

Risk Register

| Risk Reference | Date Identified | Source | Service Area | Risk Identified | Potential Consequence | Inherent Risk | | | Current Controls | Risk Owner | Portfolio Holder |
|----------------|-----------------|-------------|---------------------|---|---|---------------|---|-------------|--|--------------|---------------------|
| | | | | | | P | I | Risk Rating | | | |
| ASC10 | 01/04/2015 | SIP 2015-18 | Adult Social Care | Implication of the short timescales and capacity in relation to the re-contracting of the current BUPA Services (contract end 2016) | Timescales needed to re-commission services may jeopardise continuity of service. Capacity to support the development of interim arrangements could delay the process. Worst case scenario may result in replacement services not planned for / in place in a timely manner. | H | H | High | SIP outlines action to develop interim arrangements and to assess longer term implications: - 1. Produce market position statement in relation to Residential Care and Nursing Care market; 2. Development of Extra Care Housing Schemes in Newtown; 3. Develop a programme for the replacement of the council owned residential care homes and contracting arrangements in the interim; 4. Implement interim contracting arrangements following end of BUPA contract in 2016. Service provider to be consulted as part of the above. | Joy Garfitt | Cllr Darren Mayor |
| ASC11 | 01/04/2015 | SIP 2015-18 | Adult Social Care | An unstable Domiciliary Care Service. | A service which does not deliver the outcomes that our services users need / want. An unsustainable financial burden to the council. Lack of stability across the whole of the ASC Service which does not allow for other innovative work to take place to reduce the demand long term. | H | H | High | SIP outlines specific action to develop and implement a project plan to establish a stable Domiciliary Care Service. Additional / temporary officer capacity has been sourced for Adult Social Care to support this area of work. | Joy Garfitt | Cllr Darren Mayor |
| CG1 | | SIP.L.V2 | Change & Governance | Failure of governance. | Council acts ultra vires | M | M | Medium | | Clive Pinney | Cllr Phil Pritchard |

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| CG2 | | Risk Register 21/11/12 12.11 | Change & Governance | Data Protection Breaches | Information Commissioners Intervention. Financial Penalties | H | H | High | Information Governance Plan supported by the Corporate Information Governance Group which meets on a quarterly basis. | Amanda Lewis | Cllr Stephen Hayes |
| CR1 | | Risk Register 21/11/12 12.100 | Corporate | The Council is unable to manage the level of financial cuts required by the Welsh Government | The Council incurs significant overspend. Projected budget will suffer an overspend. Penalties and fines may be imposed Council reputation damaged | H | H | High | Medium Term Financial Plan; Cost Recovery work; 3rd party spend reduction; Income Generation; Regular reports to cabinet and Management Team on budget progress and progress on savings | David Powell | Cllr Wynne Jones |

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| CR3 | | 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 | <p>Progress on the One Plan is reported through the Transformation Board and the LSB.</p> <p>In July 2012 PCC and PtHB entered into a formal partnership to deliver ICT services from a joint team formed by the integration of the ICT teams from both organisations. A Section 33 agreement was employed and provides a formal basis for partnership working. This agreement has two tiers of governance: -</p> <ol style="list-style-type: none"> 1. ICT Management Team; 2. Joint Partnership Board. <p>The Joint Partnership Board was established in 2012 and is chaired by the Leader. This manages all Section 33 agreements and is attended by the PCC Leader, PCC Chief Executive, PtHB Chief Exec and PtHB Executive Director.</p> | Management Team | Cllr Barry Thomas |

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| CR4 | | Risk Register 21/11/12 12.102 | Corporate | Failure to deliver on the Powys One Plan | Failure to deliver on the Powys One Plan | H | M | Medium | <p>Programme Office established with Strategic Programme Managers leading on each of the 5 programmes within the Powys One Plan.</p> <p>Programme Boards meet bi-monthly and monitor progress of the projects in each programme. This is then reported up to the Transformational Board and the LSB.</p> <p>Programme Office has adopted the corporate risk assessment methodology and Strategic Programme Managers report the Programme risk registers to the Programme Boards. Projects also have their own risk registers. The registers report risks which may impact upon delivery of objectives, and identify mitigating actions taken to control these risks.</p> <p>Scrutiny challenge and feedback sessions have been held on progress made so far, this has been reported using the Performance Evaluation Grids.</p> | Local Service Board | Cllr Barry Thomas |

