

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
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			<p>be fully felt for a number of years. Grants can be removed by Welsh Government. Work under way with the RPB to deliver big projects that will deliver big impact changes, e.g. multi agency funding of the early help hubs.</p> <p>The following wording 'Addressing the deficit in the FRM (£1.1million) for 2018/19' has been taken out of the risk title as it refers to 18/19 and is out of date. The current risk in relation to the FRM will still be addressed this risk as it is covered by the ability to meet the requirements of the MTFs. 13/10/2019</p> <p>2nd Qtr 19/20 Review Summary: To date this year we have achieved savings however there is an increase in pressures, we continue to monitor this. Looked after children numbers have reduced from 250 in December 2018, to 236 at end of September 2019. This demonstrates that the investment in intervention and prevention and early help services is taking effect.</p> <p>New process in place for reviewing high cost placement, being led by Senior Manager Corporate Parenting. 07/04/2019</p> <p>4th Qtr 18/19 Restructure to place focus on early help, prevention and intervention to prevent escalation at every point is taking place and is on track. Agency staff reduced to 39 Agency staff applying and being appointed to permanent positions Two consultants due to leave in May Continued focus on returning children from out of county placements Admission panel established, chaired by Head of Service, to enable practice to be</p>					

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			guided and ensure oversight of all admissions to care Budget training for all managers Budget included as part of performance management in the service <u>31/03/2019</u>					

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ED0022 Lynette Lovell Escalated From :- Education	The council will be unable to manage the schools budget without extra resource and finance and this will affect every individual school in Powys that has a deficit budget.	If the school fails to do a budget deficit plan, warning letters will be issued to the schools and the Authority will consider whether to withdraw delegation. Should this occur, the Local Authority LA will have to resource financial advice and manage the schools budget for each school that has their delegated funding removed. This would need to be specialist advice from a service that is under-resourced so there may be financial implications.	<p>26/04/2020</p> <p>4th Qtr 19/20 Review Summary: In Quarter 4 Cabinet and, subsequently in February, Full Council agreed the additional funding for the schools delegated budget as part of their budget proposals for 2020/2021. This funding would be used for the funding of pay awards, increased teachers pension costs, some items of non-staffing funding and the creation of a TLR allowance for the secondary sector. Schools were issued in February with their 2020/21 funding allocation including the above additional funding commitments, and were also provided with estimated funding for 2021/22 onwards.</p> <p>Ongoing work between the Schools Service, Finance, HR and the individual schools to look at the budget which is anticipated for 2020/21 and the setting of a balanced budget by each school continues to take place. Prior to the lockdown, budget meetings had taken place with the majority of the schools. However, due to Co-VID-19 the management of change has been temporarily stopped. Final budget plans from all schools are due by 1st May 2020, schools were given an extension until the 22nd May. However, due to the current COVID 19 lockdown in respect of schools, we have not received further guidance on schools delegated budgets and will continue to assess the impact on the budgets of schools being closed.</p> <p>12/01/2020</p> <p>3rd Qtr 19/20 Review Summary: The authority issued an additional 11 warning notices in September 2019 to schools and meetings have been held with those schools with the Head of Service and Section 151 officer. These meetings were to discuss</p>	<p>Cllr Phyl Davies</p> <p>Lynette Lovell</p>	12	9	• PIAP Action Plan	Action In Progress

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			<p>the actions required by the respective schools to halt the deficit and to look at how these deficits could be clawed back. As part of the budget process for 2020/2021 the Cabinet will be considering the funding pay awards, pensions and the creation of a teaching and learning responsibility (TLR) allowance. The TLR Allowance would be for the secondary schools and would be within the funding formula.</p>					

