

# Public Document Pack



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**AUDIT COMMITTEE**  
**Thursday, 4th June, 2020**  
**S U P P L E M E N T A R Y P A C K**

<b>1.</b>	<b>DRAFT ANNUAL GOVERNANCE STATEMENT</b>
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Item deferred to a future meeting.

<b>2.</b>	<b>SWAP - INTERNAL AUDIT UPDATE</b>
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To consider the oral report of the Assistant Director, SWAP.

<b>3.</b>	<b>RISK REGISTER - COVID 19</b>
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To consider the Covid 19 – Risk Register.

(Pages 1 - 20)

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## COVID-19 Risk Register

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0044	Impact of COVID-19, including: Service User Illness and death; Unpaid Carer Illness; Staff Resource (further and unmanageable reduction through illness and self-isolation); Service provision volatility;	Unable to fulfil statutory obligations; Inability to provide care to service users; Service users are unsafe; Unpaid carers are unsafe; Staff are unsafe; Provider failure risk (residential, supported living, domiciliary care); Children's providers' failure – leading to vulnerable children at risk.	Cllr Myfanwy Alexander Dylan Owen	25	15	<ul style="list-style-type: none"> <li>Rapid recruitment for care staff</li> </ul>	Action In Progress	07/08/2020
						<p>07/05/2020 Provider services have been undertaking rapid recruitment and training both in-house and externally.</p> <ul style="list-style-type: none"> <li>Ongoing staff redeployment (from within Adult Social Care and other Council service areas)</li> </ul>	Action In Progress	07/08/2020
						<p>07/05/2020 this continues during the period of business continuity</p> <ul style="list-style-type: none"> <li>Provision of appropriate Personal Protective Equipment</li> </ul>	Action In Progress	07/08/2020
						<p>07/05/2020 there is now sufficient availability of PPE. however, there are challenges with regards to the goggles being made available and whether visors should be used. We are now providing visors.</p> <ul style="list-style-type: none"> <li>Testing for front-line staff</li> <li>Block booked residential care beds to lock-in step down capacity</li> <li>Work with providers to ensure flexibility and sustainability (pay on planned care)</li> <li>Prioritise care calls – priority 1</li> <li>Work with C-SERT to support priority 2 calls</li> <li>Adult services daily sitreps</li> </ul>	Action In Progress	10/07/2020
						<ul style="list-style-type: none"> <li>Block booked residential care beds to lock-in step down capacity</li> <li>Work with providers to ensure flexibility and sustainability (pay on planned care)</li> <li>Prioritise care calls – priority 1</li> <li>Work with C-SERT to support priority 2 calls</li> <li>Adult services daily sitreps</li> </ul>	Action Completed	
						<ul style="list-style-type: none"> <li>Work with providers to ensure flexibility and sustainability (pay on planned care)</li> <li>Prioritise care calls – priority 1</li> <li>Work with C-SERT to support priority 2 calls</li> <li>Adult services daily sitreps</li> </ul>	Control In Place	
COVID0041	People Handling Training Provision	There is a risk associated with stopping face to face training events as well as appointing people without prior knowledge/Training specifically in "People Handling"	Cllr Graham Breeze Paul Bradshaw	25	12	<ul style="list-style-type: none"> <li>Current trainer capacity identified and increased capacity through upskilling or revalidating other trainers</li> </ul>	Action In Progress	24/06/2020
COVID0065	If there is a lack of appropriate equipment to mitigate the impact of COVID-19	Staff and carers left without protection Risk of further infection and spread - leading to possible illness and death Reduced faith in the Council - reputational damage	Cllr Myfanwy Alexander Dylan Owen	25	10	<ul style="list-style-type: none"> <li>Expecting receipt of some PPE Control/action</li> <li>Attempts at procuring own supplies</li> <li>Escalation to Welsh Government</li> </ul>	Action In Progress	26/06/2020
						<ul style="list-style-type: none"> <li>Attempts at procuring own supplies</li> <li>Escalation to Welsh Government</li> </ul>	Control In Place	
						<ul style="list-style-type: none"> <li>Escalation to Welsh Government</li> </ul>	Control In Place	

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0064	If there is a sustained Countywide Lockdown	This could result in: Increase in mental health issues Increase in domestic violence Reduction in safeguarding reporting	<i>Cllr Myfanwy Alexander Dylan Owen</i>	20	16	<ul style="list-style-type: none"> <li>Creation of systems to ensure prioritisation and provision on demand</li> <li>Regular communication around sources of support through local and regional channels</li> <li>Encourage reporting of domestic violence or abuse</li> <li>Work with C-SERT to support the community</li> </ul>	Control In Place	
COVID0068	Children's Service Placement Availability	Unable to support placements and children and young people are required to move Foster carers have no capacity to accept new placements. Children remaining in unsuitable accommodation. Disruption to children and negative impact on their emotional wellbeing and mental health. Unable to place Powys CLA in regulated placements in or out of county Increase in number of children in unregulated arrangements Risk of harm to children Unable to comply with regulations Financial risk to the local authority as demand for placements increases Reputational risk – criticism from regulators. Litigation risk – non-compliance with court orders and statutory expectations leading to harm.	<i>Cllr Rachel Powell Jan Coles</i>	20	12	<ul style="list-style-type: none"> <li>Prioritisation of work. Redeployment of workforce. Maximisation of available resources. Widen pool of placements.</li> </ul> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>29/05/2020 No change</p> </div>	Action In Progress	28/06/2020

