

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Risk Rating	Current Controls	Risk Owner	Portfolio Holder
						P	I				
ASC1	15/07/2015	SMT	Adult Social Care	Not gaining full agreement on some of the more controversial and high profile agreements for the direction of travel of the service, which without we'll be unable to achieve the full level of financial savings	Inability to meet the demands and requirements of service users	H	H	High 9	<ul style="list-style-type: none"> • Ensure appropriate information is available to inform Member's decision making; • Appropriate options appraisal undertaken. 	Amanda Lewis	Cllr Stephen Hayes
ASC10	01/04/2015	SIP 2015-18	Adult Social Care	Re-negotiation of BUPA contract is unsuccessful or increases cost of service delivery.	<ul style="list-style-type: none"> • We fail to re-negotiate a contract; • Capacity to support the development of interim arrangements could delay the process; • Replacement services not planned for / in place in a timely manner. 	H	H	High 9	<ul style="list-style-type: none"> • SIP outlines action to develop interim arrangements and to assess longer term implications; • Service provider to be consulted as part of the above; • Project team established. Project has commenced and is managed through ICPOP. 	Amanda Lewis	Cllr Stephen Hayes
ASC11	01/04/2015	SIP 2015-18	Adult Social Care	Failure to stabilise the Domiciliary Care market.	<ul style="list-style-type: none"> • A service which does not deliver the outcomes that our services users need / want; • An unsustainable financial burden to the council; • Impact on capacity of ASC Services to undertake innovative work; • Adverse reputational risk for the Council; • Service users left at risk; • Failure to meet statutory duty. 	H	H	High 9	<ul style="list-style-type: none"> • SIP outlines specific action to develop plan to establish a stable Domiciliary Care Service; • Additional / temporary officer capacity has been sourced for Adult Social Care to support this area of work; • Project Board established; • External support and evaluation / critical support from IPC; • Commissioned a range of many providers to deliver care; • Provider forum established. 	Amanda Lewis	Cllr Stephen Hayes

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Risk Rating	Current Controls	Risk Owner	Portfolio Holder
						P	I				
ASC12	14/09/2015	CEO	Social Care	Implementation of CCIS (DRAIG replacement)	Loss of data resulting in an efficient service with officers being unable to access client files	H	H	High 9	Project team and project governance established	Amanda Lewis	Cllr Stephen Hayes
CG1	Prior to 2014	SIP.L.V2	Change & Governance	Failure of governance.	Council acts ultra vires	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).	Jeremy Patterson	Cllr Phil Pritchard
CG2	21/11/2012	Risk Register 21/11/12 12.11	Change & Governance	Data Protection Breaches	Information Commissioners Intervention. Financial Penalties	H	H	High 9	Information Governance Plan supported by the Corporate Information Governance Group which meets on a quarterly basis.	Amanda Lewis	Cllr Darren Mayor
CR1	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	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 Plan; Cost Recovery work; 3rd party spend reduction; Income Generation; Regular reports to cabinet and Management Team on budget progress and progress on savings.	David Powell	Cllr Wynne Jones

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Risk Rating	Current Controls	Risk Owner	Portfolio Holder
						P	I				
CR3	21/11/2012	Risk Register 21/11/12 12.92	Corporate	Inadequate Corporate Governance arrangements for shared services and partnerships	Failure to effectively deliver services	H	H	High 9	<p>Progress on the One Plan is reported through the Transformation Board and the LSB.</p> <p>In July 2012 PCC and PtHB entered into a formal partnership to deliver ICT services from a joint team formed by the integration of the ICT teams from both organisations. A Section 33 agreement was employed and provides a formal basis for partnership working. This agreement has two tiers of governance: -</p> <ol style="list-style-type: none"> 1. ICT Management Team; 2. Joint Partnership Board. <p>The Joint Partnership Board was established in 2012 and is chaired by the Leader. This manages all Section 33 agreements and is attended by the PCC Leader, PCC Chief Executive, PtHB Chief Exec and PtHB Executive Director.</p>	Management Team	Cllr Barry Thomas

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Risk Rating	Current Controls	Risk Owner	Portfolio Holder
						P	I				
CR4	21/11/2012	Risk Register 21/11/12 12.102	Corporate	Failure to deliver on the Powys One Plan	Failure to deliver on the Powys One Plan	H	M	Medium 6	<p>Programme Office established with Strategic Programme Managers leading on each of the 5 programmes within the Powys One Plan.</p> <p>Programme Boards meet bi-monthly and monitor progress of the projects in each programme. This is then reported up to the Transformational Board and the LSB.</p> <p>Programme Office has adopted the corporate risk assessment methodology and Strategic Programme Managers report the Programme risk registers to the Programme Boards. Projects also have their own risk registers. The registers report risks which may impact upon delivery of objectives, and identify mitigating actions taken to control these risks.</p> <p>Scrutiny challenge and feedback sessions have been held on progress made so far, this has been reported using the Performance Evaluation Grids.</p>	Local Service Board	Cllr Barry Thomas

