

## Audit Committee

---

Meeting Venue  
**Council Chamber - County Hall,  
Llandrindod Wells, Powys**

---

Meeting Date  
**Thursday, 14 February 2019**

---

Meeting Time  
**10.00 am**

---

For further information please contact  
**Lisa Richards**  
01597 826371  
lisa.richards@powys.gov.uk



County Hall  
Llandrindod Wells  
Powys  
LD1 5LG

7 February 2019

---

Mae croeso i chi siarad yn Gymraeg neu yn Saesneg yn y cyfarfod.  
Rhowch wybod pa iaith rydych am ei defnyddio erbyn hanner dydd, ddau ddiwrnod  
gwaith cyn y cyfarfod.  
You are welcome to speak Welsh or English in the meeting.  
Please inform us of which language you wish to use by noon, two working days  
before the meeting.

---

### AGENDA

<b>1.</b>	<b>ELECTION OF CHAIR</b>
-----------	--------------------------

To appoint a Chair for the period to the Annual Meeting of the Council in May 2019.

<b>2.</b>	<b>ELECTION OF VICE CHAIR</b>
-----------	-------------------------------

To appoint a Vice Chair for the period to the Annual Meeting of the Council in May 2019.

<b>3.</b>	<b>APOLOGIES</b>
-----------	------------------

To receive apologies for absence.

<b>4.</b>	<b>DECLARATIONS OF INTEREST</b>
-----------	---------------------------------

To receive declarations of interest from Members.

<b>5.</b>	<b>DISCLOSURE OF PARTY WHIPS</b>
-----------	----------------------------------

To receive disclosures of prohibited party whips which a Member has been given in relation to the meeting in accordance with Section 78(3) of the Local Government Measure 2011.

(NB: Members are reminded that under Section 78 Members having been given a prohibited party whip cannot vote on a matter before the Committee.)

<b>6.</b>	<b>MINUTES</b>
-----------	----------------

To authorise the Chair to sign the minutes of the previous meeting held on 16 November 2018.

(Pages 3 - 10)

<b>7.</b>	<b>CLOSURE OF ACCOUNTS</b>
-----------	----------------------------

To consider the report of the Head of Financial Services.

(Pages 11 - 12)

<b>8.</b>	<b>RISK MANAGEMENT</b>
-----------	------------------------

To consider the report of the Risk Management Officer.

(Pages 13 - 22)

<b>9.</b>	<b>INTERNAL AUDIT</b>
-----------	-----------------------

To consider the SWAP Quarter 3 2018/19 Activity Report.

(To Follow)

<b>10.</b>	<b>IMPLEMENTATION OF FINANCE SYSTEM</b>
------------	---

To receive an oral update on the implementation of the new finance system.

<b>11.</b>	<b>FINANCE PANEL</b>
------------	----------------------

To appoint three members of Audit Committee to sit on the Finance Panel, one of whom must be the Lay Member.

<b>12.</b>	<b>INTERNAL AUDIT WORKING GROUP</b>
------------	-------------------------------------

To appoint three Members to join the Chair and Vice Chair on the Internal Audit Working Group.

<b>13.</b>	<b>WORK PROGRAMME</b>
------------	-----------------------

To consider the forward work programme and whether any additional items should be included.

(Pages 23 - 24)

## MINUTES OF A MEETING OF THE AUDIT COMMITTEE HELD AT COMMITTEE ROOM A - COUNTY HALL, LLANDRINDOD WELLS, POWYS ON FRIDAY, 16 NOVEMBER 2018

### PRESENT

County Councillors J G Morris (Chair), M Barnes, B Baynham, J Charlton, E Durrant, M J Jones, K Laurie-Parry, K Lewis, D A Thomas, E Vaughan and Mr J Brautigam

Cabinet Portfolio Holders In Attendance: A W Davies

Officers: Jane Thomas, Head of Financial Services, Stephen Caple, Deputy Head of Financial Services, Caroline Evans, Risk Management Officer and Wyn Richards, Head of Scrutiny Services

Other Officers In Attendance: Messrs P Pugh and A Veale, WAO

<b>1.</b>	<b>APOLOGIES</b>
-----------	------------------

Apologies for absence were received from County Councillors County Councillors L V Corfield, M J Dorrance, D R Jones, P E Lewis, WD Powell, R G Thomas, T J Van-Rees, A Williams and J M Williams

<b>2.</b>	<b>DECLARATIONS OF INTEREST</b>
-----------	---------------------------------

There were no declarations of interest.

<b>3.</b>	<b>DISCLOSURE OF PARTY WHIPS</b>
-----------	----------------------------------

There were no disclosures of party whips.

<b>4.</b>	<b>MINUTES</b>
-----------	----------------

The Chair was authorised to sign the minutes of the previous meeting, held on 12 September 2018, together with the joint meetings of Audit Committee and Pensions and Investment Committee on 6 September and Audit Committee and the Finance Scrutiny Panel on 24 October 2018, as correct records.

<b>5.</b>	<b>WAO - ANNUAL IMPROVEMENT REPORT</b>
-----------	--

#### Documents:

- WAO Annual Improvement Report 2017-18
- Report of the Leader and Deputy Leader
- Draft Annual Performance Report 2017-18

#### Discussion:

- The report provided a summary of work completed in the Audit year 2017/18

- There was an acknowledgement that the Council had been through a difficult period and this was reflected in the report
- The Statutory Recommendation that had been issued was reiterated
- The key messages were that the Council had to move forward and do so quickly and with pace and energy
- An Audit Programme for the year has been agreed and reports will come forward in due course
- The WAO were questioned as to why there were no recommendations aligned to the comments regarding bullying and harassment. The Fairness and Dignity at Work Policy had been withdrawn. However, there had been a previous report on Whistleblowing and the Council had improved from the time of that recommendation. An existing recommendation is in place and this provides the mechanism for review at any time. The WAO suggested that the Committee may wish to consider inviting an officer to attend Committee to report on progress made. Clarity was required as to whether the Policy included Members.
- The Committee asked the Portfolio Holder what progress had been made in dealing with the Statutory Recommendation – the Portfolio Holder confirmed that a considerable amount of work had already taken place and budget planning had begun immediately the current year's budget had been approved. A Panel comprising himself, the Leader, Chief Executive and Head of Financial Services was reviewing all savings proposals. Challenge had been provided and some proposals were being reviewed by the service. Eventually, these proposals would be considered by the Finance Scrutiny Panel.
- The WAO commented that considerable effort had been put into the Medium Term Financial Strategy (MTFS) but there was a need to see a longer term view. A short term outlook did not encourage longer term planning. The Council must address the transformation programme to address the medium and longer term.
- It was noted that the report was historic and it was questioned how this report could help the Audit Committee. The Portfolio Holder advised that the Authority responds to individual reports as they are released and the WAO will form a view on those responses.
- Two amendments to policies were benefitting the Authority. Firstly, adjustments to the Minimum Revenue Policy and secondly the use of Capital Receipts. These are being used to support the revenue budget in the next two to three years but it was essential that planning take place to address the period beyond that. It was suggested that the use of these funds should be directed towards transformation projects. The Head of Financial Services responded that robust plans had been in place which had been affected by the requirement for significant investment in social care late in the previous year. It was critical that a four to five-year plan be developed which was robust in the longer term and work would commence as soon as the 2019/20 budget had been agreed. Members suggested that this had been proposed for some time and were concerned that work was only now starting on the longer term plan. Assurance was needed that this was in hand and that Members would be aware of what was happening in the future.
- The Portfolio Holder for Finance advised that the MTFS was in draft form but that budgeting for the current year needed to be incorporated within it.

