qtr 3 22/23 Review Summary: On behalf of Nigel Brinn. Cases continue to impact the community and a reduced TTP team continue to trace the vulnerable and Health and Social Care. This risk will remain on the register whilst we monitor the impact of COVID and other ILI's (influenza like illnesses) associated with winter planning 2022/2023. Funding for the team has been confirmed for 23/24 and we are currently working in partnership with colleagues in PTHB to determine its most appropriate allocation and deployment.</p> <p><b>09/11/2022</b> Qtr 2 22/23 Review Summary: On behalf of Nigel Brinn. Cases continue to impact the community and a reduced TTP team continue to trace the vulnerable and Health and Social Care. This risk will remain on the register whilst we monitor the impact of COVID and other ILI's (influenza like illnesses) associated with winter planning 2022/2023.</p> <p><b>15/07/2022</b> Review Summary: amending date to fall in line with PMQAF</p> <p><b>08/07/2022</b> 1st Qtr 22/23 Review Summary: Cases continue to impact the community and a reduced TTP team continue to trace the vulnerable and Health and Social Care. This risk will remain on the register whilst we monitor the impact over the Autumn/Winter 2022/2023</p>	Cllr James Gibson-Wat t  Nigel Brinn	16	9	<ul style="list-style-type: none"> <li>Update Business Continuity Plans (at Service and Corporate Level);</li> <li>Establishment of an Internal Silver Command</li> <li>Powys County Council Representation on Powys Teaching Health Board Gold and Silver Command;</li> <li>Liaison with all Local Resilience Forum (LRF) Partners;</li> <li>PCC Liaison with Welsh Government and Public Health Wales;</li> <li>Communication and engagement with schools.</li> <li>Communications to residents, staff and members</li> </ul>	<p>Action Completed</p> <p>Action Completed</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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			<p>during January 2023</p> <ul style="list-style-type: none"> <li>And have reviewed and condensed our application form, making it easier for candidates to complete which will be launched in the new year</li> </ul> <p>AS can be seen, much work has already been completed to address our recruitment needs and we have many more initiatives and improvements planned for Quarter 4 and beyond.</p> <p>The Council is also working closely with PTHB and our partners to support the release of patients from hospital into reablement and care, this work will continue over the winter period and will focus on joint recruitment initiatives, joint induction and development, with a key focus on reablement.</p> <p>IN addition we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> <li>an employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and new staff trying to access employment in the sector)</li> <li>by widening our apprenticeship offer</li> <li>And enabling access for carers and volunteers to statutory education packages</li> </ul>					

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			<p><b>26/09/2022</b></p> <p>Qtr 2 22/23 Risk Review: The Workforce Futures Strategic Framework is in place / being implemented by partners. The Council's Transforming Education Programme with its ten-year strategy is also being implemented.</p> <p>To respond to the tight UK labour market, a high level resourcing group has been established to ensure that the Council takes every possible step to recruit, retain and develop the workforce needed, including grow our own staff. This group will be working with SLT in delivering an agreed plan.</p> <p>The Council has established an apprenticeship programme in place which continues to be progressed with 6 offered in Q2.</p> <p>In Social Care a much-enhanced grow our own programme for the next 5 years is in place and being implemented for social workers</p> <p>In addition, we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> <li>- an employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and people trying to access employment in the sector)</li> <li>- making use of governmental schemes</li> <li>- Apprenticeships – by widening the apprenticeship offer</li> <li>- Access for carers and volunteers to statutory education packages (NHS E-learning) to start a foundation of learning pre-employment</li> </ul>					

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			<p><b>01/07/2022</b></p> <p>1st Qtr 22/23 Review Summary: The Workforce Futures Strategic Framework is in place and is being implemented. The Council's Transforming Education Programme which sets out a ten year strategy is also being implemented. The Council has established an apprenticeship programme which continues to be progressed, with discussions continuing with services about the recruitment of further apprentices across PCC.</p> <p>In Social Care a much enhanced grow our own programme for the next 5 years is in place and being implemented for social workers</p> <p>In addition we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> <li>- an employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and new staff trying to access employment in the sector)</li> <li>- any available governmental schemes, such as the former Kickstart programme</li> <li>- Apprenticeships – by widening the apprenticeship offer</li> <li>- Access for carers and volunteers to statutory education packages (NHS E-learning) to start a foundation of learning pre-employment</li> <li>- Exploring a health and social care induction framework that provides the foundation skills for Health Care Support Workers coming into the sector (programme aligned to the SCW induction framework and Health clinical induction framework)</li> </ul>					



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			<p><b>01/04/2022</b></p> <p>Review Summary: The Workforce Futures Strategic Framework is in place and is being implemented.</p> <p>The Council's Transforming Education Programme which sets out a ten year strategy is also being implemented.</p> <p>The Council has established an apprenticeship programme which is being progressed and the numbers recruited being ahead of target (i.e. 11 against the 10 planned).</p> <p>In Social Care a much enhanced grow our own programme for the next 5 years is in place and being implemented for social workers</p> <p>In addition we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> <li>- an employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and new staff trying to access employment in the sector)</li> <li>- any available governmental schemes, such as the former Kickstart programme</li> <li>- Apprenticeships – by widening the apprenticeship offer</li> <li>- Access for carers and volunteers to statutory education packages (NHS E-learning) to start a foundation of learning pre-employment</li> <li>- Exploring a health and social care induction framework that provides the foundation skills for Health Care Support Workers coming into the sector (programme aligned to the SCW induction framework and Health clinical induction framework)</li> </ul>					