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0049	HOUSING - Increase in homelessness - Additional duties to accommodate extra groups and enable self isolation in accordance with COVID19.	<p>People coming to Powys from urban areas for sanctuary; relationship disruption caused by self-isolation (increased domestic violence); street homeless requesting safe accommodation. (Longer term – loss of home due to inability to make mortgage or rent payments following loss of employment income)</p> <p>Additional demand for temporary accommodation (TA) – primarily from homelessness households and social care clients - may reduce ability of the Council to provide general needs accommodation to other client groups, increasing risks of overcrowding, people living in unsuitable accommodation and additional void losses to the HRA.</p> <p>Welsh Government issued guidance to develop Homeless Co-ordination Cell to house all rough sleepers and provide suitable temporary accommodation that allows for effective self isolation.</p>	<p>Owner</p> <p><i>Cllr James Evans</i> Dafydd Evans</p>	20	12	<ul style="list-style-type: none"> <li>• Move on from temporary accommodation</li> </ul> <p>26/05/2020 <i>Review of support provided and required to those accommodated Review of support provided and required to those accommodated</i></p> <ul style="list-style-type: none"> <li>• Additional support and accommodation to be made available</li> </ul> <p>19/05/2020 <i>Additional accommodation provided to support agencies Additional accommodation provided to support agencies (Montgomeryshire Family Crises Centre and Calan DV)</i></p> <ul style="list-style-type: none"> <li>• Homeless Co-ordination Cell</li> </ul> <p>02/06/2020 <i>Cell continues to deal with a number of cases 115 households in temporary /emergency accommodation on the 1st June Meets twice a week. Homeless Cell update 1st June: Number of live homeless cases 286 Number of homeless households in temporary accommodation excluding B &amp; B's 97 Number of households in B &amp; B 18 Number of new properties identified to boost temporary accommodation 63 Number of known rough sleepers 5 Number of homeless presentations during the last two weeks 22 (compared to 19 same period last year) Number of homeless presentations since 1st March 180 (compared to 127 same period last year. Top reason for homelessness is non-violent breakdown of relationship with partner, closely followed by parents no longer able or willing to accommodate. Last year it was loss of rented accommodation - this is now in third place. Violent breakups remain higher than last year. Increase with regard to rent arrears in Private Rented Sector compared with last year. Top age band is 36-59, which is the same as last year and this age group has seen the biggest increase. There have been more 16-17 year olds this year presenting as homeless than last year. Housing Revenue staff redeployed to Homeless Services. Note: Powys experienced an increase in Homeless presentations during 2019/20 financial year. We received 613 homeless presentations during 2019/20, compared to 441 homeless presentations during 2018/2019.</i></p> <ul style="list-style-type: none"> <li>• Stock Monitoring - Additional temporary accommodation from social housing stock and Homeless Coordination Cell established</li> </ul>	Action In Progress	26/06/2020
COVID0077	There is a risk that not all learners are able to access digital devices and have reliable remote connectivity.	This may have a negative effect on learners' education and wellbeing.	<p><i>Cllr Phyl Davies</i> Lynette Lovell</p>	20	3	<ul style="list-style-type: none"> <li>• Digital Learning - Access to Devices</li> </ul>	Action In Progress	05/08/2020

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0067	Health and wellbeing of children and young people	<p>Children may be at increased risk if they are not accessing universal and community services which form part of safety and support plans for children.</p> <p>Families refusing access to children subject to CP plans</p> <p>Some children may become unwell and require hospitalisation.</p> <p>Children not able to see their family members</p> <p>Negative impact on emotional wellbeing and mental health</p> <p>Increase in children meeting the eligibility criteria for statutory assessment or threshold for child protection investigation.</p> <p>Use of PPE to offer care causes distress and fear for the child.</p> <p>Limits to intervention/assessment leaves children at risk of significant harm/abuse/neglect.</p> <p>Increase in poor family functioning, domestic abuse, domestic violence.</p> <p>Negative impact on emotional wellbeing and mental health of individuals</p> <p>Children may not have regular meals and could have their health and wellbeing affected.</p> <p>Isolation of care leavers impacting on their emotional wellbeing and mental health at a time when access to support is limited</p> <p>Increase in incidents of self-harm and suicide.</p>	<p>Owner</p> <p><i>Cllr Rachel Powell</i> Jan Coles</p>	16	16	<ul style="list-style-type: none"> <li>Increase support for children who are/ may be at risk of harm in the light of continued schol closures</li> </ul> <p>29/05/2020 No change</p> <ul style="list-style-type: none"> <li>Risk assessment and prioritisation of all cases. Redeployment of staff. Maximise use of available resources.</li> </ul> <p>29/05/2020 No change</p> <ul style="list-style-type: none"> <li>Childcare Hubs are available for vulnerable children to attend</li> <li>Available services have been reviewed and the Early Help service has been reinstated</li> </ul>	<p>Action In Progress</p> <p>Action In Progress</p> <p>Control In Place</p> <p>Control In Place</p>	<p>28/06/2020</p> <p>28/06/2020</p>