However, there was a plan which identified challenges and provided a direction for the future.

- The WAO reiterated the need to develop a transformation and change programme. The budget has been balanced through the use of technical adjustments and windfalls. Different ways of working were needed and it was acknowledged that difficult decisions regarding what will be provided in the future will need to be made. Transformation is key and will take time to implement.
- The Portfolio Holder reminded Members that there would be a Members Budget Seminar on 20 November 2018
- A member seminar was also to be arranged on the proposed scrutiny structure. A number of Members had had concerns that the existing process had not permitted adequate oversight of the budget setting process.
- Members were aware that there had been a wish to develop three and five year plans but that there had been consistent failures to deliver savings. If this fails in the first year there is a significant impact on years two and three.
- It was considered that the statement in the Annual Audit Letter and the Statutory Recommendation amounted to the same issue – was this not addressed adequately at the first stage? The Head of Financial Services advised that the recommendation had been received too late in that financial year and the budget plan was already in place. Only 70% savings were being achieved. The budget for 2019/20 could see the removal of £3.9M of unachieved savings if approved. The new process was thought to be more robust. Business cases and Impact Assessments have been provided for all savings proposals. Some of the remaining savings have been replaced and those that are left will be achieved in future years. There are proposals for a more detailed savings report to be delivered to Cabinet on a quarterly basis.

County Councillor B Baynham arrived at 10.40

- It was noted that difficult decisions would need to be made and that some may be politically difficult to deliver. The Authority will look very different going forward, as will other local authorities. The status quo is not an option but it was important to manage change. There needed to be an understanding and an acceptance that some services may no longer be deliverable. Members reminded the Committee that often there was pressure on politicians and that proposals must be discussed as early as possible. It was suggested that officers should use politicians to deliver the proposals and work with communities. Transformation must be communicated to communities and a goal must be in sight. The Portfolio Holder emphasised that expectations in communities should not be raised and that a realistic approach should be taken.

**Outcome:**

- **The report was noted**

<b>6. WAO - REVIEW OF SCRUTINY</b>
------------------------------------

**Documents:**

- WAO Overview and Scrutiny – Fit for the Future?
- Management Response

**Discussion:**

- The review of scrutiny had been considered by the Joint Chairs and Vice Chairs Steering Group and both scrutiny committees
- The findings of the report were recognised and the Authority must now move forward
- A revised scrutiny structure was currently being considered. The Scrutiny Development Board and Democratic Services Committee had devised and amended a structure which would be considered at a Member seminar in the new year and by County Council in January 2019.
- The dates contained within the Management Response will be amended by one month to accommodate the need for wider consultation of the new structure before consideration by County Council
- Members asked whether more use could be made of Skype for meetings. The Scrutiny Manager advised that the Welsh Government was addressing the issue of remote attendance and legislation (Local Government and Elections (Wales) Bill) was expected in February 2019. However remote attendance was restrictive under current arrangements. Skype and the congress system were not compatible which added to the challenges. Working Groups can be carried out via Skype and further development will be taking place.
- It was suggested that information needed to be collected from local, ward meetings to inform the process and ensure public engagement. There was a need to be more innovative although resourcing issues were acknowledged.
- Good forward work programming and an appropriate balance between pre and post decision scrutiny was also required

**Outcomes:**

- **The Management response to the WAO report was agreed subject to amendment of the dates to allow for wider consultation on new arrangements**

<b>7. CLOSURE OF ACCOUNTS</b>
-------------------------------

**Documents:**

- Report of the Head of Financial Services

**Discussion:**

- The Statement of Accounts had been published ahead of the deadline
- Next year, the draft Accounts will need to be available by 15 June and the final Statement of Accounts published by 15 September. The following year, the dates will be brought forward again with draft Accounts required by the end of May and final Accounts by the end of July.

- A new finance system is to be implemented by year end which will add to the challenges of early closing

**Outcomes:**

- **The report was noted**

<b>8. FINANCIAL OVERVIEW AND FORECAST AS 30 SEPTEMBER 2018</b>
--

**Documents:**

- Report of the Portfolio Holder for Finance

**Discussion:**

- A larger overspend at year end was being forecast at the end of September than had previously been reported
- The Committee sought assurance around savings proposals
- There has been a relaxation in the use of capital receipts and officers were asked if it was possible to use these retrospectively for the period of the Directive? £2.6M had been used and this was made up of both in year and retrospective receipts. A further question was raised that if an asset had been disposed of since April 2016, would this have been capitalised or accounted for in a different way. A report would be submitted to Cabinet shortly. The WAO commented that it would be difficult to go back to previous years to alter the way in which the receipt was accounted for and that the guidance should be checked.
- The Committee had been advised that a Capital Receipts Policy would be available for the next meeting of the Finance Scrutiny Panel – Members asked whether this would detail potential capital receipts and actions for asset disposal including the County Farms Estate. It was confirmed that the Farms Policy had sufficient flexibility for assets to be considered for disposal. There was also a general policy and it must ensure that guidance is adhered to. The Portfolio Holder stated that policies should be flexible. However, using capital receipts now would lead to higher borrowing in the long term. There would be an impact on the revenue budget and Members should be aware of the consequences. It was noted that the revised Minimum Revenue Policy would have a similar effect.
- Members were concerned at the projected reduction in the level of reserves. The level was still within the limits agreed by Cabinet.
- The report details budget levels by directorate but transformation costs are attributed to central activities – will this always be the case? The Head of Finance informed Members that the Management of Change budget was held within central activities and would be reported there for the time being until such time as transformation occurs within services
- The Committee remain concerned that balancing the budget has been due to windfalls and that this cannot be relied upon. There has been a reduction in the projected overspend but this is due to an injection of funds. The projected overspend within Children's Services has increased by a further £500K. Schools delegated budgets are also causing concern and concern was expressed that parents are being relied upon to fund activities within schools.