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ED0023 Lynette Lovell Escalated From :- Education	The council fails to make the necessary improvements in response to Estyn recommendations.	Failure to implement these recommendations will result in Estyn continuing to monitor the education service in Powys.	<p>26/04/2020</p> <p>4th Qtr 19/20 Review summary. Following an HMI visit, which took place on 11 February 2020, it was recognised that there is a clear direction of change, with effective prioritising of work and the Local Authority was moving at pace. The Improvement and Assurance Board have received monthly thematic reports, which detail progress made on all recommendations, both at a strategic and an operational level. The Improvement and Assurance board recognised in their February 2020 update that 'the authority has appropriate plans to push forward with improvements in education and is seeking to address these with energy.' It should be noted that the Improvement and Assurance Board is temporarily suspended due to COVID-19, however contact remains in place and progress against the Post Inspection Actions Plan is monitored by Schools Service, the Chief Executive and the Chair of the Board, Jack Straw.</p> <p>12/01/2020</p> <p>3rd Qtr 19/20 Review Summary: The Post Inspection Action Plan is monitored weekly at the Schools SMT. It is also monitored monthly by the Improvement and Assurance Board with key themes being developed. These themes are Vision, ALN and Leadership. Estyn improvement conference has taken place on 28 November and as a result the PIAP has been approved. The PIAP reports to the Transformation Board within the Council and there is a monthly leader's meeting to monitor progress.</p> <p>The Post Inspection Action Plan is monitored weekly at the Schools SMT. It is also monitored monthly by the Improvement and</p>	<p>Cllr Phyl Davies</p> <p>Lynette Lovell</p>	12	9	• Implementation of the PIAP	Action In Progress

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			<p>Assurance Board with key themes being developed. These themes are Vision, ALN and Leadership. Estyn improvement conference has taken place on 28 November and as a result the PIAP has been approved.</p> <p>The PIAP reports to the Transformation Board within the Council and there is a monthly leader's meeting to monitor progress.</p> <p>01/12/2019</p> <hr/> <p>2nd Qtr 19/20 Review Summary: The post inspection action plan has been drafted and was presented to Estyn on 28/29th November 2019.</p>					

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FIN0001 Jane Thomas Escalated From :- 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	03/05/2020 4th Qtr 19/20 Review Summary: The outturn position for 2019/20 is not yet completed however it is still anticipated that there will be an underspend again budget. The impact of Covid-19 pandemic is likely to have a significant impact on the councils budget and the situation is under constant review as we moved through the next weeks and months. The council will undoubtedly have to review its medium term financial plan in response to the emerging financial position. 05/01/2020 3rd Qtr 19/20 Review Summary: Cabinet are finalising a balanced budget proposal for 2020/2021 with a 5 year medium term plan which identifies the projected budget gaps for the 5 year period. Integrated business planning will continue to be embedded and improved across the organisation to ensure that the council can deliver its vision outcomes and objectives whilst maintaining a balanced budget and financial stability over the medium and longer term. 29/09/2019 2nd Qtr 19/20 Review Summary: Integrated Business Planning in place, Service proposals submitted, Cabinet continue to develop a draft budget plan. Engagement with the wider Council membership, and consultation with the public commencing and development of the budget simulator. 07/04/2019 1st Qtr 19/20 Scenario planning in place and projected budget gap calculated, development of budget commenced with Cabinet. Development of Integrated Business Planning and new approach to budgeting, focusing on outcomes. Budget planning over a 3 years rather than 1	<i>Cllr Aled Davies</i> Jane Thomas	16	9	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn

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			financial year					

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HO0018 Andy Thompson Escalated From :- Housing	Compliance in Powys County Council Housing Stock	Risk of Injury or loss of life - Reputational damage - Loss of grants (including Major Repairs Allowance circa £3.63m) - Risk of legal action and significant fines	<p>29/03/2020</p> <p>4th Qtr 19/20 Review Summary: Compliance One Hundred project has completed analysis of liabilities and responsibilities. Funds allocated in Housing Revenue Account Business Plan, approved by cabinet March 2020.</p> <p>01/03/2020</p> <p>4th Qtr 19/20 Review Summary: The Compliance One Hundred Project Team, reporting to the Housing Compliance Board, continues to make good progress. An assessment of six primary areas for compliance has been completed, the first stage of which is to make sure that there is a full and common understanding by both the Council and relevant contractors, including HoWPS, of all assets and systems which need to be included in compliance inspection, servicing and maintenance regimes. In the case of domestic heating systems, a Step-in has been issued to allow the Council to directly manage inspection and servicing for two months (March and April) to allow HoWPS the opportunity to brings its service up to the standard required.</p> <p>02/02/2020</p> <p>3rd Qtr 19/20. Review Summary: The Compliance One Hundred Project Team, reporting to the Housing Compliance Board, continues to make good progress. An assessment of six primary areas for compliance has been completed, the first stage of which is to make sure that there is a full and common understanding by both the Council and relevant contractors, including HoWPS, of all assets and systems which need to be included in compliance inspection, servicing and maintenance regimes. In the case of domestic heating</p>	Cllr James Evans Nina Davies	16	9	• Compliance One Hundred	Action In Progress

