## Strategic Risk Register

Strategic Ri	ategic Risk Register				Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of			Control or Action	Status
CS0009	Ability to meet the requirements of	- Budget overspend / efficiencies not	11/10/2020	Service Cllr Rachel Powell	9	9	Budget challenge in respect of placement Budget overspend.	Action In Progress
Jan Coles	the MTFS / Retaining grant funding around	achieved - Loss of funding leading to an impact on budget	Qtr 2 20/21 On behalf of Jan Coles. Review Summary: Continue to ensure that we are meeting all requirements of current grant	Alison			Increase number of foster carers.	Action In Progress
Escalated	posts within Children's	and potentially reducing Early Help and	funding, whilst actively seeking new funding streams through the RPB, Welsh	Bulman			<ul> <li>Improvement to Edge of Care services.</li> </ul>	Action In Progress
From :- Children's Services	Services	Intervention and Prevention, which could	Government and elsewhere. There have been additional financial pressures on the				Reporting to Assurance Board, FSP, and Audit Committee	Action In Progress
		increase costs of statutory services - Financial implications	service due to COVID-19 and where possible alternative funding has been sourced to try to off-set this.				Early help hub	Action In Progress
		for the Authority - budget will suffer an	05/07/2020				All other opportunities for grant funding being reviewed, managed and approached	Action In Progress
		overspend - Impact on other	1st Qtr 20/21. Review Summary: Continue to maximise access to and use of grants. Work				Core funding to be aligned to EI&P and not just to rely on Welsh Government grants	Action In Progress
		services/functions- Significant budget	with RPB is extending. Startwell review taking place.				Future shape of service review	Action In Progress
		overspend	10/05/2020				Decrease use of agency staff	Action In Progress
		- Reconfiguration of anti-poverty grants likely	Review Summary: The COVID-19 pandemic has created significant uncertainty however grants which WG use to fund Children's				Head of Service and Senior Managers routinely monitor with finance.	Control II Place
		to have an impact	Services are expected to continue. 19/01/2020				Head of Service and Senior Manager control significant spend and staffing	Control Ir Place
			Qtr 3 19/20 Review Summary: . To date this				Budget challenge and scrutiny	Control Ir Place
			year we have achieved savings however there is an increase in pressures, we				Budget plan in place to address pressures	Control Ir Place
			Children looked after is surrently set at 220				Opportunities for grant funding is continually explored with WG and all other bodies.	Control Ir Place
			Children looked after is currently sat at 239 following large sibling group coming in to the Care of the LA in November (5). Demand for				The RPB has a key priority for EI&P across all ages	Control II Place
			the service can be unpredictable and the LA has a statutory duty to safeguard Children.				Re-structure of Children's Services implemented to develop more locality working and enable resilience	Control li Place
			However, this is significant work going on in the Service to shape the Market in Powys to				Development of transformation plan	Control li Place
			ensure that we are able to provide high quality, cost effective provisions in County				Review of residential placements	Control In Place

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			to meet the needs of our local population and support Children and Young People in our care to achieve the best possible outcomes. In addition to the pressure on our placement budget as described above, we also continue to have continued challenges in recruiting and filling our vacant posts and therefore have a continued reliance on agency staff. Funding by Welsh Government through grants is an aspect of delivering Children's Services. We have worked hard to make the most of the income and use on reducing demand and delivering channel shift. We are at the beginning of a programme of transformation, the benefits of which will not 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. 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 07/04/2019 31/03/2019			

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				or Head				
				of				
				Service				
ED0022	The council will be	Some schools will have	04/10/2020	Cllr Phyl	12	9		
200022	unable to manage	spiralling deficits which		Davies			Implementation of R5 in the PIAP	Action In
Lynette	the schools'	will have a financial	Qtr 2 20/21. Review Summary: In Quarter 1					Progress
Lovell	budget without	impact on the rest of the	the new formula was in place for schools,	Lynette			• PIAP	Control In
	ongoing	Council and the learners	and the change mainly affects the	Lovell				Place
	adjustments to the	in their care.	secondary schools in Powys. The	Loven				
Escalated	distribution formula		authority's ability to evaluate the impact of					
From :-	and improving		the change has been hampered by the					
Education	financial		pandemic, but in the budget setting process					
	management. If		the signs were encouraging and were					
	they are unable to		pointing towards reducing the overall in-year					
	manage the		deficits within the secondary sector.					
	budget, there will		All schools budget submissions were					
	be a significant		reviewed by the interim Chief Education					
	compromise to the		Officer and SSMT in conjunction with the					
	quality of		Head of Finance. All schools in a deficit or					
	education for		significant surplus position were asked to					
	Powys learners.		submit Recovery Plans or Spend plans,					
	, ,		supported by all appropriate documentation					
			by 16th October. The Schools finance team					
			have worked with schools to identify the					
			financial impact of their response to the					
			Covid-19 pandemic, including ensuring that					
			additional expenditure / lost income is					
			accurately recorded and claimed and that					
			any savings / delayed savings are identified					
			and captured. Autumn Term finance					
			surgeries have begun, prioritising those					
			schools with deficits / concerns around					
			finances. All opportunities taken to reinforce					
			importance of good financial housekeeping					
			(e.g. accuracy of coding etc. and to keep					
			schools updated on latest economic /					
			financial issues.					
			1-2-1 training and support has been					
			provided to individual schools as required					
			and additional support has been provided for					
			any new business managers. Finance					
			training was provided as part of the New					
			Head Induction training. Support has been					
			provided for Business Manager recruitment					
			processes.					
			The ALN element of the funding formula is					
			currently being reviewed by a working					