- The Portfolio Holder for Finance reminded the Committee that the Funding Formula is being reviewed – there may be some schools who will win, others may lose. Transitional arrangements are to be put in place.
- The WAO noted the discussion regarding the budget by the Finance Scrutiny Panel but reminded the Committee that the long term position was key. Reserves can only be spent once. The need for pace and change was reiterated. The Authority cannot continue postponing strategic decisions otherwise reserves will be further eroded. It is unlikely that the financial position will improve in the next few years. The easy decisions have already been made.

**Outcomes:**

- **The report was noted**

<b>9.</b>	<b>CAPITAL REPORT</b>
-----------	-----------------------

**Documents:**

- Report of the Portfolio Holder for Finance

**Discussion:**

- At the end of September, expenditure was 50% (including commitments)
- In previous years, expenditure has lagged behind target but this year expenditure is on target and will continue to be monitored
- The Committee noted that expenditure on WHQS was only 25% and this raised concerns of poor performance

**Outcomes:**

- **The report was noted**

<b>10.</b>	<b>RISK MANAGEMENT</b>
------------	------------------------

**Documents:**

- Report of the Risk Management Officer
- Corporate Risk Register
- Heat Map
- Risk Assessment Matrix

**Discussion:**

- The report covered the first quarter of 2018/19
- It was acknowledged that there were too many corporate risks. There were currently 28 which was unmanageable
- Some of these risks would be more appropriately dealt with at a service level
- The Risk Register has been reviewed and a report will be submitted to Cabinet for approval
- It is proposed to rebrand the Register as the Strategic Risk Register



- An automated system is being rolled out with training being provided. There will be training for Members who will have access to live data at any given time
- The Committee had previously discussed Risk ASC19 which was deemed to be catastrophic. The increase in older persons may not be reflective of placements required. Whilst the difficulties in recruiting are known, this will not be in the current year. Therefore, the Committee considered that the risk was not catastrophic.
- The issue of recruitment was one for the whole organisation. Other organisations were not experiencing the difficulties in recruitment and further evidence was required.
- A number of risks had not moved and the Committee may wish to question the mitigating measures that have been put in place
- Members also commented on Brexit. The WAO reported that the Auditor General would be undertaking some work on the preparedness of Local Authorities for Brexit.

**Outcomes:**

- **That the report be noted**

<b>11. NEW FINANCE SYSTEM PROJECT IMPLEMENTATION</b>
--

The Deputy Head of Financial Services briefed Members on progress achieved in implementing the new finance system:

- Purging of data on the current system is nearly complete
- A test system is up and running
- The current year's budget has been loaded
- Workshops with officers will commence shortly
- The functionality of the system will be tested commencing in December
- The new system will be set up after Christmas
- A strategy for communication to end users has been devised together with general communication to all staff

<b>12. TREASURY MANAGEMENT</b>
--------------------------------

**Documents:**

- Report of the Portfolio Holder for Finance

**Discussion:**

- There was little change to report
- The report was in line with reporting requirements and outlines the strategy followed
- The Authority is well within borrowing limits
- In response to a question regarding KPIs, the Head of Financial Services reported that the Right First Time Project was ongoing in an attempt to drive out inefficiencies. Although there have been improvements, this was not yet to a satisfactory level. The financial penalties of inaccuracies will

be imposed on those service areas. It was estimated that currently £100K of staff time was used each year to correct errors in service areas.

**Outcomes:**

- **The report was noted**

<b>13.</b>	<b>WORK PROGRAMME</b>
------------	-----------------------

**Documents:**

- Work Programme as at 6 November 2018

**Outcomes:**

- **The work programme was noted**

<b>14.</b>	<b>CORRESPONDENCE</b>
------------	-----------------------

There were no items of correspondence.

**County Councillor JG Morris (Chair)**

**CYNGOR SIR POWYS COUNTY COUNCIL****AUDIT COMMITTEE****14th February 2019****REPORT AUTHOR: Jane Thomas, Head of Financial Services****SUBJECT: Closure of Accounts**

---

**REPORT FOR: Information**

---

**1. Introduction**

- 1.1 Committee will be aware that the Statement of Accounts for 2017/18 were issued an unqualified audit opinion by the Auditor General and approved by the Audit Committee on the 12<sup>th</sup> September. The accounts were then published on the public website before the statutory deadline of 30<sup>th</sup> September 2018.
- 1.2 The closure of accounts process and completion of the Statement of Accounts for 2017/18 was delivered under a project management approach. The approach has been adopted for 4 years and has led to continued improvements both to the quality of the draft financial statements and the information available to support them. This was recognised within the ISA260 report presented by Wales Audit Office to Committee on 12<sup>th</sup> September 2018.
- 1.3 The project management approach will continue for the 2018-19 closure of accounts and look to build on the improvements made in previous years.

**2 Project Update**

- 2.1 The project plan for 2018-19 has been formulated. Areas of improvement highlighted by Wales Audit Office (WAO) in the ISA260 and in the Accounts Memorandum to management have been included. The members of the project working group have also fed back as part of the post project review of the 2017-18.
- 2.2 The statutory deadline for the draft accounts is 15<sup>th</sup> June 2019, two weeks earlier than in previous years. Meetings with WAO are regular and tasks are being identified that can be completed and audited earlier. WAO will look to undertake sampling exercises before the year end to reduce the time spent auditing after the draft has been completed.
- 2.3 CIPFA have issued guidance on streamlining the accounts. This includes reviewing notes for materiality and reviewing accounting policies so that only those that are important and relevant are retained. The guidance also considers the presentation and layout of the accounts document. Proposals will be put forward to WAO with a view to reducing the number of notes within the accounts.

2.4 In February, officers will attend CIPFA host accounting workshops focused on closing the Authority and Pension Fund accounts. The focus of these days is to emphasise any Code changes and to provide a forum for issues raised around the country by the various audit teams and practitioners as well as highlighting good practice.

Recommendation:	Reason for Recommendation:
That Audit Committee notes the contents of the report.	To continue the improvement in accounts closure and that the continuing use of project management principles is endorsed for the closure and audit of the 2018/19 accounts.

Contact Officer Name:	Tel:	Email:
Jane Thomas	01597 826341	jane.thomas@powys.gov.uk

**CYNGOR SIR POWYS COUNTY COUNCIL.****AUDIT COMMITTEE****14<sup>th</sup> February 2019****REPORT AUTHOR: Corporate Policy, Assurance and Inspection Officer****SUBJECT: Corporate Risk Register Report Quarter 2 2018/19**

---

**REPORT FOR: Discussion / Information**

---

**1. Summary**

The Council is in a process of continuously improving and updating its approach to risk management to help better understand and manage the risks the Council is facing, and to increase the likelihood of achieving its objectives. Risk management is a core management discipline that supports organisational delivery. The risks that Powys County Council face are changing all the time, so the art of good risk management is to combine planning for what we know might happen with preparation for unknown situations, and to safeguard the organisation and in turn make it more resilient.