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0029	Revenue Budget Risk	<p>Unable to deliver a balanced budget for 2020/21</p> <p>Undelivery of Cost Reductions</p> <p>Increased costs across the organisation</p> <p>Impact on the Councils Reserves</p> <p>Impact on Medium Term Financial Strategy</p>	<p>Owner</p> <p><i>Cllr Aled Davies</i> Jane Thomas</p>	16	16	<ul style="list-style-type: none"> <li>• Ensure appropriate recording of additional costs to enable claim through WG COVID hardship fund</li> <li>• better understanding of all cost pressures, income losses, savings risks and cost savings</li> <li>• Budget Management and virement reg's reinforced, decisions at service level that exceed service budgets must be escalated to EMT</li> </ul> <p><i>03/06/2020 virement rules being applied</i></p> <ul style="list-style-type: none"> <li>• Reassess Budget Position monthly, Report and review mitigating action</li> <li>• Ongoing discussion with WG</li> </ul> <p><i>31/05/2020 Continuing discussin across SWT, WLGA and SWT</i></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>31/08/2020</p> <p>01/07/2020</p> <p>30/06/2020</p> <p>30/06/2020</p> <p>29/06/2020</p>
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COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0069	Increased demand on Children's Services	<p>Delay in response leaving children and adults at risk of significant harm/ abuse/ neglect.</p> <p>Unable to perform statutory functions.</p> <p>Unable to meet statutory requirements including qualifications of staff and timescales.</p> <p>Insufficient staff with suitable qualifications experience.</p> <p>Unable to respond within statutory timescales.</p> <p>Unable to undertake Section 47s Assessments.</p> <p>Increase in CLA population</p> <p>Financial implications for PCC having to intervene later with higher level of intervention.</p> <p>Reputational risk - criticism from regulators.</p> <p>Litigation risk – non-compliance with statutory expectations leading to harm.</p> <p>Unable to keep children safe.</p> <p>Shortened assessment for individuals (including staff members) to be approved as foster carers in the case of emergency, now approved and assessments are underway.</p> <p>3 QSW who have previously worked for the authority are completing application forms as sessional workers to enable them to undertake face to face visits and work on a sessional basis if they are required.</p> <p>Procedures developed and shared with regional colleagues.</p> <p>Regional consensus being achieved.</p>	<p><i>Cllr Rachel Powell</i> Jan Coles</p>	16	12	<ul style="list-style-type: none"> <li>Redeploy staff, training, triage referrals and assessments, recruitment, temporary reg with SCW.</li> </ul> <p><i>29/05/2020 Demand is returning to normal so we are making amendments to staffing arrangements.</i></p> <ul style="list-style-type: none"> <li>Staff have been identified to support Children's Services Front Door to meet an increase in demand</li> </ul>	<p>Action In Progress</p> <p>Control In Place</p>	28/06/2020
COVID0018	Additional costs arising from Contract obligations	<p>Increased pressure on budgets, Capital costs could also increase.</p>	<p><i>Cllr Aled Davies</i> Vincent Hanly</p>	16	12	<ul style="list-style-type: none"> <li>Identify potential issues</li> </ul> <p><i>31/05/2020 continual assessment of situation</i></p>	<p>Action In Progress</p>	30/06/2020



COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
						<ul style="list-style-type: none"> <li>Review of all contracts to assess impact</li> <li>Discussions with WG with regard to impact on Grant Funded Projects - delayed spend, unable to draw down of grant in time</li> </ul>	Action In Progress	30/06/2020
COVID0082	As all school buildings start to reopen for educational provision, there is increased risk of infection for school staff and pupils. A number of school buildings have been empty since the lockdown and, as they reopen, there is a risk of legionella and other health and safety issues.	There is a potential for a reduction in the school workforce due to increased exposure to Coronavirus. There is potential risk using buildings that have been closed for some months.	Cllr Phyl Davies Lynette Lovell	16	12	<ul style="list-style-type: none"> <li>Guidance, Planning and Review</li> </ul>	Action In Progress	08/06/2020
COVID0073	If pupils do not or are not able to engage effectively in the Continuity of learning plan, there is a risk that due to COVID-19 there could be an effect on Wellbeing and self-confidence of pupils. There is a risk of inconsistency in the quality of distance learning.	There may be an increase of pupils needing additional support and in referrals to counselling services. There may be variation in the progress pupils make due to opportunities available and the engagement of learners. There will also be a significant focus on re-integration of all pupils into school.	Cllr Phyl Davies Lynette Lovell	16	6	<ul style="list-style-type: none"> <li>Continuity of Learning Plan</li> <li>Effective systems to support vulnerable learners and their families</li> </ul>	Action In Progress Control In Place	05/08/2020
COVID0028	Insurance Risk – increase in claims and more undefendable at court, higher cost	<p>Services unable to maintain provision, increase in claims</p> <p>Temporary staff &amp; Volunteers inadequately trained to fulfil roles</p> <p>Greater risks taken and inadequate records maintained</p>	Cllr Aled Davies Anne Phillips	15	9	<ul style="list-style-type: none"> <li>Communications, Training, risk appetite considered.</li> <li>Provide DBS and necessary training before staff volunteers commence</li> </ul>	Action In Progress Control In Place	30/06/2020
COVID0023	Companies liquidating	Companies unable to sustain loss of business or reduced working/clients etc	Cllr Aled Davies Vincent Hanly	15	9	<ul style="list-style-type: none"> <li>Government Support for Business clarified through grants / NNDR etc</li> <li>Business relief approach clarified so some provision will be given to support our main contractors and try to remain viable</li> <li>Residual risk being assessed</li> </ul>	Action In Progress Action In Progress	03/07/2020 01/07/2020 30/06/2020