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				of			
	-			Service			
			group of authority officers, head teachers				
			and governor representatives to ensure that				
			the budget is more closely targeted to				
			learners with ALN.				
			28/06/2020				
			1st Qtr 20/21. Review Summary: All Schools				
			have submitted budgets approved by their				
			Governing Bodies. These are being				
			reviewed by the Schools finance team and				
			finance surgeries with Schools are				
			continuing. The interim Chief Education				
			Officer and SSMT in conjunction with the				
			Head of Finance will consider a report				
			setting out individual schools' budget plans				
			and agree any actions required in relation to				
			deficits or clawback. The Schools finance				
			team are working with Schools to update				
			budgets for the impact of the Covid-19				
			lockdown, both in terms of cost reductions				
			due to closure of schools and delayed				
			savings realisation as a result of the				
			temporary withdrawal of the Management of				
			Change process. Schools service and				
			Schools finance team will continue to work				
			with Schools to produce balanced budgets /				
			deficit recovery plans, providing support,				
			challenge and scrutiny as required.				
			A limited review of part of the Schools'				
			funding formula during 2020 is proposed to				
			consider the ALN element. Ongoing work on				
			school transformation needs to be delivered				
			to provide long term sustainable school				
			finances. <b>26/04/2020</b>				
			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				

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			and the greation of a TLD allowance for the	Service			
			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.				
			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.				
			12/01/2020				
			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				
			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.				

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				Service				
ED0023 Lynette	The council fails to make the necessary	Failure to implement these recommendations would have a negative	04/10/2020 	Cllr Phyl Davies	12	9	Reopen Schools	Action In Progress
Lovell	improvements in response to Estyn	impact on learner experience in Powys.	reviewed and agreed 28/9/2020. The Improvement and Assurance Board on	Lynette Lovell			Implementation of the PIAP	Action In Progress
Escalated From :- Education	recommendations.	This could also result in the Welsh Government taking over the responsibility of	29.07.20 recognised that Recommendation 1 is most at risk due to the prolonged period in which the schools were closed. 28/06/2020					
		education in Powys.	1st Qtr 20/21 Review Summary: All staff and pupils have access to the national learning platform (Hwb).					
			All Schools were committed to providing online learning experiences for their pupils, including significant interaction across					
			schools to share effective practice. There are 16,000 learners in Powys and 881 have been provided with digital devices and 532					
			have received mobile Wi-fi devices for use at their home address. This was achieved through effective collaboration between the					
			schools and the Local Authority. Following the WG guidance 'Stay safe, stay learning' and the new advice around live					
			streaming of lessons, all of the Powys schools have now engaged effectively in					
			providing learning experiences for Powys learners. This is monitored weekly by the Challenge Advisers and fortnightly by the					
			Interim Chief Education Officer. However, there is always concern that some learners will find it hard to engage without face to					
			face support from teachers and staff. The School Transformation Board has considered papers which were taken to					
			Cabinet and Scrutiny, and the Leader approved the Strategy for Transforming					
			Education in Powys in Quarter 1. The strategy is currently being implemented and the governance has been approved. The					
			Home to School Transport Policy, is currently in consultation. Following extensive discussions with headteachers, an					

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			engagement paper outlining the broad vision	Service			
			for ALN reform has been agreed by Cabinet				
			and is subject to public engagement which				
			finishes in Quarter 2.				
			In Quarter 1, collaborative and robust				
			decision making by leaders was taken at				
			pace. Officers produced clear guidance for				
			schools and parents. Learners' wellbeing				
			underpinned all strategic decision making.				
			26/04/2020				
			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. 12/01/2020				
			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				

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			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. 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. 01/12/2019				