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			<p>systems, a Step-in has been issued to allow the Council to directly manage inspection and servicing for two months (March and April) to allow HoWPS the opportunity to bring its service up to the standard required.</p> <p>22.04.20: Covid-19 has impacted adversely on the work of the Compliance One Hundred project, primarily through the difficulties contractors are experiencing in gaining access to properties for safety checks on heating systems and smoke alarms and to undertake fixed electrical testing (FET) of each home's electrical system. Three out of four electrical contractors, working on behalf of the Council through HoWPS, have withdrawn labour as part of their approaches to managing Covid-19 risks to the safety of their teams. It may be necessary to review the current requirement for all FETs to be complete by July 2020.</p> <p>FET work was suspended for just under three weeks but w/c 13.04.20 HoWPS was instructed to recommence this work to try and reduce the risk of adding to the backlog of FETs still to be done. Housing officers are continuing to work hard to try and persuade tenants to allow access for this important work.</p> <p>A decision is pending on the current Step-in for heating servicing - whether or not the Step-in should end April 30th and the work returned to HoWPS. There remain concerns about the ability of HoWPS to effectively and efficiently manage this work competently but there are also concerns about the impact of Covid-19 on alternative contractors be able to continue to undertake the work.</p>					

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			<p>The failure of HoWPS to undertake water system testing and monitoring within municipal housing properties has prompted a decision to prepare a Step-in Notice and to commission alternative providers for this service, to minimise the risks of water contamination and the occurrence of legionella.</p> <p>19/01/2020</p> <hr/> <p>3rd Qtr 19/20 Review Summary: Progress is now being made to mitigate the risks arising from the Council's past approach to compliance.</p> <p>The overall assessment has been amended to reflect the higher level of risk identified from the Compliance One Hundred interim report and the initial findings of the Compliance One Hundred Project Team.</p>					

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ICT0010 Helen Dolman Escalated From :- Digital Services	Non compliance with data protection legislation (General Data Protection Regulations (GDPR) and UK Data Protection Act (DPA) 2018	<ul style="list-style-type: none"> - Potential fine of up to £17,000,000 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 	<p>29/03/2020</p> <p>4th Qtr 19/20 Review Summary: A breach of data protection legislation can occur in many different ways, and whilst the Council can put in place many technical and operational measures to ensure compliance, an instance of staff not adhering to those measures can result in very serious breaches of personal data, for which the regulator is able to take action against the Council as a Controller. The Council is not always able to control the errors caused by staff.</p> <p>The more robust the controls and measures the Council has in place to ensure compliance, then the more effectively it is able to argue cases of human error, when staff don't follow those measures or meet those controls put in place.</p> <p>05/01/2020</p> <p>3rd Qtr 19/20 Review Summary: A breach of the GDPR and or Data Protection Act 2018 can occur not just through the disclosure of information, but by failing to comply with many aspects of the legislation. For example no provision of privacy notices, technical and organisational measures not being in place, data processing agreements not in place when personal data is being transferred to organisation processing our personal data, failing to meet timescales in the undertaking of subject access requests, failing to enable the public to exercise their rights of rectification, erasure etc.</p> <p>The Information Management Assurance and Governance plan (IMAG), planning overseen by Corporate Information Governance Group (CIGG), and the work of the Corporate Information Operational Governance Group (CIOG) support the Council's plans to reduce the potential to fail to meet the above</p>	<p>Cllr Graham Breeze Diane Reynolds</p>	12	12	<ul style="list-style-type: none"> • Personal Data Breach Management • Data Protection Impact Assessments • - Information Asset Register • - Development of internal records of processing • - Ensure signed agreements are appropriately stored • - Develop data controller vs data Processor check list for services • Review of postal checking regimes in place • Provision of information to EMT, HoS, and Team Meetings • - Presentations to schools • GDPR Surgeries • - Review current ISP in line with revised versions • Staff training • Communication Plan • - Policies and Procedures • - Review existing Data Processing agreements • Cyber Security Action Plan • DPO considerations on reports to Cabinet • - Information sharing protocols • - Data sharing agreements • - Identify where information sharing takes place 	<ul style="list-style-type: none"> Action In Progress Action Completed Action Completed Action Completed Action Completed Control In Place Withdrawn Withdrawn Withdrawn