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| CR5 | | Risk Register 21/11/12 12.102 | Corporate | Lack of management of the procurement process within services. | Inadequate contracts and contract management exposing the authority. | H | M | Medium | E-Learning 'Commissioning: The Fundamentals Level 1' training course has been developed, is available and being used, and is aimed at all those employees who undertake some purchasing / ordering / buying and may undertake some commissioning. Level 1 training must be completed before anyone proceeds onto the Level 2 taught course. | All Service Heads supported by central Procurement | Cllr Graham Brown |
| CR6 | | Risk Register 21/11/12 12.90 | Corporate | Lack of adequate service business continuity planning | Failure to deliver services in the event of an emergency. | M | H | Medium | Officer appointed permanently to post of Business Continuity & Risk Management Officer. Education and training programme delivered to services. Services supported to produce their own Business Continuity Plans. | David Powell | Cllr John Powell |
| CR7 | | Risk Register 21/11/12 12.94 | Corporate | Inadequate registers / notifications of items requiring statutory testing provided to the compliance team. | Regulations not met; Financial Penalties; Corporate Manslaughter. | H | H | High | | All Service Heads supported by Policy and Regeneration | Cllr Stephen Hayes |
| CR8 | | Risk Register 21/11/12 12.95 | Corporate | Inadequacy of Absence Management process | Failure to provide service to a satisfactory standard. | H | L | Medium | New Absence Management Policy | All Service Heads supported by HR | Cllr Phil Pritchard |
| CR10 | | Risk Register 21/11/12 12.97 | Corporate | Failure to monitor and protect Council assets | Theft and abuse of Council property | H | M | Medium | | All Service Heads supported by ? | Cllr Stephen Hayes |

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| HTR2 | | SIP.LES.V 2 | Highways, Transport and Recycling | Failure to ensure Health & Safety of public and workforce | Risk of prosecution and duty of care and injury to the public and staff. | H | H | High | Introduction of robust site supervision and monitoring processes internally and externally with contractors. | Nigel Brinn | Clr John Brunt |
| ICS1 | | SIP.ICT.? | Information and Customer Services | ICT Disaster Recovery | Failure to maintain key ICT services in the event of a major incident. | M | H | Medium | PCC have been working closely with Microsoft and Platform Consultancy to explore utilising the latest cloud services, to provide both a backup solution and disaster recovery solution. This will provide PCC with the ability to instantly power up all replicated servers in the cloud. | Andrew Durant | Clr Phil Pritchard |
| RPC1 | | SIP.PPP.V 1 | Regeneration, Property & Commissioning | Failure to ensure Health & Safety of public and workforce on Council premises | People could be seriously or fatally injured; Exposure to litigation. | M | H | Medium | Public liability insurance. Procurement - external contractors risk statements - monitoring | Susan Bolter | Clr Stephen Hayes |
| RPC2 | | SIP.PPP.V 1 | Regeneration, Property & Commissioning | Liabilities arising from closed landfill site portfolio | Significant pollution incident resulting in prosecution. | M | H | Medium | We have a specialist Contaminated Land Officer who has sought legal advice and determined that this is the land owner's responsibility, and that Natural Resources Wales have responsibility for dealing with the pollution. | Susan Bolter | Clr John Powell |

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| RPC6 | | SBP 2014/17 | Regeneration, Property & Commissioning | Failure to adopt the LDP | Reputational damage, financial implications. | M | H | Medium | Action plan in place which includes recruitment of temporary staff, and diverting built heritage work away in order to concentrate on the LDP. A request for further funding if required has been pre-agreed. Closer working with WG. | Susan Bolter | Cllr Avril York |
| RPC8 | | SBP 2014/17 | Regeneration, Property & Commissioning | The property disposals programme may not realise the expected returns on time. | Other developments which depend upon them cannot be supported. | M | H | Medium | | Susan Bolter | Cllr Stephen Hayes |
| SS1 | 13/01/2015 | SMT | Schools Service | Non delivery of the Schools Transformation Programme | Unaffordable and unsustainable education infrastructure which is not contributing to the Authority's efficiency agenda, and leading to poor educational outcomes | M | H | Medium | Growth to develop capacity of team. ODP Programme defined. <u>Secondary Schools</u> A paper was agreed by Cabinet 27/1/15 to commence Secondary School review in Powys in three parts (South, Mid, North Powys). Progress to date: - • South Powys - review has commenced; • Mid Powys - paper to Cabinet late June / early July; • North Powys - paper to Cabinet in September. | Ian Roberts | Cllr Arwel Jones |

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| SS4 | 13/01/2015 | SMT | Schools Service | Condition and security of buildings and premises. | <ul style="list-style-type: none"> • Breach of Equalities legislation; • Failure to comply with H&S legislation; • Poor educational achievements; • Detrimental impact on health and wellbeing of learners. | L | H | Medium | <p>Review of Special Schools; 21st Century Schools Programme (prioritised according to pupil vulnerability);</p> <p>A new Schools Service Major Improvement Programme Scoring and Prioritisation criteria was agreed by Cabinet 3/9/15, and it also agreed a spend of £1m per year for the next three years.</p> <p>The purpose of this programme is to carry out a wide range of improvements, refurbishment and upgrading works to support the School Modernisation Programme and assist the Authority in making its schools fit for purpose as required by the Welsh Government.</p> | Ian Roberts | Cllr Arwel Jones |