**2. Risk Management Improvement**

Risk management within Powys County Council has been reviewed, and has undergone internal audit by South West Audit Partnership (SWAP). An improvement action plan has been devised by the former Business Continuity and Risk Management Officer. This has been agreed by the Acting Director – Resources, and SWAP, and will now be implemented by the Corporate Policy, Assurance and Inspection Officer.

The electronic risk management software (JCAD Core) was agreed by Executive Management Team / Heads of Service, and is currently being rolled out across the organisation on a phased approach. Users for each service are being identified, and guidance and training is being rolled out to those users. The system will promote greater ownership of risks, as services will be required to update their risk registers themselves. Challenge and support to services on their risk registers will still take place on a quarterly basis.

Reporting will be much less onerous using JCAD, with the ability to generate reports at the touch of a button.

**3. Corporate Risk Register**

The corporate risk register had previously become too large and unwieldy, and this removes focus, and the ability to effectively manage the Council's key

risks. In light of this, a review of the risk register was completed by the Leader and the Corporate Policy, Assurance and Inspection officer. As a result of this review, a number of risks were proposed for de-escalation to service level, to ensure a fit-for-purpose corporate risk register, which is able to ensure the adequate management of risk, and safeguard the Council.

Below is a summary of the completed review: -

Risks proposed to be de-escalated to service level	15
Risks proposed to be deleted	1
<b>Risks proposed to remain on the corporate risk register</b>	<b><u>12</u></b>
<b>TOTAL NUMBER OF RISKS</b>	<b><u>28</u></b>

Cabinet approved the risks proposed for de-escalation to service level, and as a result, the risk register has reduced from 28 risks to 12 risks. Cabinet oversight of the de-escalated risks will remain, as part of the quarterly performance review meetings, where service risk registers are reported to Director and Portfolio Holder(s).

#### **4. Re-branding**

The ‘corporate risk register’ has been re-branded as the ‘strategic risk register’. This should provide greater clarity for all, and ensure that only risks which will have a strategic impact, or which require strategic input to mitigate, will be escalated to the corporate / strategic risk register, and will ensure that the strategic risk register remains a concise document which is fit-for-purpose moving forward.

#### **5. Statutory Officers**

- 5.1 Section 151 Officer – “The 151 Officer notes the content of the report.”
- 5.2 Monitoring Officer – “The Deputy Monitoring Officer notes the legal comment and has nothing further to add.”

#### **6. Future Status of the Report**

- 6.1 Not applicable.

<b>Recommendation:</b>	<b>Reason for Recommendation:</b>
<b>That Audit Committee notes the changes to the risk register and the current risks faced by the organisation.</b>	<b>To ensure the adequate management of risk, and safeguard the Council</b>

<b>Relevant Policy (ies):</b>	
<b>Within Policy:</b>	<b>Y / N</b>
<b>Within Budget:</b>	<b>Y / N</b>

<b>Relevant Local Member(s):</b>	<b>N/A</b>
----------------------------------	------------

<b>Person(s) To Implement Decision:</b>	<b>N/A</b>
<b>Date By When Decision To Be Implemented:</b>	<b>N/A</b>

<b>Contact Officer Name:</b>	<b>Tel:</b>	<b>Fax:</b>	<b>Email:</b>
Caroline Evans	01597826171		caroline.evans@powys.gov.uk

**Background Papers used to prepare Report:**

<b>Relevant Policy (ies):</b>	
<b>Within Policy:</b>	<b>Y / N</b>
<b>Within Budget:</b>	<b>Y / N</b>

<b>Relevant Local Member(s):</b>	<b>N/A</b>
----------------------------------	------------

<b>Person(s) To Implement Decision:</b>	<b>N/A</b>
<b>Date By When Decision To Be Implemented:</b>	<b>N/A</b>

<b>Is a review of the impact of the decision required?</b>	<b>Y / N</b>
<b>If yes, date of review</b>	
<b>Person responsible for the review</b>	
<b>Date review to be presented to Portfolio Holder/ Cabinet for information or further action</b>	

Contact Officer: Caroline Evans Tel: 01597 826171 Email: caroline.evans@powys.gov.uk
--

**Background Papers used to prepare Report:**

CABINET REPORT TEMPLATE VERSION 6



15	Escalated to service level
1	Deleted
12	Remain on strategic register
28	

Risk Ref	Corporate or Service	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Current Controls	Risk Owner	Portfolio Holder	Proposed Further Actions / Controls			Residual Risk		Notes		
							P	I				Risk Rating	P	I	Risk Rating				
ASC9	Service	15/07/2015	SIP	Adult Social Care	The Council's ability to recommission the Domiciliary Care Service without increased costs as a result of Dynamic Purchasing System (DPS).	Domiciliary Care Service fails, leaving service users at risk. Reputational and financial impact / damage. The Council would not be providing domiciliary care services according to procurement regulations. Increase in spend on Domiciliary Care.	M	C	High	8	Progressive rollout. Engagement with providers via contract management process. Action Plan & Accountability Framework. Action within SIP. Portfolio Holder delegated decision report was agreed for Domiciliary Care Framework Options (July 2017). Market position statement will lead into a Domiciliary Care Strategy. Implement approved provider list. Currently developing the DPS which will aim to manage costs by adopting floor and ceiling prices.	Alison Bulman	Cllr Stephen Hayes	Improved working arrangements with PAVO to support and build capacity in the third sector; Move from traditional provider / commissioner relationship to co-production with stakeholders; Develop outcome based commissioning. Integrated approach with PTHB to design a joint domiciliary service model. Revisit Adult Scrutiny Group with further proposals on the DPS.	L	H	Medium	3	
CR17	Service	22/01/2016	SMT	Corporate	Living wage and increased pension requirements are resulting in increased financial pressure.	Additional financial implications; Some ASC providers may remove provision; Inability to meet statutory requirements; Unaffordable within current budget.	H	C	High	12	- Working with ASC providers to understand increased cost pressures - Funding identified for 2017/18 in the budget process - Identify capacity issues - All change projects allocated a project manager - Regular budget monitoring - ICF money from WG to engage with Work undertaken with Vanguard	David Powell	Cllr Aled Davies	Continuation of existing controls.	L	C	Medium	4	
ASC14	Corporate (S22)	14/09/2015	CEO	Social Services	Continuity of provision / availability of WCCIS, due to system and network issues	- Inability to access client files - Clients at risk as files do not contain the most up-to-date information - Continuity of reporting - Loss of data - Reduction in staff capacity - Impact on staff morale	H	H	High	9	- Ongoing support from ICT - Support post implementation benefit release of the National WCCIS system. Some data will become available beginning of November 2017 enabling reporting and practice. - Work is ongoing to utilise different packages within WCCIS, and work is ongoing with the Business Intelligence team to draw accurate information as required.	Alison Bulman	Cllr Stephen Hayes	- Delivery plan for the proposed WCCIS finance module - Business Intelligence working on data reporting and performance measures from WCCIS	H	H	High	9	
CG1	The MO has said that this is not a risk to the Council, and should therefore be removed from the risk register	Prior to 2014	SIP.L.V2	Legal	Failure of governance.	- Council acts ultra vires - Contravenes finance regulations and EU procurement regulations	M	M	Medium	4	All work is report based and there is a mechanism in place by which appropriate checks are made - two checks are made by Finance and two checks by Legal (Section 151 Officer and Monitoring Officer).	David Powell	Cllr Aled Davies	ModernGov Phase 2 project started. Input required from company to provide training. Will be piloted with one service initially. This will insist on timely provision of reports and will send reminder emails to the appropriate officers; Programme Governance Action Plan - spot audits of Programme Boards; Audit of Programme Board governance; Regulatory Reports.	L	M	Low	2	The software is extensively used by WG and automatically sends reminder emails to officers.
CR1	Corporate	21/11/2012	Risk Register 21/11/12 12.100	Corporate	The Council is unable to manage the level of financial cuts required by the Welsh Government and the relatively poor funding position	- The Council incurs significant overspend - Projected budget will suffer an overspend - Penalties and fines may be imposed - Council reputation damaged	H	H	High	9	- Medium Term Financial Strategy - 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 - Budget Management Reserve - Impact Assessments - Resource Delivery Plan - Panel made up of Leader, Deputy Leader, Chief Executive, Deputy Chief Executive and Head of Financial Services	David Powell	Cllr Aled Davies	Re-establishment of the Income & Cost Improvement Board.	M	H	Medium	6	