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			<p>obligations. 13/10/2019</p> <hr/> <p>2nd Qtr 19/20. Review Summary: Work continues on the IMAG plan with CIGG, which has been cancelled in September and October. Monthly discussions with Senior Information Risk Owner (SIRO) ensure issues raised to EMT level. 07/04/2019</p> <hr/> <p>4th Qtr 18/19 Review Summary: Controls and actions taken in an attempt to prevent a breach of data protection legislation and the resulting financial, and reputational risk are wide ranging due to the volume and purposes of processing personal data by the organisation. CIGG agreed the IMAG plan for 2019-2021 in March 2019, as such DPO to develop plans to monitor compliance with data protection legislation using the Information Asset Registers as a baseline. 31/03/2019</p> <hr/> <p>03/03/2019</p> <hr/>				<ul style="list-style-type: none"> - Implement revised WASPI Accord and templates - 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 	<p>Withdrawn</p> <p>Withdrawn</p> <p>Withdrawn</p> <p>Withdrawn</p>

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ICT0029 Julie Davies Escalated From :- Digital Services	Cyber Security Threat. Risk of financial loss, disruption or damage to the reputation of Powys County Council from a failure of its information technology systems and or/loss of Data due to a cyber attack or Incident.	Loss of Information systems until they can be successfully restored. Loss of data, inability to access data or public disclosure of Personal Data. Cyber risk could materialize in a variety of ways, such as: • Deliberate and unauthorized breaches of security to gain access to information systems. • Unintentional or accidental breaches of security. • Operational IT risks due to factors such as poor system integrity.	22/03/2020 4th Qtr 19/20 Review Summary 30/3/2020: Continuing to work on actions identified in Cyber Security Plan and to conduct reviews into further improvements to add to plan. Capital investment has been used to strengthen process for vulnerability management and incident detection, which enables prompt corrective action on identified risks. Cyber Essentials + accreditation achieved during this financial year along with IASME Governance (Information Assurance for Small and Medium Enterprises Consortium). Progress made in Cyber Security Training for all staff and Council members. 29/12/2019 3rd Qtr 19/20 Review Summary: Continued improvements to Patching and compliance monitoring procedures. Continuing to work on actions identified in the Cyber Security Improvement plan. Continuing to develop Advanced Threat detection and Security improvements using O365 tools 15/12/2019 3rd Qtr 19/20 Review Summary: 07/07/2019 07/04/2019	<i>Cllr Graham Breeze</i> Diane Reynolds	12	9	<ul style="list-style-type: none"> • Capital Investment • Major Incident response processes • Disaster Recovery Procedures • Capital investment in Security Operations Management Tools • Cyber Security Improvement Plan • Cyber Security Certification • Staff Training 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Action In Progress Control In Place Control In Place Control In Place