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| Proposed Further Actions / Controls | Residual Risk | | | Notes |
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| | P | I | Risk Rating | |
| In conjunction with Commercial services risk asses any interim plans. Corporate ownership and support in place to ensure focused and successful implementation. | M | H | Medium | |
| Integrated approach with Health to design a joint domiciliary service model. | M | H | Medium | |
| | L | M | Low | |

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| Ensure we comply with corporate training requirements and quality assure our processes; Introduction of information asset owners; Information Asset Register; Information Risk Assessments. | M | M | Medium | |
| Moving to 3 years balanced budget; Setting up Budget Management Reserve; Single impact assessment incorporating a risk assessment of each individual identified saving. | M | H | Medium | Update provided by Portfolio Holder 03/06/2015 |

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| <p>As we enter the new landscape of integration being delivered by PCC and PtHB we will require suitable governance arrangements and lines of accountability which makes governance less ambiguous and more robust, and making scrutiny more effective and more complementary with other accountability mechanisms. Taken together these make organisations more responsive to change, and will mean that scrutiny and accountability drive improvement effectively.</p> <p>This work is underway to agree a revised Scrutiny and Governance structure that will meet the increased scope & pace of change for PtHB /PCC integration required by Welsh Government, address member concerns about levels of member involvement and meet PtHB requirements for separation of Board and executive functions. As part of this work we will: -</p> <ul style="list-style-type: none"> • Implement a shared governance and scrutiny structure; • Develop and implement a shared member / non-executive training programme; • Develop & implement a shadowing programme across PCC cabinet / scrutiny and PtHB Board and Committees; • Seek approval at Cabinet and PtHB. | M | H | Medium | <p>WAO report presented to Audit Committee 22nd April 2015 identified that the Section 33 agreement has improved service resilience and reduced IT risk, and Section 33 arrangements provide a good basis for integrated working.</p> |

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| <p>Continue to improve the reporting process to make the One Plan and what we're achieving 'more visible'. This transparency leads to clearer lines of accountability and responsibility, which in turn will lead to greater success and delivery of objectives.</p> <p>PCC and PtHB Programme Office' have been aligned and will continue to meet and share experience between teams. This will strengthen the programme management process and support the delivery of the programmes.</p> <p>Continue with monitoring of progress on the programmes and projects within the programmes via project and programme boards.</p> <p>Regular meetings between Programme Sponsors and Strategic Programme Managers, to identify and unblock any issues that arise.</p> | M | M | Medium | |

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| <p>It is planned to provide key messages around Commissioning to all Powys County Council employees via NetConsent.</p> <p>The content of and targeted audience for 'Commissioning: The Technicalities Level 2' taught training course is currently being discussed with external providers and a specification is being developed.</p> | M | M | Medium | |
| <p>Continual engagement with BCM Champions via quarterly Business Continuity Group. Services to continue to develop and test their Business Continuity Plans.</p> | L | M | Low | Level of risk reduced as urgent services have been prioritised. |
| | M | H | Medium | |
| | M | L | Low | Robust processes in place makes this a low risk |
| | M | M | Medium | |

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| Safe working practices and methods of working. | M | H | Medium | |
| Microsoft Data Protection Manager will perform nightly backups to on-site storage, this backup data will then replicate into Azure blob storage as an off-site back for long-term storage. | L | H | Medium | <p>Due for completion by October 2015.</p> <p>The cloud extension suite will enable PCC to replicate the on-site virtual server environment and compatible physical server environment into Azure.</p> <p>Greatest dependency is on County Hall.</p> |
| Introduction of robust site supervision and monitoring processes internally and externally with contractors. The probability could potentially decrease if further resources were added to this area. | M | H | Medium | |
| Restructuring of functions so that closed landfill are managed within the Public Protection Service (particularly) contaminated land division to improve capacity and capability to resolve pollution issues | L | H | Medium | |

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| | L | H | Medium | |
| Regularly revise progress on list of disposal sites/ buildings and feed this in through the corporate Cost Improvement Group as well as the property projects. | M | M | Medium | |
| <ul style="list-style-type: none"> • New structure in place; • Succession planning; • Capacity and expertise; • Transformation funding provided from Corporate Finance for structure to be in place. <p><u>Primary Schools</u> A number of Schools have been identified for review under the Powys Schools Transformation Policy (Nov 2014) and we are in discussions with individual schools. Detailed Reports will follow to Cabinet in due course.</p> | L | H | Medium | |

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| | P | I | Risk Rating | |
| Strategic Outline Plan for 21st Century Schools and Capital Investment Programme; Annual scoring of need against investment matrix; Update Asset Management Plan; Individual monitoring of educational placements for children with complex needs. | L | H | Medium | |