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0025	Treasury Management -Maintaining the Authorities Cash flow to meet liabilities	Treasury Management Function Staff reductions	Cllr Aled Davies Anne Phillips	15	6	• reduced outgoings will mitigate reduced income	Action In Progress	01/07/2020
	Reduced Levels of income coming into the Council	Potential loss of Grant funding  Fee earning services disrupted or ceased  Services not raising raising Debtor invoices or invoices not sent out (post issues)  Reduction in Collection Rate for Council Tax  Increase in Bad debt levels or bad debt enforcement				• WG identified grant to fund C19 additional costs, and may fund other pressures & reductions • Business Continuity Plan in place to maintain Treasury Management Function	Action In Progress  Action In Progress	01/07/2020  30/06/2020
						03/06/2020 no change		
						• Identify service income at risk and model impact of reductions	Action In Progress	30/06/2020
						03/06/2020 <i>Rassessment continues month by month</i>		
						• Additional Borrowing	Action In Progress	30/06/2020
						03/06/2020 <i>No change</i>		
						• Welsh Government open to discussions with individual authorities if problems arise	Action In Progress	30/06/2020
						• Discussion with other funding bodies, Internal comms	Action In Progress	06/06/2020
						06/05/2020 <i>Ongoing discussions with Welsh Government around receipt dates for payments due</i>		
COVID0066	The number of children accessing the Emergency childcare hubs is increasing, with over 300 per day across 16 locations. This potentially increases the risk of infection to teachers, cleaners, catering staff and other children and families using the hubs.	There is a higher risk that this will increase the spread of the corona virus due to the number of staff/young people that will be attending these hubs. In addition, as it is for the children of key workers, there is more likelihood that the parents will be in closer proximity to those who are infected by the corona virus.	Cllr Phyl Davies Lynette Lovell	15	6	• Standard hygiene practices	Control In Place	
						• Check list for Hub Leads/Deputy Leads	Control In Place	
COVID0006	Delay in the delivery of Vision 2025 Transformation programme due to COVID-19	Impact on all Stakeholders	Cllr Graham Breeze Emma Palmer	15	4	• Ensure all documentation is up to date so that the Transformation Programme can commence as soon as BAU resumes	Action In Progress	10/06/2020
						03/06/2020 <i>As at the 1st June business continuity stage continues and therefore there is no change in the status of the programme since last reported on the 1st May.</i>		

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0052	HOUSING Failure to progress major works, including construction of new homes, may lead to financial losses to contractors and to the Council.	Increased repair costs in the future. Dissatisfaction from tenants and people registered with 'Homes in Powys'. Rise in disrepair claims. Damage to fabric of properties. Insufficient provision of new homes to meet rising demand for social and affordable housing, increasing risk of rising levels of homelessness and social consequences arising from people living in poor quality and insecure accommodation.	Cllr James Evans Andy Thompson	12	12	<ul style="list-style-type: none"> <li>Local Authority New Build</li> </ul> <p>22/04/2020 29.04.20: No change from 22.04.20. 22.04.20: No change from 09.04.20. 08.04.20 Only one scheme Cradoc Close, Brecon) is currently on site, undertaking ground works. That work is continuing but there is a risk that as the project progresses towards footings, material supplies may introduce delays to the works schedule. Informal reports suggest that concrete/cement supplies are not as free flowing as they were pre-Covid-19. At this stage this a low risk but may, if works have to stop, will mean that the works programme will need to be rescheduled with the possibility of some additional costs falling on the HRA. All other schemes are still subject to the contract award process, the financial risks of delays arising from Covid-19 being mitigated in the contract terms to be agreed with the successful contractors.</p> <ul style="list-style-type: none"> <li>Capital and Project Works</li> <li>Materials</li> <li>Finance</li> </ul>	Action In Progress	25/06/2020
COVID0045	Impact of Covid-19 restrictions and redeployment on the capacity of the Planning & Public Protection Service.	-Failure to deliver statutory services. -Income loss. -Failure to achieve savings targets. -Impact on the economy. -Health and safety risks.	Cllr James Evans Gwilym Davies	12	12	<ul style="list-style-type: none"> <li>Recruitment to vacant Planning posts to recommence.</li> <li>Monitor Environmental Health staff resource requirements. Secure additional staff capacity where appropriate.</li> <li>Keep service customers up-to-date on service delivery.</li> <li>Implement alternative service delivery methods, where appropriate.</li> <li>Secure the return of staff from redeployment where appropriate.</li> <li>Keep up-to-date with Welsh Government &amp; Regulator advice and legislation.</li> </ul>	Action In Progress	01/09/2020
COVID0022	Contract Award/ Development Delays in procurement process	Companies unable to price/ or unable to provide documentation internally to tender etc Delays in delivery of funded projects eg 21st Century Schools Housing	Cllr Aled Davies Vincent Hanly	12	12	<ul style="list-style-type: none"> <li>Residual risk being explored. Consider future of capital and planned services contracts and assess against type of contract</li> </ul> <p>03/06/2020 work progressing</p>	Action In Progress	30/06/2020