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PCC0002 Greg Thomas	The impact on the Council as a result of Brexit.	<ul style="list-style-type: none"> - Increased service demand; - Relocation from the EU to Powys of families - estimated at 500; - Fuel shortages; - Loss of access to external (EU) funding programmes; - Reduced income to Powys County Council; - External market factors; - GDPR compliance; - Potential financial crash; - Unable to recruit/retain staff (EU Nationals); - Employee workload; - Delays/disruption to food and/or essential supplies. 	<p>12/04/2020</p> <p>4th Qtr 19/20 Review Summary: No change to risk rating. The Strategic Brexit Risk Register is still in place, and Powys County Council continue to work with our partner agencies, Welsh Local Government Association, and Welsh Government to ensure that we are aware of, and acting to the latest advice and guidance.</p> <p>12/01/2020</p> <p>3rd Qtr 19/20 Review Summary: Following the successful vote on the 2nd reading of the Withdrawal Agreement Bill, the Prime Minister confirmed that Operation Yellowhammer should be halted with immediate effect due to the decreased likelihood of the UK leaving the EU without a deal on 31 January 2020. This means that the operational phase of Yellowhammer will not now be stood up in January 2020 and no further preparation is needed for a no deal exit on 31 January 2020.</p> <p>However, whilst we are standing down no deal preparations, Powys County Council are continuing to work to ensure that any adverse impacts of Brexit are mitigated as far as possible. Powys County Council are also working to identify opportunities to the organisation that may arise from Brexit. Work has been done to ensure that citizens are best placed to understand the changes that Brexit will bring.</p> <p>At this stage we are now awaiting guidance from the Welsh Local Government Association (WLGA) and Welsh Government, to ensure that we are best placed for the transition period. A Strategic Brexit Risk Register is held, and reviewed by the Strategic Brexit Coordination Group.</p>	<p><i>Cllr Rosemaire Harris</i></p> <p>Nigel Brinn</p>	12	9	<ul style="list-style-type: none"> • Close monitoring • Continue to monitor economic indicators • Ongoing dialogue with external advisers • Cabinet briefed • Advice from pension advisers • Continue to work with WEFO 	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>

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			<p>06/10/2019</p> <p>2nd Qtr 19/20 Review Summary: The Strategic Brexit Coordination Group (BCG) has conducted impact assessments, and where appropriate controls and monitoring are in place. PCC is prepared as far as practicable for any Brexit scenario, and we wait further guidance for UK and Welsh Government. A Strategic Brexit Risk Register is held, and reviewed on a monthly basis. Further explanation is provided in the risk report.</p> <p>07/07/2019</p> <p>1st Qtr 19/20 Review Summary: Risk has been reviewed and risk rating increased due to the current uncertainties regarding Britain's exit from the European Union, and a potential 'No-Deal' Scenario on October 31st 2019. The Strategic Brexit Coordination Group (BCG) has conducted impact assessments, and where appropriate controls and monitoring are in place. PCC is prepared as far as practicable for any Brexit scenario, and we wait further guidance for UK and Welsh Government.</p> <p>07/04/2019</p> <p>31/03/2019</p> <p>03/03/2019</p>					

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PCC0003 Caroline Turner	The council receives a negative regulatory / inspection report	<ul style="list-style-type: none"> - Meeting regulatory and legislative duties - Managing demand on the service - Recruitment and retention of staff - Staff morale - Reputational damage 	<p>22/03/2020</p> <p>4th Qtr 19/20 Risk Review Summary: WG have commissioned Sean Harriss to undertake a review of the council's progress along its improvement journey since the Harriss review in Jan 2018. The review was undertaken during in Feb/March 2020, and will be published by WG in due course. All Inspections are suspended due to Covid-19, including the Improvement Conference that had been arranged for Adult Services by CIW.</p> <p>05/01/2020</p> <p>3rd Qtr 19/20. Review Summary: On behalf of Caroline Turner: Regulatory Services continue to receive a high level of scrutiny and support across the Council. Robust support and challenge arrangements continue to be in place for Social Services, and are now in place for Education Services under the auspices of the Improvement and Assurance Board, as well as the Leader's Monthly Group Leaders meetings, and Scrutiny Committee arrangements. We are also ensuring that improvements in Housing are prioritised so that we can quickly demonstrate compliance with regulatory requirements. Whilst progress is being made in all areas this will continue to be a key focus for the Council for the rest of 2020.</p> <p>08/09/2019</p> <p>2nd Qtr 19/20 Review Summary: Estyn undertook an inspection of education services in July 2019, and their report was published in Sept. Estyn noted that they had significant concerns about the education services and made five recommendations for the council to address, which the council accepts in full. A post-inspection action plan is being prepared and will be discussed with</p>	Cllr Rosemaire Harris Caroline Turner	20	16	<ul style="list-style-type: none"> • Improvement and assurance board • Improvement plans • Communications strategy (internal/external) • close working relationships with regulators • corporate support provided to services • close working relationship with WG 	<ul style="list-style-type: none"> Control In Place

