

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
ASC14	Corporate (Linked to CS22)	14/09/15	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	Clr 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	
CR1	Corporate	21/11/12	Risk Register 21/11/12 12.100	Financial Services	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	Jane Thomas	Clr Aled Davies	Re-establishment of the Income & Cost Improvement Board.	M	H	Medium 6	
CR6	Corporate	21/11/12	Risk Register 21/11/12 12.90	Policy, Planning and Public Protection	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)	21/11/12	Risk Register 21/11/12 12.97	HR, Workforce and Organisational Development Department	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	Paul Bradshaw	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	
ICS1	Corporate	Prior to 2014	SIP.ICT.?	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	Ness Young	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	11/12/15	HoS	Property, Planning & Public Protection	We have identified €1M 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.

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CR16	Corporate	07/07/16	Audit Committee	Regeneration	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	High	9	- Close monitoring - Cabinet briefed - Advice from pension advisers - Continue to work with WEFO - Brexit Working Group established	Nigel Brinn	Cllr Aled Davies	- Continue to monitor economic indicators - Ongoing dialogue with external advisers	H	H	High	9	
CS4	Corporate	14/11/17	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	Caroline Turner	Cllr Rosemarie Harris	- Continuation of current controls	H	H	High	9	
CR19	Corporate	28/11/17	CIOG	ICT and Programmes	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	Ness Young	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.
ASC19	Service	23/10/17	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.

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CS12	Corporate	02/02/18	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	15	- 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	15	
HS9	Corporate	05/08/15	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	