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0079	National data modelling and reporting does not reflect what is happening on the ground	<p>Media reporting uses national data giving residents an incomplete picture of what is happening in Powys.</p> <p>If data modelling on the trajectory of the pandemic is not consistent with actual figures and it is used it could lead to poor decision making about service provision.</p> <p>Residents behaviour is influenced by national data reporting which could lead to an increase in spread of the virus if actual figures of cases and deaths is higher than nationally reported figures.</p>	<p>Owner</p> <p><i>Cllr Graham Breeze</i> Ness Young</p>	12	9	<ul style="list-style-type: none"> <li>Weekly BI report to GOLD comparing national modelling with actual data from various sources.</li> <li>PCC Communications focus on local data to set national data in context.</li> <li>GOLD and SILVER use BI report and local intelligence to determine service provision required in response to the pandemic</li> </ul>	<p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>	
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COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0007	LEISURE/SPORT Leisure Contractor significantly affected by COVID-19 situation	Freedom Leisure - (i) Significant loss of income, (ii) inability to meet contract requirements, (iii) potential redundancies though lack of funds, (v) depleted / reduced reserves, inability to pay costs, staff or suppliers, (vi) reduced ability to ensure statutory compliance, (vii) inability to complete repairs, maintenance or capital programmes, projects or works which may result in longer term loss / reduction of facilities when normal business resumes, (viii) inability to recoup sufficient funds (i.e. management fees, external funding, staffing costs) either from clients through contracts, or through Central Government support Powys CC - (i) ensure advance payments do not conflict with Government support to Freedom (ii) the leisure centres could transfer back into the Council if Freedom Leisure become insolvent (iv) the Council do not have the resources to support leisure services transferring back to an in-house model	Cllr Rachel Powell Jenny Ashton	12	9	<ul style="list-style-type: none"> <li>Ongoing and urgent discussions with Freedom Leisure in order to address this risk</li> </ul> <p>28/05/2020 Ongoing conversations between Powys CC and Freedom Leisure are taking place to understand their financial position through an 'open book' accounting method. Regular reviews will be undertaken to ensure that timely and appropriate action is taken when necessary. Freedom Leisure are currently working up proposals for 'reactivation' of leisure and sports centres. However, this will be in line with National and local advice and guidance.</p>	Action In Progress	28/06/2020
COVID0051	HOUSING - Failure to adhere to repair and maintenance responsibilities to municipal homes, which could include statutory testing and structural maintenance, due to difficulties in arranging for technicians to attend properties and/or access to materials.	Increased repair costs in the future. Dissatisfaction from tenants. Rise in disrepair claims. Damage to fabric of properties.	Cllr James Evans Andy Thompson	12	9	<ul style="list-style-type: none"> <li>Work focus on repairs &amp; maintenance, compliance, voids and major works</li> </ul>	Control In Place	
COVID0053	HOUSING Loss of, or disruption to, income of tenants may reduce income to the HRA.	A drop in income could impact on HRA work programmes	Cllr James Evans Andy Thompson	12	9	<ul style="list-style-type: none"> <li>Income Recovery Activity</li> </ul>	Control In Place	

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0061	Increased risk of Cyber attack Risk to immediate response to Cyber attack due to 50% temporary loss of staff within ICT Cyber Security	Damage to information and systems. No immediate response to possible Cyber attacks which could affect access to critical systems and services and data	<i>Cllr Graham Breeze</i> Diane Reynolds	12	9	<ul style="list-style-type: none"> <li>Ensure Cyber Response plans are available to assist all staff, along with external contacts to assist . <i>21/05/2020 Cyber Response plans in progress</i></li> <li>Cyber Response Plans should be finalised <i>21/05/2020 Cyber Response plans in progress</i></li> <li>Cyber Aware bulletins <i>21/05/2020 Fortnightly Cyber Bulletins being produced</i></li> </ul>	Action In Progress	04/06/2020
COVID0021	Contract Cessation/ Suspension	Certain contracts will not be delivered in accordance with planned requirements  Impact on Service provision due to project delays e.g. Schools	<i>Cllr Aled Davies</i> Vincent Hanly	12	8	<ul style="list-style-type: none"> <li>Review contracts - not award new <i>03/06/2020 work progressing</i></li> </ul>	Action In Progress	30/06/2020
COVID0017	Supply Chain Risk Shortages of staff to maintain processing of orders and payments	Failure to be able to provide an adequate service for the residents of Powys. esp Social Care  Disruption to other services e.g. Software Support	<i>Cllr Aled Davies</i> Jane Thomas	12	6	<ul style="list-style-type: none"> <li>PPN 20 Supplier Relief considered for at risk suppliers <i>03/06/2020 No change</i></li> <li>Alternative Supply explored</li> <li>Contact key suppliers and providers &amp; put in place alerts &amp; review the business continuity arrangements for suppliers.</li> </ul>	Action In Progress	31/08/2020
COVID0047	Waste and Recycling not collected from households.	Cause health and environmental hazards and panic	<i>Cllr Heulwen Hulme</i> Adrian Jervis	12	6	<ul style="list-style-type: none"> <li>Recruitment of additional staff <i>03/06/2020 review completed 03/06/20. Risk continues with Trace &amp; Contact system.</i></li> <li>Redeployment of staff from other areas of service.</li> </ul>	Action In Progress	03/07/2020
COVID0026	Unable to maintain Creditor Payments	Potential failure of suppliers  Supply put on "Stop"  Financial Hardship – Foster Carers,  Purchase card approval not undertaken	<i>Cllr Aled Davies</i> Anne Phillips	12	6	<ul style="list-style-type: none"> <li>Business Continuity Plan <i>03/06/2020 no change</i></li> <li>Other Actions <i>03/06/2020 No change</i></li> </ul>	Action In Progress	30/06/2020