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			<p>Estyn at a post-inspection meeting in November 2019. The Schools Transformation Board has been re-established, regular reports will be submitted to Learning and Skills Scrutiny Committee and the Leader is establishing a Group Leaders' meeting that will meet monthly to consider progress in implementing the recommendations.</p> <p>CIW continue to monitor Social Services and we expected full inspections of Children Services and Adult Services over the 12 months.</p> <p>1st Qtr 19/20 Risk Review Summary: During the quarter we received notification by Estyn of their intention to inspect PCC's Education Service week 1st July. The Education Service prepared thoroughly for the inspection by updating the Self-evaluation, gathering evidence and briefing partners in advance of the inspection. A small corporate Project Team met weekly from mid-April to ensure that the Service was well prepared for the Inspection. This highlighted some processes that needed to be strengthened and embedded over the summer, in advance of the publication of the Inspection report in September</p>					

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PCC0004 Ness Young	Significant long term decrease in the working age population impacts on Council's ability to recruit and retain or commission the workforce it requires	Council is unable to secure the services needed by the local population, including care and assessment provision, education, waste, highways, housing culture and support services.	<p>03/05/2020</p> <p>4th Qtr 19/20 Review Summary: In quarter 4 the Powys Regional Health Board published its Strategic Framework for the Health and Care workforce in Powys.</p> <p>The Council responded to the current coronavirus pandemic by invoking its business continuity plans which means that we are focused on delivering business critical activities. As part of this response we are redeploying employees to business critical services.</p> <p>The implementation of the council's workforce strategy and the RPB Workforce Futures Strategic Framework will resume when we return to business as usual.</p> <p>19/01/2020</p> <p>3rd Qtr 19/20. Review Summary: In Quarter 3 the Council published its workforce strategy and as part of the RPB we have produced a final draft of the Workforce Futures Strategic Framework for the Powys health and social care workforce.</p> <p>The Council has mapped current activity around skills development across the county and has recently met colleagues from Ceredigion Council and agreed to develop a skills strategy for the Mid Wales Region, aligned to the Mid Wales Growth Deal.</p> <p>The Council has launched an apprenticeship talent pool and a joint apprenticeship programme with Powys Teaching Health Board.</p> <p>An action plan has also been develop to improve the recruitment and retention of Qualified Social Workers in Children's Services.</p>	Cllr Graham Breeze Ness Young	25	20	<ul style="list-style-type: none"> Promoting Powys as a place to live, visit and do business Developing a health and care workforce for the future Support communities to be able to do more for themselves and reduce demand on public services Developing a workforce strategy which ensures Council is an excellent employer increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/l Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications t Consideration of a joint bank of staff available to maintain staffing levels and reduce risk Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care ro Conduct research to understand the workforce profile in health and social care Developing digital solutions and services Formal partnership with the Open University and secondment of students Improving skills and supporting people to get good quality jobs Improving education attainment of all pupils Improving the skills and employability of young people and adults Build better connections with schools within Powys and universities within Wales and just across the border in order to attract Telehealth and telecare 	<p>Action In Progress</p>

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			<p>29/09/2019</p> <p>2nd Qtr 19/20 Review Summary: Draft health and social care strategic framework has been developed. Overall risk progress: Draft health and social care strategic framework has been developed</p> <p>2nd Quarter progress of supporting mitigating actions are as follows:</p> <p>Developing digital solutions and services -A Digital First Executive Group has been established under the Health and Care Strategy and a Strategic Framework is in development</p> <p>Improving education attainment of all pupils -In secondary schools, new qualifications have been introduced during the past three years. Welsh Government have also introduced interim key stage 4 performance measurement arrangements with a change from Level 2 qualifications (A*- C) to Capped 9 Average Point Score. Key stage 4 and 5 data within the report remains provisional as we await the verified data available in December 2019.</p> <ul style="list-style-type: none"> • In Powys, there was an improvement of 6.1 points in the average Capped 9 points score for individual pupils. • The average Capped 9 point score has increased in 7 out of 11 Powys secondary schools. • Across ERW, the average Capped 9 point score increased by 10.9 points. Powys is ranked 3rd across the ERW local authorities. <p>Developing a workforce strategy which ensures Council is an excellent employer -Draft Council workforce strategy has been produced</p>					