Risk Ref	Corporate or Service	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk			Current Controls	Risk Owner	Portfolio Holder	Proposed Further Actions / Controls	Residual Risk			Notes		
							P	I	Risk Rating					P	I	Risk Rating			
CR6	Corporate	21/11/2012	Risk Register 21/11/12 12.90	Corporate	Lack of adequate resilience planning	- Non-compliance with Civil Contingencies Act (CCA) 2004 - Failure to deliver critical services in the event of a declared emergency or event - Disruption to business as usual activities	M	H	Medium	6	- Education and training programme - Business Continuity Management (BCM) Group - Service Business Continuity Plans (BCP) - Corporate BCP - Major Incident Plan - Self-evaluation of BCM incorporated into SIP process - PCC representation on Dyfed Powys Local Resilience Forum (LRF) - 24/7 Duty Emergency Planning Officer to facilitate PCC response	Nigel Brinn	Clr Aled Davies	- Continual engagement with BCM Champions via quarterly Business Continuity Group - Services to continue to develop and test their BCPs - External Education and Training with LRF Partners to ensure Integrated Emergency Management (IEM)	L	M	Low	2	
CR10	Corporate (Incorporated E1 & CR14)	21/11/2012	Risk Register 21/11/12 12.97	Corporate	Lack of a robustness risk assessment process for the management of Health and Safety across the organisation, to ensure compliance with the Health and Safety at Work Act	- Injury to individuals (staff and public) - Exposure to litigation - Breach of legislation	H	M	Medium	6	- Health and Safety meetings, reviews, training and audit - Public liability insurance - Management Team (MT) briefing cascaded to ensure learning is understood by all staff responsible for H&S	Mark Evans	Clr James Evans	- Full review of risk assessments to be undertaken by all Service Areas - Risk assessment audit process currently being reviewed by H&S team - Strategic Outline Plan for 21st Century Schools and Capital Investment Programme - Revision of Schools Service Asset Management Plan	M	M	Medium	4	
E1	Service (Corporate risk merged with CR10)	Prior to 2014	SIP	Environment Directorate	The authority does not have a sufficiently robust risk assessment process for the management of Health & Safety (H&S) across the organisation. In addition to this, due to nature of the work carried out in HTR, considerable reliance is placed on the workforce to deliver services safely, in the interests of both staff and public.	Injury to individuals and risk to the Authority; People could be seriously or fatally injured; Exposure to litigation.	H	H	High	9	- Health and Safety meetings, reviews, training and audit - Public liability insurance - Procurement - external contractors risk statements - monitoring - Promotional campaign for risk assessment for staff across the authority completed w/e 26/05/2017 - Staff bulletin issued - Management Team (MT) briefing cascaded to ensure learning is understood by all staff responsible for H&S	Nigel Brinn	Clr James Evans	- Continually review robust site supervision and monitoring processes internally and externally with contractors - Full review of risk assessments to be undertaken by all Service Areas - Risk assessment audit process currently being reviewed by H&S team - H&S to be included within IPRs - MT considering sufficiency of current mechanism for managing H&S	M	H	Medium	6	
ICS1	Corporate	Prior to 2014	SIP.JCT.?	ICT and Programmes	Loss of use of, or access to ICT systems, due to a cyber-crime attack or other issue, as current ICT systems are not being covered by a fully resilient Disaster Recovery Solution (Infrastructure and Policies / processes).	Failure to maintain key ICT services in the event of a major incident.	H	H	High	9	- Close working with Microsoft and Platform Consultancy to explore utilising the latest cloud services to provide both a backup solution and disaster recovery solution, and ability to instantly power up all replicated servers in the cloud - Microsoft Data Protection Manager will perform nightly backups to on-site storage, this will then be replicated as an off-site back for long-term storage	Mark Evans	Clr James Evans	- Replacement of existing systems - Fire prevention for server rooms - Second link from a second site within the North of the County to replicate systems - New systems which are purchased require cloud hosting capability - SLA discussions will also impact the solutions - Engagement with external provider to identify and provide a suitable BC solution	H	H	High	9	
PPPP12	Corporate	11/12/2015	HoS	Property, Planning & Public Protection	We have identified CE1M of health and safety works (electricals, sewerage systems, asbestos etc.) that need to be undertaken on the 139 Farm Houses in our estate.	Financial and reputational risk to the Council if the remedial works are not undertaken.	H	H	High	9	A further £500k capital identified to undertake work in 2018/2019, which will be rolled out on a priority basis. With request for a further £500k rejected by Cabinet.	Nigel Brinn	Clr James Evans	- Rolling programme of works - Funding for the urgent works has been dealt with as part of the Council's overall budget setting process - £500k capital works (urgent works) has been completed - Programme developed for the next 2 years to address the highest priority cases - Underspend from 17/18 rolled forward to 18/19	M	H	Medium	6	Programme developed for £500k spend for 2018/2019.
CR14	Service (Corporate risk merged with CR10)	13/01/2015	SMT	Corporate	Condition and security of buildings, premises and sites.	<ul style="list-style-type: none"> <li>Breach of Equalities legislation;</li> <li>Failure to comply with H&amp;S legislation;</li> <li>Failure to be able to provide services in a suitable way to the public, and accommodation which is suitable for staff.</li> </ul>	M	H	Medium	6	Strategic review of office accommodation in progress.  Schools Review of Special Schools; 21st Century Schools Programme (prioritised according to pupil vulnerability); A new Schools Service Major Improvement Programme Scoring and Prioritisation criteria was agreed by Cabinet 3/3/15, and it was also agreed a spend of £1m per year for the next three years.	David Powell	Clr Phyl Davies	Strategic Outline Plan for 21st Century Schools and Capital Investment Programme; Revision of Schools Service Asset Management Plan including:- <ul style="list-style-type: none"> <li>Revision of SLAs as part of JVC (incorporating Property Plus);</li> <li>Defined Client side role;</li> <li>Develop robust SLA with clearly defined roles;</li> <li>Develop a commissioning model;</li> <li>Understanding of how work is commissioned.</li> </ul> Health & Safety Officer carrying out a rolling programme of audits. Further guidance to be issued to schools in September relating to Health & Safety and Safeguarding.	L	H	Medium	3	