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk				Current Controls	Risk Owner	Portfolio Holder
						P	I	Risk Rating				
CR5	21/11/2012	Risk Register 21/11/12 12.102	Corporate	Lack of management of the procurement process within services.	Inadequate contracts and contract management exposing the authority.	H	M	Medium	6	E-Learning 'Commissioning: The Fundamentals Level 1' training course has been developed, is available and being used, and is aimed at all those employees who undertake some purchasing / ordering / buying and may undertake some commissioning. Level 1 training must be completed before anyone proceeds onto the Level 2 taught course.	All Service Heads supported by central Procurement	Cllr Graham Brown
CR6	21/11/2012	Risk Register 21/11/12 12.90	Corporate	Lack of adequate service business continuity planning	Failure to deliver services in the event of an emergency.	M	H	Medium	6	Officer appointed permanently to post of Business Continuity & Risk Management Officer. Education and training programme delivered to services. Services supported to produce their own Business Continuity Plans.	David Powell	Cllr John Powell
CR7	21/11/2012	Risk Register 21/11/12 12.94	Corporate	Inadequate registers / notifications of items requiring statutory testing provided to the compliance team.	Regulations not met; Financial Penalties; Corporate Manslaughter.	H	H	High	9	The statutory testing team maintain a register of plant, equipment and buildings that require testing, and the timetable for testing these items. This register then forms their work programme.	All Service Heads supported by Policy and Regeneration	Cllr Avril York
CR8	21/11/2012	Risk Register 21/11/12 12.95	Corporate	Inadequacy of Absence Management process	Failure to provide service to a satisfactory standard.	H	L	Medium	3	New Absence Management Policy	All Service Heads supported by HR	Cllr Phil Pritchard
CR10	21/11/2012	Risk Register 21/11/12 12.97	Corporate	Failure to monitor and protect Council assets	Theft and abuse of Council property	H	M	Medium	6	Each service should have it's own asset register. All ICT equipment should be recorded on the ICT asset register.	All Service Heads supported by ?	Cllr Darren Mayor

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk				Current Controls	Risk Owner	Portfolio Holder
						P	I	Risk Rating				
HTR2	Prior to 2014	SIP.LES.V 2	Highways, Transport and Recycling	Failure to ensure Health & Safety of public and workforce	Risk of prosecution and duty of care and injury to the public and staff.	H	H	High	9	Introduction of robust site supervision and monitoring processes internally and externally with contractors.	Paul Griffiths	Cllr John Brunt
ICS1	Prior to 2014	SIP.ICT.?	Information and Customer Services	ICT Disaster Recovery	Failure to maintain key ICT services in the event of a major incident.	M	H	Medium	6	PCC have been working closely with Microsoft and Platform Consultancy to explore utilising the latest cloud services, to provide both a backup solution and disaster recovery solution. This will provide PCC with the ability to instantly power up all replicated servers in the cloud.	David Powell	Cllr Phil Pritchard
RPC1	Prior to 2014	SIP.PPP.V 1	Regeneration, Property & Commissioning	Failure to ensure Health & Safety of public and workforce on Council premises	People could be seriously or fatally injured; Exposure to litigation.	M	H	Medium	6	Public liability insurance. Procurement - external contractors risk statements - monitoring	Paul Griffiths	Cllr Darren Mayor
RPC2	Prior to 2014	SIP.PPP.V 1	Regeneration, Property & Commissioning	Liabilities arising from closed landfill site portfolio	Significant pollution incident resulting in prosecution.	M	H	Medium	6	We have a specialist Contaminated Land Officer who has sought legal advice and determined that this is the land owner's responsibility, and that Natural Resources Wales have responsibility for dealing with the pollution.	Paul Griffiths	Cllr John Powell

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Risk Rating	Current Controls	Risk Owner	Portfolio Holder
						P	I				
RPC6	2014	SBP 2014/17	Regeneration, Property & Commissioning	Failure to adopt the LDP	Reputational damage, financial implications.	M	H	Medium 6	Action plan in place which includes recruitment of temporary staff, and diverting built heritage work away in order to concentrate on the LDP. A request for further funding if required has been pre-agreed. Closer working with WG.	Paul Griffiths	Cllr Avril York
RPC8	2014	SBP 2014/17	Regeneration, Property & Commissioning	The property disposals programme may not realise the expected returns on time.	Other developments which depend upon them cannot be supported.	M	H	Medium 6	Regularly revise progress on list of disposal sites/ buildings and feed this in through the corporate Cost Improvement Group as well as the property projects.	Paul Griffiths	Cllr Darren Mayor