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			<p>Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications</p> <p>-Rural academy proposal is being developed by the Workforce Futures Board as part of the Workforce Futures Strategic Framework</p> <p>Consideration of a joint bank of staff available to maintain staffing levels and reduce risk</p> <p>-Proposal being developed</p> <p>Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care roles</p> <p>-Joint apprenticeship scheme now in place</p> <p>Conduct research to understand the workforce profile in health and social care</p> <p>-Research complete and underpins draft Workforce Futures Strategic Framework</p> <p>-All other mitigating actions that support this risk have nothing to report this quarter.</p> <p>08/09/2019</p> <hr/> <p>1st Qtr 19/20 Review Summary: No change this quarter</p> <p>05/05/2019</p> <hr/> <p>03/02/2019</p> <hr/>					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
PCC0005 Ness Young	The impact to Powys residents, services and Council staff as a result of a COVID-19 (Coronavirus) epidemic	Increased staff absenteeism; Increase demand for services from residents Increased workload for council staff as a result of staff absence and increased service demand Closure of Council premises resulting in reduced services to residents and office accommodation	03/05/2020 4th Qtr 19/20. Review Summary: The Council has developed a separate risk register for the Coronavirus pandemic. The risks captured in this assessment include: Increase in services demands Financial impact on the council Availability of Personal Protective Equipment Distance learning for pupils Childcare provision Safeguarding Workforce absence There are mitigating actions in place for all the risks identified and the risk register is reviewed weekly by the Council's internal GOLD Command Group (part of the Council's Emergency Response arrangements)	<i>Cllr Rosemaire Harris</i> Ness Young	25	20	<ul style="list-style-type: none"> Update Business Continuity Plans (at Service and Corporate Level); Establishment of an Internal Silver Command Powys County Council Representation on Powys Teaching Health Board Gold and Silver Command; Liaison with all Local Resilience Forum (LRF) Partners; PCC Liaison with Welsh Government and Public Health Wales; Communication and engagement with schools. Communications to residents, staff and members 	<ul style="list-style-type: none"> Action Completed Control In Place

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
PPPP0007 Gwilym Davies Escalated From :- Property, Planning, and Public Protection	Heart of Wales Property Services (HOWPS)	<ul style="list-style-type: none"> - Failure of statutory functions - Compliance risk. - Failure to perform repairs and maintenance. - Failure to achieve projected savings. - Reputational damage to PCC. - Cost to PCC for poor performance. - Officer time costs (due to additional workload). - Financial Risk to HRA and wider Authority. - Critical Wales Audit Office Report. - Non-delivery of key projects due to lack of resources. - Financial Risk to HRA and wider Authority. - Critical Wales Audit Office Report. 	<p>03/05/2020</p> <p>4th Qtr. 19/20: Review Summary:</p> <p>The performance of HOWPS is continued to be monitored closely via the monthly Contract Management Forums and additional monitoring mechanisms with HOWPS such as 1) Weekly compliance meetings 2) Weekly legionella meetings 3) Monthly/Weekly asbestos monitoring. Also additional monitoring meetings within PCC have been set up.</p> <p>The Corporate Compliance rectification plan is being monitored and at the end March, HOWPS are broadly on track with the rectification plan, but supply chain issues due to COVID – 19 has meant that targets within the Rectification plan has been narrowly missed.</p> <p>HOWPS are now utilising a new Compliance Tracker which is much easier to use and compliance can be easily identified across buildings and across tests.</p> <p>PCC have had to audit the information within the Tracker to ensure that the information is correct – This is putting extra pressure on the Strategic Property, but is necessary to ensure that the information being given to PCC is correct.</p> <p>Additional monitoring has been put in place to audit the access of the Alpha Tracker Database (asbestos information) to ensure that Alpha Tracker is accessed before every job is started. Our monthly audit has identified gaps in this access procedure, therefore this has been increased to weekly monitoring.</p> <p>Issues with Legionella Monitoring, information has not been sent to PCC by HOWPS. Clarification over roles and</p>	Cllr Phyl Davies Nigel Brinn	12	12	<ul style="list-style-type: none"> • Potential to invoke step in clauses for specific parts of the contract in line with contract • Awaiting consultation resource plan. • 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 • Head of Service on HOWPS Board of Directors. • Portfolio Holder on HOWPS Board of Directors. • Escalation of risk and concerns to Chief Executive and Strategic 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/Strategic Directors. 	Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Control In Place Control In Place Control In Place Control In Place Control In Place