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
						<ul style="list-style-type: none"> <li>Communications internal and external</li> </ul>	Action In Progress	30/06/2020
						03/06/2020 no change		
						<ul style="list-style-type: none"> <li>scanning being maintained and if reduced being input manually</li> </ul>	Control In Place	
COVID0057	EXTRA CARE - HOUSING - Lack of demand for extra care resulting from COVID-19 (Coronavirus) pandemic  Crosslinked with Social Services+ Adult Social Care	If the worst case scenario for the COVID-19 (Coronavirus) pandemic becomes a reality this could impact upon the demand for extra care in Powys. This could lead to an unused development This risk is cross linked to Extra Care Risks (see HO0022)	Cllr Myfanwy Alexander Rosalyn Murphy	12	6	<ul style="list-style-type: none"> <li>Social Services implemented business continuity plan</li> <li>Planned work - Autumn/Winter 2020</li> </ul>	Action In Progress	01/07/2020 26/06/2020
COVID0010	Failure to provide accurate and timely information to inform decision making	Lack of corporate oversight Lack of oversight on vulnerable individuals Impact on public health Reactive at a time of crisis	Cllr Graham Breeze Emma Palmer	12	4	<ul style="list-style-type: none"> <li>Prioritise resources to support the intelligence of COVID-19</li> </ul>	Action In Progress	03/07/2020
						03/06/2020 The service has provided insight to aid decision making gold and silver command by developing interactive dashboards: as follows: Safeguarding Shielding Welfare Calls Deaths Redeployment Covid-19		
COVID0058	Post Inspection Action Plan (PIAP) for Estyn - Coronavirus may impact on the ability of the service to maintain the level of progress in addressing Recommendation 1 of the PIAP - 'Improve standards in secondary schools and more able learners'. Recommendation 4 (the School Transformation/Reorganisation programme) could be affected by the Council's ability to conduct strategy consultations relating to Schools Organisation.	Due to distance learning, secondary schools will not be able utilise the full range of teaching experiences and assessment strategies. Consultations for Recommendation 4 may not be able to be conducted during the lockdown.	Cllr Phyl Davies Lynette Lovell	12	3	<ul style="list-style-type: none"> <li>Online learning platform</li> </ul>	Action In Progress	08/06/2020
						01/06/2020 All staff and pupils have access to the national learning platform (Hwb). All schools are 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 learners have been provided with digital devices and 532 have received mobile Wi-fi devices for use at their home address 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 all learners in Powys. 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 have considered papers to be taken forward to Cabinet and Scrutiny in due course. This includes the home to school transport policy to support the emerging transformation programme. Following extensive engagement with headteachers, proposals for ALN reform are also being finalised for wider engagement.		

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0031	CATERING Significant Loss of Income from school meals.	With school closures, very limited number of pupils attending hubs and having school meals resulting in a significant loss of income. Staff will continue to support and be paid.	Cllr Phyl Davies Jason Rawbone	10	10	• Reduce spend with suppliers.	Control In Place	
COVID0019	Exemptions to keep exiting contracts	Costs rise due to no re-procurement	Cllr Aled Davies Vincent Hanly	10	10	• Negotiate with suppliers well before contract end dates to negotiate better rates. Contracts reviewed individually for decision  03/06/2020 Continually reassessed	Action In Progress	30/06/2020
COVID0040	General recruitment across council ceasing/reducing	Unable to conduct face to face interviews. Candidates cant access the digital platform of Skype/Teams. Best candidate not appointed Reputational damage if excluding applicants without Skype/Teams access	Cllr Graham Breeze Paul Bradshaw	10	8	• Where Skype is available to all candidates, continue, where not, process put on hold  28/05/2020 The Council continues to be able to recruit staff externally, by for instance using skype for interviews. Additional social care staff and operatives for HTR have been successfully recruited in recent months.	Action In Progress	11/06/2020
COVID0043	New Starters not having an appropriate induction process.	Staff are not corporately inducted until ICT access is provided.	Cllr Graham Breeze Paul Bradshaw	10	8	• Service Managers have a responsibility to conduct an appropriate service induction as reasonably practical • Corporate Inductions will be undertaken at a later date when practical to do so	Control In Place Control In Place	
COVID0070	HOUSING _ COMPLIANCE This requires access into our tenant's homes to carry out inspections and servicing. Some tenants are in self isolation and do want engineers and tradesmen coming into their homes.	The risk is not being able to access the properties to carry out the remedial works or servicing as tenants or families are self-isolating. The risk of not being compliant with statutory testing against the risk of the spread of COVID 19 needs to be considered on a case by case basis. The elderly and vulnerable are most at risk as they are isolating for 12 weeks minimum.  Dwellings out of statutory compliance due to access being refused and the lack of available contractors/engineers. Potential increased risk from out of date checks.	Cllr James Evans Mark Davies	9	9	• Monitoring Contractors  08/04/2020 . as above • Tenant engagement  08/04/2020 .	Action In Progress Action In Progress	



COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0050	HOUSING: Lockdown restrictions (commencing 24.03.20) may lead to an increase in domestic violence and anti-social behaviour with a potential for civil unrest. (This may also increase demand for temporary accommodation)  Crosslinked with Social Services+ Adult Social Care (Please refer to COVID0049 for matters relating to homelessness).	Increased demand and need for temporary accommodation and support services (including Adult Social Care and Children's Services). Increased demand and need for social rented homes both immediately and in the future. Potential for civil unrest/community tensions. Increase in mental health issues. Increase in domestic violence. Reduction in safeguarding reporting.	<i>Cllr James Evans Andy Thompson</i>	9	9	<ul style="list-style-type: none"> <li>Monitor and control situation</li> <li>Work with C-SERT to support the community</li> </ul>	Control In Place Control In Place	
COVID0081	LIBRARIES Making up selections of books for a call-and-collect style service to readers from 6 libraries across Powys	Perceived inability to access service if not living in the catchment of one of the 6 libraries, creating potential for legal challenge under Public Library & Museums Act 1964, around provision of a comprehensive and efficient service for all persons desiring to make use thereof, and the recommended travel distances from a library as outlined in Welsh Public Library Standards framework. Inability to maintain effective call-and-collect service due to high levels of demand; later coronavirus surges creating further staff shortages; lack of budget/income to expand service (e.g. volunteer expenses). Potential for community spread of coronavirus (PHW guidance to be followed and there will be non-contact socially distanced approach to service delivery)	<i>Cllr Rachel Powell Kay Thomas</i>	9	6	<ul style="list-style-type: none"> <li>Working with partners and community volunteers</li> <li>Communications</li> </ul>	Action In Progress Action In Progress	16/06/2020 16/06/2020
COVID0059	Reduced reputation for the council if communications with stakeholders is poor	Reputation damage Inaccurate information being shared within the community Stakeholders loss of confidence in the council	<i>Cllr Graham Breeze Emma Palmer</i>	9	6	<ul style="list-style-type: none"> <li>Service areas to work with corporate communications team to ensure clear messages.</li> <li>Communication manager sits on Gold and Silver Command</li> </ul>	Action In Progress Action In Progress	26/06/2020 26/06/2020

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0027	Unable to Maintain Imprest Accounts	Vulnerable priority areas unable to make payments eg Social Care Clients	<i>Cllr Aled Davies</i> <i>Anne Phillips</i>	9	6	<ul style="list-style-type: none"> <li>Service areas to work with corporate communications team to ensure clear messages.</li> <li>Weekly printing and signing of cheques at County Hall</li> <li>exploring food vouchers and use of Pay Point</li> <li>Corporate Purchase Cards to make payments scanned and emailed evidence – being explored.</li> </ul>	Action In Progress	26/06/2020
COVID0074	WCCIS availability impacting services areas ability to carry out work during Covid 19 Pandemic	Service Areas unable to carry out essential work during out of hours and weekends. WCCIS availability is required 7 days a week at the moment.	<i>Cllr Graham Breeze</i> <i>Diane Reynolds</i>	9	6	<ul style="list-style-type: none"> <li>Steer change management</li> <li>Performance issues raised to Welsh Government through SBAR</li> </ul>	Action In Progress	17/07/2020
						02/06/2020 Careworks have agreed to make a read only version of the system available when live system is out.		
						Response to unplanned outages	Action Completed	
						02/06/2020 No further feedback from Service area in regards to additional Out of hours support required		
COVID0060	Reduced reputation for the council if pandemic is not managed well	Reputation damage Stakeholders loss of confidence in the council	<i>Cllr Graham Breeze</i> <i>Ness Young</i>	9	4	<ul style="list-style-type: none"> <li>Leader is doing weekly letter to Members, and frequent meetings are taking place with MP's / AM's</li> </ul>	Action In Progress	03/07/2020
						03/06/2020 Frequent meetings are taking place with MP's / AM's and the letters to Members are also being issued.		
						Business Continuity Plans invoked in response to pandemic	Action In Progress	26/06/2020
						The Council established strategic Gold and operational Silver coordination groups to manage pandemic response.	Action In Progress	26/06/2020
COVID0030	Closing of Accounts and Statutory publication of Statement of Accounts and Whole of Government Accounts Pension Fund Accounts - Failure to complete	unable to meet deadlines and qualified accounts	<i>Cllr Aled Davies</i> <i>Jane Thomas</i>	9	4	<ul style="list-style-type: none"> <li>Regular discussions with WAO and WG</li> </ul>	Action In Progress	30/06/2020
						03/06/2020 No change		
						Provision in place to enable formal notification if unable to meet deadlines	Action In Progress	30/06/2020
						Business Continuity Plan	Action In Progress	15/06/2020
						03/06/2020 Still on timetable		