Risk Ref	Corporate or Service	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk			Current Controls	Risk Owner	Portfolio Holder	Proposed Further Actions / Controls	Residual Risk			Notes	
							P	I	Risk Rating					P	I	Risk Rating		
CR15	Service	25/01/2016	PCC Welfare Reform Advisory Group	Business Services	The welfare reform programme against a backdrop of changing legislation and roll out of Universal Credit has likelihood of large impact on Powys citizens, in addition to HRA income. Access to IT equipment. Resourcing issue, particularly in Libraries.	Customers having less income and requiring support to adjust; Resilience of service to continue to provide additional service as UC increases; In subsidy audit potential penalty imposed; Rent collection rates drop, resulting in a loss of income for the HRA; Inability to implement change requirements and provide the expected service within the Government set framework and targets.	V H	M	High	8	Provide financial advice. Administer discretionary housing payments (DHP) to people who are unable to manage their housing costs (WG allocated fund); Steering Group chaired by Portfolio Holder; Communication and money advice to support people; Financial advisers employed. Digital support being provided (training to staff). Establishment of Operational Group within Powys to co-ordinate activities of joint communications plan, joint training plan. Support from DWP - training, help with launches (Joint Powys & DWP introductions).	Mark Evans	Clr Aled Davies	Financial profiling of tenants; Using Shire meetings to notify members; Discussions around working with Credit Unions to mitigate potential loss of income; Lessons learned via UC LA Group; Training provided to all support staff within Council; Template for work plans to be developed; Additional admin support to be used; Stakeholder event meeting.	H M	Medium	6	Universal Credit will be rolled out in Powys by October 2018. Resource issue - however two new officers will working on a part-time basis to ensure work is completed.
CR16	Corporate	07/07/2016	Audit Committee	Corporate	The impact on the Council as a result of Brexit	- Interest rates - Negative impact on investments - Negative impact on pension fund - Wider economic impact - Negative impact on exchange rates - Loss of European funding grants	H H	H	High	9	- Close monitoring - Cabinet briefed - Advice from pension advisers - Continue to work with WEFO - Brexit Working Group established	Mark Evans	Clr Aled Davies	- Continue to monitor economic indicators - Ongoing dialogue with external advisers	H H	High	9	
ICS8	Corporate risk merged with ICS1	13/01/2016 (Revised 03/04/2017)	ICT SMT	ICT and Programmes	Failure to control and secure ICT systems and data against unauthorised access including Cyber-crime attack.	Corrupt data resulting in data loss. Corrupt machines resulting in system down time. Loss of internet access resulting in reputational damage. Financial consequences if we were held to ransom.	V H	H	High	12	Anti-virus software. Anti-malware software. Anti-spam software on email system. Firewalls. Security controls in place and continuously reviewed. Secure copies of data kept in the cloud to allow restoration of systems. Staff awareness of ICT security via e-learning.	Mark Evans	Clr James Evans	ICT Governance reviewed and has directed a new BC to be authorised based on the results of field testing conducted on 3 products. Currently evaluating a product. Resilient systems to be implemented to allow delivery of ICT systems if main site compromised. Review to be undertaken of the NCS 10 Steps to Cyber Security, to include: - 1. Risk Management Regime; 2. Network Security; 3. User education and awareness; 4. Malware prevention; 5. Removable media controls; 6. Secure configuration; 7. Managing user privileges; 8. Incident management; 9. Monitoring; 10. Home and mobile working. Patching (updating software to ensure they have no vulnerabilities). Implementation of Government Cyber Essentials accreditation.	M H	Medium	6	Linked to CR19.
HTR2	Service	2014	SIP	Highways, Transport & Recycling	Meeting the requirement of the MTFs, including achievement of savings and income generation targets. Noting the Transformation stretch target of £1.0m and the unfunded service pressures.	Financial implications for the Authority - budget will suffer an overspend. Impact on other services / functions.	H H	H	High	9	Regular review through the MTFs and corporate governance; Programme and Project Boards; Finance report to Cabinet	Nigel Brinn	Clr Phyl Davies	Monitoring and reporting through corporate financial processes and systems	H H	High	9	