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
			<p>responsibilities is underway to ensure that risks are assessed and actioned.</p> <p>12/01/2020</p> <hr/> <p>3rd Qtr. 19/20: Review Summary:</p> <ul style="list-style-type: none"> Continued monitoring of HOWPS performance via monthly Contract Management Forums. Additional monitoring now in place of HOWPS performance with service-specific meetings to monitor various issues including statutory testing, complaints, asbestos tracking, void management and the inspection and servicing of domestic heating systems. A Rectification Plan has been received from HOWPS for services, provided for both Corporate and Housing, which are falling below the acceptable performance level. The Rectification Plan in its original form was rejected by the Council. A revised Rectification Plan is now awaited from HOWPS. <p>06/10/2019</p> <hr/> <p>2nd Qtr 19/20: Review Summary:</p> <ul style="list-style-type: none"> Performance monitoring in place. Pre-Board meetings attended by key internal stakeholders have been set up to discuss high level issues. Actions from meeting escalated to HOWPS Board. Communication plan reviewed monthly. <p>07/07/2019</p> <hr/> <p>1st Qtr 19/20 Review Summary:</p> <ul style="list-style-type: none"> Performance monitoring in place. Pre-Board meetings attended by key internal stakeholders have been set up to discuss high level issues. Actions from meeting escalated to HOWPS Board. Communication plan reviewed monthly. <p>07/04/2019</p> <hr/>					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
PPPP0008 Gwilym Davies Escalated From :- Property, 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	<p>03/05/2020</p> <p>4th Qtr. 19/20 Review Summary: The Incident Management guide was approved by SLT and implemented. It has now been implemented twice in both Storm Dennis and Covid-19 and has proved to be an effective response tool. It will be reviewed again in the light of experience from both events when appropriate to do so. All training listed in the 3rd quarter update has been cancelled so there may be a need to rebook that in due course. However all SLT officers are now well experienced in internal Gold; internal Silver and PCC is well represented at SCG and TCG</p> <p>In view of the exposure of all SLT to 2 major incidents I think this is a risk that can be safely removed.</p> <p>12/01/2020</p> <p>3rd Qtr. 19/20 Review Summary:</p> <ul style="list-style-type: none"> The 2019 SWAP audit was completed, and feedback was Crisis management is well controlled in partnership with the Local Resilience Forum 4 Gold officers trained; 5 officers are booked in for Silver training (courses April and October 2020). Loggist training delivered (in conjunction with PTHB) to 6 PCC staff. An additional 4 staff will be trained in 2020. 1 officer working towards Level 3 Education & Training in order to deliver more in-house training in conjunction with PTHB. <p>06/10/2019</p> <p>2nd Qtr 19/20 Review Summary:</p> <ul style="list-style-type: none"> Service and Corporate Business Continuity Plans fully updated; Creation of new Incident Management Guide (in draft form); Review of contingency planning 	Cllr Phyl Davies Nigel Brinn	6	4	<ul style="list-style-type: none"> '- 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 	Control In Place Control In Place

Strategic Risk Register				Portfolio	Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
			<p>documents underway;</p> <ul style="list-style-type: none"> • Four Gold/Strategic Officers Trained; • Loggist masterclass training undertaken by Civil Contingency team member, this will be delivered to other officers throughout quarter three; • Participation in Exercise Wales Connect; • Continued engagement at multi-agency Local Resilience Forum meetings. <p>07/07/2019</p> <hr/> <p>1st Qtr 19/20 Review Summary:</p> <ul style="list-style-type: none"> - Three SLT members have completed gold training. - Loggists, silver and gold training being requested. - Operation Wales Connet planned for July 2019 (Training) <p>07/04/2019</p> <hr/>					