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0046	Public highways become unsafe.	Injury to the public.	Cllr Heulwen Hulme Adrian Jervis	9	4	<ul style="list-style-type: none"> <li>Review resource daily</li> </ul>	Action In Progress	03/07/2020
						03/06/2020 Introduction of Track & Trace system give rise to potential further impact on resource availability.		
COVID0062	Out of hours and Careline service reduced service  Risk to Service Delivery due to 50% Temporary loss of staff on Customer Services Out of Hours contact Service	No response or longer wait times to emergency or urgent calls	Cllr Graham Breeze Diane Reynolds	9	4	<ul style="list-style-type: none"> <li>Carmarthenshire Business Continuity Plans</li> </ul>	Control In Place	
COVID0063	Customers Services Contact Centre 8.30 - 5 Mon- Fri Risk to Service Delivery due to 50% Temporary loss of staff on Customer Services Front end	Longer call wait times Lack of Telephony response Lack of ability to efficiently records Customer service requests on Back Office systems. Skills require extensive training that cant be easily redeployed	Cllr Graham Breeze Diane Reynolds	9	4	<ul style="list-style-type: none"> <li>Train or reskill other staff to fill the role in the short term</li> <li>Response Cell in place</li> </ul>	Action In Progress Control In Place	26/06/2020
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COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0008	LEISURE/SPORT As a result of the COVID-19 outbreak, residents and communities become sedentary, participation and activity levels decrease, people's health & well-being deteriorates (physical, mental, social & emotional). Sport & Active Development Team unable to deliver face to face activities, programmes, events, advice (including funding) and schemes	(i) Individuals, groups, pupils, communities, targeted provision, schools, clubs and athletes will experience a reduction / loss of service, physical activity and learning opportunities. (ii) Unless people are motivated, encouraged and engaged the levels of physical activity throughout the County will reduce. (iii) A reduction in physical activity may have a long-term impact on mental health. (iv) Social isolation will have a profound impact on communication, engagement and social interaction for many people. (v) Funding applications will be delayed causing recipients unable to re-start or initiate schemes, projects and activities when delivery returns to normal (vi) if people are inactive they may become sedentary long-term which would have a negative impact on the health and well-being of individuals, communities and groups.	Cllr Rachel Powell Jenny Ashton	8	6	<ul style="list-style-type: none"> <li>Virtual &amp; remote resources to be made available</li> </ul>	Action In Progress	06/06/2020
						<p>06/05/2020 <i>Virtual and remote resources are still being provided with new material being sourced and signposted as often as possible.</i></p> <ul style="list-style-type: none"> <li>Sport Wales funding for 2020-21 can be utilised flexibly during Covid-19</li> <li>Sport Development Team deployed to support Childcare Hubs</li> </ul>	Control In Place	
COVID0080	Contact Tracing	<p>1.Failure of Powys CC and Powys THB in partnership to deliver on the production of a fully functioning and suitable contact tracing system. Unable to fulfil obligations</p> <p>2.Failure to control the spread of COVID-19 in Powys resulting in need for further lockdown, knock on effect on economy, mental health, council resource etc..</p> <p>3. IT system not available on time to support the contact tracing as nothing is in place yet</p> <p>4.No funding made available from WG to support the delivery.</p>	Cllr James Evans Nigel Brinn	6	6			

COVID-19			Portfolio	Inherent	Residual	Controls and Actions		
Risk Ref	Risk Identified	Potential Consequence	Owner			Control or Action	Status	Review Date
COVID0024	Potential Insolvency of participating Pension Fund Employers	Where Powys County Council acts as the "Guarantor" via risk sharing then the liabilities fall back onto the Powys part of the Fund. Where there is no risk sharing, then the liabilities will fall onto the rest of the participating employers within the Fund, but Powys are 91% of the Fund, so it will fall mainly onto Powys, with the remaining 9% spread over the other 22 Employers.	<i>Cllr Aled Davies</i> Chris Hurst	6	6	• Risk Sharing Agreements and Bonds in place with the majority of Employers.	Control In Place	
COVID0033	CATERING + CLEANING Significant reduction of staffing due to self isolation	Ability to carry out catering/cleaning/support to where it is needed, due to insufficient staffing levels.	<i>Cllr Phyl Davies</i> Jason Rawbone	6	6	• Seek additional staffing support from redeployment list, Freedom Leisure has also offered cleaning staff support.	Control In Place	
COVID0042	First Aid Training Provision - ability and safety of front line staff to keep themselves and others safe following a first aid incident.	Ability to work safely and treat an incident or accident is diminished.	<i>Cllr Graham Breeze</i> Paul Bradshaw	6	6	• Alternative Renewal pathways in development - Elearning and bespoke in house course	Control In Place	
COVID0072	Inability to digitally communicate and provide a responsive Digital Powys Service in the event that Internet capabilities in the County/Country are affected.	Schools Service unable to educate pupils remotely. Council staff unable to effectively work at home. Council unable to deliver stable digital services to residents.	<i>Cllr Graham Breeze</i> Diane Reynolds	6	6	<ul style="list-style-type: none"> <li>• Funding for Transformation programme</li> <li>• Secure funding for post to assist residents n adopting the Digital transformation</li> <li>• Digital Strategy Objective</li> </ul>	Action In Progress	15/08/2020
COVID0020	Logistics problems	Food deliveries to homes & schools (if still open) Increased expense/security of supply	<i>Cllr Aled Davies</i> Vincent Hanly	6	4	<ul style="list-style-type: none"> <li>• Source food locally</li> </ul>	Action In Progress	30/06/2020
						03/06/2020 No change		

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