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Risk Rating	Current Controls	Risk Owner	Portfolio Holder
						P	I				
SS1	13/01/2015	SMT	Schools Service	Non delivery of the Schools Transformation Programme	infrastructure which is not contributing to the Authority's efficiency agenda, and leading to poor educational outcomes	H	H	High 9	<p>Growth to develop capacity of team. ODP Programme defined.</p> <p><u>Secondary Schools</u> A paper was agreed by Cabinet 27/1/15 to commence Secondary School review in Powys in three parts (South, Mid, North Powys). Progress to date: - <u>South Powys</u></p> <ul style="list-style-type: none"> • Review has commenced; • Beacons Campus Project is ongoing; • Welsh medium at Brecon formal consultation. <p><u>Mid Powys</u></p> <ul style="list-style-type: none"> • Paper to Cabinet in Autumn term. <p><u>North Powys</u></p> <ul style="list-style-type: none"> • Paper to Cabinet in September. <p>· Transformation funding provided from Corporate Finance for structure to be in place.</p>	Jeremy Patterson	Cllr Arwel Jones

Risk Register

Risk Reference	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Risk Rating	Current Controls	Risk Owner	Portfolio Holder
						P	I				
SS4	13/01/2015	SMT	Schools Service	Condition and security of buildings and premises.	<ul style="list-style-type: none"> • Breach of Equalities legislation; • Failure to comply with H&S legislation; • Poor educational achievements; • Detrimental impact on health and wellbeing of learners and staff. 	L	H	Medium 3	<p>Review of Special Schools; 21st Century Schools Programme (prioritised according to pupil vulnerability);</p> <p>A new Schools Service Major Improvement Programme Scoring and Prioritisation criteria was agreed by Cabinet 3/3/15, and it also agreed a spend of £1m per year for the next three years. The purpose of this programme is to carry out a wide range of improvements, refurbishment and upgrading works to support the School Modernisation Programme and assist the Authority in making its schools fit for purpose as required by the Welsh Government.</p> <p>Continual scoring of need against investment matrix; Update Asset Management Plan; Individual monitoring of educational placements for children with complex needs.</p>	Jeremy Patterson	Cllr Arwel Jones

Risk Register

Proposed Further Actions / Controls	Residual Risk				Notes
	P	I	Risk Rating		
<p>Hold regular member development sessions to keep them informed of issues relating to service. 19/10/15 - Consultation process over the winter period for the following services: -</p> <ul style="list-style-type: none"> • Daytime activities for Older People; • Fairer Care Policy; • Residential Care; • Older Peoples Commissioning Strategy; • Learning Disabilities Project - Day & Employment Services; • Budget Consultation. 	H	H	High	9	Previously on ASC Service Risk Register, decision made to escalate to Corporate Risk Register at ASC SMT 15th July 2015.
<ul style="list-style-type: none"> • In conjunction with Commercial services risk assess any interim plans; • Corporate ownership and support in place to ensure focused and successful implementation. 	M	H	Medium	6	Updated at ASC SMT 15th July 2015.
<ul style="list-style-type: none"> • Integrated approach with Health to design a joint domiciliary service model; • Cabinet report in October on Domiciliary Care next steps. 	M	H	Medium	6	Updated at ASC SMT 15th July 2015.

Risk Register

Proposed Further Actions / Controls	Residual Risk				Notes
	P	I	Risk Rating		
Production of a project risk register	M	H	Medium	6	National system for Wales for Community Health & Social Care, and Early Intervention and Prevention across Wales. Integrated working and access to relevant information will be increased.
Installation of a software package by Autumn/Winter 2015. This will insist on timely provision of reports and will send reminder emails to the appropriate officers.	L	M	Low	2	The software is extensively used by WG and automatically sends reminder emails to officers.
Ensure we comply with corporate training requirements and quality assure our processes; Introduction of information asset owners; Information Asset Register; Information Risk Assessments.	M	M	Medium	4	
Moving to 3 years balanced budget; Setting up Budget Management Reserve; Single impact assessment incorporating a risk assessment of each individual identified saving.	M	H	Medium	6	Update provided by Portfolio Holder 03/06/2015