Risk Ref	Corporate or Service	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk			Current Controls	Risk Owner	Portfolio Holder	Proposed Further Actions / Controls	Residual Risk			Notes		
							P	I	Risk Rating					P	I	Risk Rating			
LR24	This risk is well managed at Project and Programme level	2016	LR SIP 2016-19 Objective LR10	Leisure & Recreation	Brecon Cultural Hub (y Gaer) 1. Possible need to draw upon £75k agreed risk pot. 2. Possible delay to programme construction end date. 3. Insufficient revenue funding available and planned for, for the taking over of site, opening and future running costs of y Gaer - utilities; rates; staffing; cleaning. 4. No reporting line to Economy Programme Board set up at present.	1. Requirement to approach Portfolio Holder / Cabinet for use of additional funding within £75K risk pot. 2. Pressure placed on fit out and migration schedule; potentially delaying opening in 2018. 3. Revenue costs not able to be met, leading to overspend and requirement for increased revenue budget in future. 4. Risk to governance being sufficiently strategically observed.	H	H	High	9	- Cost fix now agreed and in place limiting any exceeding of agreed budget. Quantity & type of uncertainty greatly reduced as construction progresses. Risk being placed with Kier e.g. costs from programme delays. - Raising awareness internally, at project Board and with responsible Portfolio Holders and senior officers, along with partners and stakeholders. - Raising concerns at early stages, and escalating through Project Board and at the Economy programme Board once established. - Project Manager in place who has building and project management experience and knowledge – strict, persistent and challenging monitoring of contractors, costs & programmes protecting Council's budgetary interests. - Maintenance of regular (monthly) Project Board meetings involving detailed reporting, rigorous scrutiny and decision making.	Ian Budd Nigel Brinn	Clr Phyl Davies Clr Rachel Powell	- Continuation and expansion of project development activity including cost engineering reduction exercise and design refinements and acquisition of accurate tender prices and costings. - Continue close & exacting monitoring at high level between Powys County Council, consultants & contractors. - Continue fundraising campaigns to relieve pressures on budget, add value to overall scheme and mitigate deficiencies in cost plan i.e. where important scheme elements have been extracted (via VE) and need re-introducing e.g. development of Captain's Walk (now funded); purchase of furniture and fit out for overall building; design & fabrication of integral public art elements (2). - Continue to develop strong and transparent communication amongst project team; continue to liaise, communicate with & engage funding partners, stakeholders & community at strategic and local level. - Promote scheme widely to encourage and build support (further & future funding, volunteering input, sponsorship) and to ensure excellent service delivery and customer usage / satisfaction upon opening. - Continue detailed planning for a sustainable & rigorous business model to be in place upon opening.	H	H	High	9	Whilst the risk rating remains necessarily High due to the nature of costs being intrinsically partially fluid, the scale, type and impact of risk is greatly diminishing; Overall status of risk less critical as completion date draws closer.
HTR4	Service Corporate risk merged with (CR14)	16/11/2017	SIP	Highways, Transport & Recycling	To provide safe highways assets and structures as far as reasonably practical	Breach of statutory duties and subsequent financial and reputational demand, e.g. third party claims.	H	H	High	9	Careful prioritisation of work and resource allocation (Capital budget). Revenue budget (cleaning, sweeping, winter maintenance).	Nigel Brinn Clr Phyl Davies	Capital investment in highway network, road safety grants; Revise and update Highways Asset Management Plan; Determine future levels of service; Improve operational delivery.	H	H	High	9		
CS4	Corporate	14/11/2017	SMT	Corporate	The Council receives a negative regulatory / inspection report.	- Meeting regulatory and legislative duties - Managing demand on the service - Recruitment and retention of staff - Staff morale - Reputational damage	H	H	High	9	- Improvement and Assurance Board - Improvement Plans - Communications strategy (internal/external) - Close working relationships with regulators - Corporate support provided to services - Close working relationships with WG	Mohammed Mehmet Clr Rosemarie Harris	- Continuation of current controls	H	H	High	9		
CS5	Service	14/11/2017	SMT	Children's Services	Not having sufficient foster or respite placements.	- Children at risk. - Children placed greater distance from families. - Children in residential placements as no alternative available. - Children not having needs met.	H	H	High	9	- Fostering marketing and recruitment campaign developed. - Increased scrutiny of corporate parenting from Elected Members. - Part of Improvement Plan. - Active monitoring of children's placements. - Monitoring of increased budgetary pressures. - Safe reduction of numbers of looked after children.	Alison Bulman Clr Rachel Powell	- Develop in-house provision to create efficiencies. - Increase in house capacity. - Increase early intervention to ensure families stay together. - Development of Edge of Care services. - CYPP to develop services for children across all agencies in Powys (prevent). - Develop provision for respite across the county. - MAAP process needs to be reviewed. - Strong communications links for recruitment for carers.	H	H	High	9	- Budget pressures exist. - Additional investment required to achieve performance. - Improved performance seen. - 8.5 FTE vacancies in service.	

Risk Ref	Corporate or Service	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Current Controls	Risk Owner	Portfolio Holder	Proposed Further Actions / Controls	Residual Risk		Notes				
							P	I					Risk Rating	Risk Rating					
CR19	Corporate	28/11/2017	CIOG	Corporate	Non Compliance of the principles of the General Data Protection Regulation (GDPR)	- Potential fine of up to £20,000,000 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	H	C	High	12	- Development of Communication Plan - Provision of information to EMT, HoS, and Team Meetings - Presentations to schools - GDPR Surgeries - Information Asset Audit (IAA) - Development of internal records of processing - Staff training - Technical controls - Policies and Procedures - Compliance Policy - Information sharing protocols - Data sharing agreements - Review existing Data Processing agreements	Mark Evans	Cllr James Evans	- Develop processes and provide awareness to all staff - Actions from Information Asset Audit - Identify where information sharing takes place - Implement revised WASPI Accord and templates - Review current ISP in line with revised versions - Train more ISP facilitators - 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 - Ensure signed agreements are appropriately stored - Develop data controller vs data Processor check list for services	M	C	High	8	- Data Protection Officer planning aspect in hand, however there are concerns over service area management of their responsibilities in terms of considering legal basis for processing, developing privacy notices etc.
CS11	Service	08/12/2017	HoS	Corporate	Failure to meet the statutory deadlines imposed on the Council as a relevant authority under the National Training Framework under Violence Against Women, Domestic Abuse and Sexual Violence Wales Act (2015).	- Risk to CIW inspection of adult services. - Potential criticism and legal challenge to the Council in the event of this lapse being a significant factor in a Domestic Homicide Review or instance of abuse. - Reputational damage to the authority.	V	H	High	12	- Report considered by Cabinet, first two statutory requirements missed, requirement for 100% for Group 1 by 31st March 2018 missed. Outcome was 59% of staff completed training. - Presentations given to staff members who do not have IT access.	Alison Bulman	Cllr Stephen Hayes Cllr Rachel Powell	- Detailed improvement plan on VAWDASV prepared for Cabinet.	V	H	High	12	
ASC18	Accounting and feedback from HR	15/07/2017	HoS	Adult Social Care	Inability to recruit the level and scale of staff required to vacant posts across the organisation due to inability to attract and/or an unsustainable employable local demographic.  This is a particular issue within Adult Social Care, where the Social Care Wales' requirement for carers to register may make the work less attractive, further exacerbating the issue.	Insufficient staff to meet service demands; Lack of qualified and experienced staff; Poor performance; Demotivated workforce; Unmet demand; Financial implications of using agency staff. Failure to recruit social workers has led to lengthy delays in assessments. Use of expensive agency staff can result in short term accountability, and a failure to provide a continuity of professional involvement for vulnerable service users. Short term funding of the enhanced brokerage service (to procure residential care placements) has led to inability to recruit and failure to provide the service as hoped. This has led to untrained practitioners brokering care placements with businesses and agreeing to costs significantly above the expected price.	H	H	High	9	- Investing in our workforce (training and development); - Support for staff; - Integrated approach across PCC and PTHB, including the alignment of HR/OD; - Working with HR Business Partners. - Powys County Council Recruitment Campaign. - Growing our own/career graded apprenticeship approach policy approved and launched.	Alison Bulman	Cllr James Evans Cllr Stephen Hayes	- Develop workforce strategy looking at workforce demographics over next 5-10 years, skills and workforce training. - Integration of Mental Health teams to be scoped. - Move to a new approach of values based recruitment process. - Future Workforce (Making it Happen/Corporate Leadership and Governance Plan) has replaced ROOTS Programme. - Work with PCC/Heath Board to understand new skill mix required. Informed by Healthcare Strategy/Parliamentary Review of Health and Social Care in Wales.	M	H	Medium	6	Linked to ASC 19.
ASC19	Service	23/10/2017	HoS	Adult Social Care	Ensuring an adequate caring and professional workforce in light of the projected demographics of Powys, which suggest a significant increase in older people, and a significant decrease in the working age population	Care provision and assessment provision becomes scarce, leaving service users at risk of no care	V	C	Very High	16	- Recruitment campaign - Technology Enabled Care / Telecare	Alison Bulman	Cllr Stephen Hayes	- PSB to consider the decrease in the population of working age in Powys and its impact upon services and the wider community - Consideration of workshop to brainstorm future strategy - Developing the economy being considered as a major strand of the Workforce Transformation Group - Elected members to Lobby Welsh Government to receive acknowledgement of the challenging and unique issue in Powys - Research to be commissioned. This will look at the possibility of carers, stay at home parents, retired individuals, and others becoming part time support workers or carers for service users. - Improve IAA services to divert demand away from ASC	V	C	Very High	16	Linked to ASC 18. Needs consideration across wider Council and not just in ASC. Audit Committee will be reporting on this.
ASC22	Service	15/07/2017	HoS	Adult Social Care	Current Bupa contract for Powys Care Homes expires June 2019. Powys needs to agree and implement new management of Care Homes post 2019.	If no contract is agreed and implemented, homes may need to be taken under the management of PCC, which could be costly and resource hungry.	H	C	High	12	Work being undertaken to appraise various options - being undertaken during March/April 2018 with a Cabinet report being prepared during the Spring of 2018.	Alison Bulman	Cllr Stephen Hayes	Meetings with interested parties. Meeting with one interested company is being held on 30th April 2018.	M	C	High	8	