Risk Register

Proposed Further Actions / Controls	Residual Risk			Notes
	P	I	Risk Rating	
<p>As we enter the new landscape of integration being delivered by PCC and PtHB we will require suitable governance arrangements and lines of accountability which makes governance less ambiguous and more robust, and making scrutiny more effective and more complementary with other accountability mechanisms. Taken together these make organisations more responsive to change, and will mean that scrutiny and accountability drive improvement effectively.</p> <p>This work is underway to agree a revised Scrutiny and Governance structure that will meet the increased scope & pace of change for PtHB /PCC integration required by Welsh Government, address member concerns about levels of member involvement and meet PtHB requirements for separation of Board and executive functions. As part of this work we will: -</p> <ul style="list-style-type: none"> • Implement a shared governance and scrutiny structure; • Develop and implement a shared member / non-executive training programme; • Develop & implement a shadowing programme across PCC cabinet / scrutiny and PtHB Board and Committees; • Seek approval at Cabinet and PtHB. 	M	H	Medium 6	<p>WAO report presented to Audit Committee 22nd April 2015 identified that the Section 33 agreement has improved service resilience and reduced IT risk, and Section 33 arrangements provide a good basis for integrated working.</p>

Risk Register

Proposed Further Actions / Controls	Residual Risk				Notes
	P	I	Risk Rating		
<p>Continue to improve the reporting process to make the One Plan and what we're achieving 'more visible'. This transparency leads to clearer lines of accountability and responsibility, which in turn will lead to greater success and delivery of objectives.</p> <p>PCC and PtHB Programme Office' have been aligned and will continue to meet and share experience between teams. This will strengthen the programme management process and support the delivery of the programmes.</p> <p>Continue with monitoring of progress on the programmes and projects within the programmes via project and programme boards.</p> <p>Regular meetings between Programme Sponsors and Strategic Programme Managers, to identify and unblock any issues that arise.</p>	M	M	Medium	4	

Risk Register

Proposed Further Actions / Controls	Residual Risk				Notes
	P	I	Risk Rating		
<p>It is planned to provide key messages around Commissioning to all Powys County Council employees via NetConsent.</p> <p>The content of and targeted audience for 'Commissioning: The Technicalities Level 2' taught training course is currently being discussed with external providers and a specification is being developed.</p>	M	M	Medium	4	
<p>Continual engagement with BCM Champions via quarterly Business Continuity Group. Services to continue to develop and test their Business Continuity Plans.</p>	L	M	Low	2	Level of risk reduced as urgent services have been prioritised.
	L	H	Medium	3	
	M	L	Low	2	Robust processes in place makes this a low risk
	M	M	Medium	4	

Risk Register

Proposed Further Actions / Controls	Residual Risk				Notes
	P	I	Risk Rating		
Safe working practices and methods of working.	M	H	Medium	6	
Microsoft Data Protection Manager will perform nightly backups to on-site storage, this backup data will then replicate into Azure blob storage as an off-site back for long-term storage.	L	H	Medium	3	<p>Due for completion by October 2015.</p> <p>The cloud extension suite will enable PCC to replicate the on-site virtual server environment and compatible physical server environment into Azure.</p> <p>Greatest dependency is on County Hall.</p>
Introduction of robust site supervision and monitoring processes internally and externally with contractors. The probability could potentially decrease if further resources were added to this area.	M	H	Medium	6	
Restructuring of functions so that closed landfill are managed within the Public Protection Service (particularly) contaminated land division to improve capacity and capability to resolve pollution issues	L	H	Medium	3	

Risk Register

Proposed Further Actions / Controls	Residual Risk				Notes
	P	I	Risk Rating		
	L	H	Medium	3	
At the end of September 2015 a Property Disposals Board will be set up and chaired by the Portfolio Holder for Property. This will provide a mechanism for challenging services who	M	M	Medium	4	

Risk Register

Proposed Further Actions / Controls	Residual Risk			Notes
	P	I	Risk Rating	
<ul style="list-style-type: none"> • New structure in place; • Succession planning; • Capacity and expertise; <p>Primary Schools</p> <p>A number of Schools have been identified for review under the Powys Schools Transformation Policy (Nov 2014) and we are in discussions with individual schools. Detailed Reports will follow to Cabinet in due course.</p> <p>Proposed update of Schools Transformational Policy in December 2015.</p> <p>Further discussions with WG about our capital programme.</p>	L	H	Medium 3	Updated at Schools SMT 14th July 2015

Risk Register

Proposed Further Actions / Controls	Residual Risk			Notes
	P	I	Risk Rating	
Strategic Outline Plan for 21st Century Schools and Capital Investment Programme.	L	H	Medium 3	Updated at Schools SMT 14th July 2015