Risk Ref	Corporate or Service	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk			Current Controls	Risk Owner	Portfolio Holder	Proposed Further Actions / Controls	Residual Risk			Notes		
							P	I	Risk Rating					P	I	Risk Rating			
CS12	Corporate	02/02/2018	HoS	Children's Services	Savings within Children's Services are insufficient to meet the service overspend	Financial implications for the Authority - budget will suffer an overspend. Impact on other services / functions.	H	H	High	9	- Development of transformation plan - Being considered within the 2019/20 budget setting process	Alison Bulman	Clr Rachel Powell	- Review of residential placements - Decrease use of agency staff	V	H	High	12	
ASC28	Service	01/04/2018	Adult's Service Transformation SMT	Adult Social Care	Legal case is being undertaken at the High Court with regards to payment for 'sleep-in' care work. Paying the National Minimum/Living Wage when carers are asleep has not been consistent.  Depending upon the case law set this could lead to significant financial consequences to the Council.	Legal challenge. Reputational challenge. Financial impact - significant. It is estimated that the impact could be up to £1m in disability services alone.	H	H	High	9	Working group has been set up to consider options and to receive legal advice. This group is looking at practice elsewhere and considering current contracts in order to understand the situation fully. The group is also anticipating the outcome of the legal case being considered currently.	Alison Bulman	Clr Stephen Hayes	Continuation of the actions set out previously with legal advice from the Council's solicitors expected at the next meeting.	H	H	High	9	
HS9	Corporate	05/08/2015	Environment Management Team	Housing / Property, Planning, and Public Protection	Heart of Wales Property Services (HOWPS) ability to meet contractual requirements, and the stability of the company as an ongoing concern.	- Failure of statutory functions - Failure to perform repairs and maintenance - Failure to achieve projected savings - Reputational damage to PCC - Cost to PCC for compensating residents for poor performance - Officer time costs (due to additional workload) - Financial risk to HRA and wider Authority - Critical WAO Report - Non-delivery of key projects due to lack of resources	V	H	High	12	- Director of Environment and Portfolio Holder on HOWPS Board of Directors - Escalation of risk and concerns to Chief Executive and Directors - Recovery plan submitted by Kier on behalf of HOWPS - Additional resources allocated by Kier (3.5 FTE Change Managers) - Close monitoring by Directors / Portfolio Holder / Chief Executive	Nigel Brinn	Clr Aled Davies  Clr Phyl Davies	- Performance monitoring - Utilisation of contract document to escalate issues - Development of evidence and fall-back systems - Introduced weekly officer level meetings - Development of contingency plans for contract failure - Potential to invoke step-in clauses for specific parts of the contract, in line with contract - Awaiting consultation resource plan	H	H	High	9	
CS22	Service - Corporate risk assigned to Risk ASC14	10/07/2018	Children's Services Management Team	Children's Services	Unavailability of WCCIS due to system and network issues.	Children at risk as files do not contain the most up to date information; Failure to update files with key data, impacting performance reported; Reduction in staff capacity; Impact of staff morale.	H	H	High	9	- Upgraded all switches that feed PPD office to 20Gbps; - Ensured that all PC's/Laptops are connected to 1Gbps port; - Setup monitoring on Park Office's switch stack; - Received a list from Careworks of URL's and IP addresses that will now allow us to properly test and then implement bypass of proxy for PTHB staff; - Investigating potential DNS issue for PCC staff; - Received quote and agreed purchase of upgrade for Ynys Y Plant; - Proceeding with further quotes for upgrade of other PTHB sites; - Contacted other LA's to understand their issues; - Liaising with BT with regards to upgrade of PSBA link into County Hall; - Working with BT to move schools to cloud filtering solution to stop bottleneck of traffic at County Hall.	Alison Bulman  Mark Evans	Clr Rachel Powell		H	H	High	9	

## ittee Work Programme

Date	Items for consideration
#####	Risk Management Closure of Accounts Internal Audit - performance monitoring Q3 Implementation of Finance System Appointments to Finance Panel Appointments to Internal Audit Working Group
#####	Treasury Management - outturn Strategic Risk Management Closure of Accounts Business Continuity Implementation of Finance System Internal Audit - performance monitoring Internal Audit - annual work programme Audit Committee Annual Report - draft
#####	Seminar - draft statement of accounts and AGS
#####	Seminar - final statement of accounts and AGS
#####	Statement of Accounts 2018/19 Annual Improvement Report - WAO Strategic Risk Management Business continuity Internal Audit - performance monitoring Treasury Management
#####	Strategic Risk Management Business continuity Internal Audit - performance monitoring Treasury Management Closure of Accounts

This page is intentionally left blank