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FIN0001	The Council is	- The Council is unable	11/10/2020	Cllr Aled	25 15		
FINUUUI	unable to deliver a	to fulfil its legal obligation		Davies	25 15	Revise the Medium Term Financial Strategy	Action In
Jane Thomas	financially	in setting a balanced	Qtr 2 20/21 Review Summary: Q2 outturn	241100			Progress
	sustainable budget	budget	deficit reduced due to the WG support -	Jane		Ongoing discussion with WG and WLGA through Society of Welsh	Action In
	over the sort and	- The Council will not be	services still improving on their forecasts to	Thomas		Treasurers for Future Funding of Local Government	Progress
	medium term. The	financially resilient or	minimise the demand on reserves.	Thomas		WG claims for Hardship and lost income continue and expect to	Action In
Escalated	probability of this	sustainable				remain in place til march 2021	Progress
From :-	risk is heightened	- Council reputation	Budgeting challenge through IBP process is			Reassessment of the activities of the Council through the	Action In
Financial	due to the impact	damaged	ongoing with Services being asked to bridge			Recovery Coordination Group	Progress
Services	of the Covid-19	- Inability to fulfil our	the gaps they evidenced through the first			Review budget position at end of first quarter and consider	Control In
	pandemic and its	statutory requirements	Service Finance Resource Model (FRM)			changes to the 2020/21 budget	Place
	impact on Welsh		discussions - £19m to be addressed, which			Cost Recovery work	Withdrawn
	Government		is not sustainable even with optimistic WG				, and a second
	funding and		settlement scenarios			3rd party spend reduction	Withdrawn
	subsequent		05/07/2020			· · · · · · · · · · · · · · · · · · ·	
	settlements to the					Income Generation	Withdrawn
	Council.		1st Qtr 20/21. Review Summary: The				
			Outturn for 2019/20 reported an underspend			<ul> <li>Monthly reports to cabinet and Management Team on budget</li> </ul>	Withdrawn
			against budget of £1.4 million, however			progress and progress on savings	
			there were significant variances against			Budget Challenge Events	Withdrawn
			budget for some service areas, and delivery				
			of costs reductions were not fully achieved.			<ul> <li>Moved to a 3 year balanced budget</li> </ul>	Withdrawn
			These budget gaps were resolved at budget				
			setting for 2020/21. Although delayed, due				
			to the pandemic, work is now underway to				
			assess each service area and the activity within in it in preparation for budgeting for				
			next financial year and over the longer term.				
			We do not yet have any indication of the				
			funding levels that can be expected from				
			WG, but we will update our financial				
			modelling within the MTFS for potential				
			funding scenarios and the revised budget				
			gaps this creates. Ongoing discussion				
			through Welsh Treasurers with WLGA and				
			WG is fundamental raising awareness of the				
			impact of changes in funding on the service				
			the Council is able to deliver.				
			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				

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			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 undoubtfully 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 07/04/2019				

	isk Register		Portfolio					
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director			Control or Action	Status
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				of				
				Service				
IO0018	Compliance in	Risk of Injury or loss of	20/09/2020	Cllr James	16	9		
	Powys County	life - Reputational		Evans	_		Compliance One Hundred	Action In
ndy	Council Housing	damage - Loss of grants	Qtr 2 20/21 Review Summary: 22.09.20:					Progress
hompson	Stock	(including Major Repairs	Compliance One Hundred project is working	Nina				
		Allowance circa	well but the extent of the work needed -	Davies				
		£3.63m) - Risk of legal	including some works to assets - to achieve					
scalated		action and significant	100% compliance means that a revised					
rom :-		fines	target date of December 2021 is now in					
lousing			place. High risk areas are being addressed					
			with highest priority (for example legionella,					
			heating systems and fire safety) which will					
			mitigate the risks to residents.					
			21/06/2020					
			1st Qtr 20/21. Review Summary: Compliance					
			One Hundred project extended to December					
			2020. Work continues apace to achieve					
			100% compliance by the end of 2020 and to					
			have in place all necessary policies and					
			procedures to maintain that status					
			thereafter. Water systems management has					
			already been improved, with a specialist					
			contractor undertaking water monitoring and					
			a Seven-day-flush regime introduced for all					
			vacant municipal homes. Heating servicing					
			has regained momentum after a hiatus					
			during the Covid-19 event but concerns					
			remain about the quality and administration					
			of work, which have being addressed by					
			the introduction of formal Quality Assurance					
			checking by the Compliance One Hundred					
			team. Asbestos management is being					
			reinforced by a detailed review of all					
			asbestos liabilities in the municipal housing					
			assets. Tenders are being prepared for					
			specialist providers to undertake fire safety					
			work.					
			29/03/2020					
			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					

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			2020. 01/03/2020 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. 02/02/2020 19/01/2020				

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				Service				
ICT0010	Non compliance	'- Potential fine of up to	27/09/2020	Cllr	12	12	Personal Data Breach Management	Action In
	with data	£17,000,000 or 4% of		Graham			r crochar Data Breach Management	Progress
Helen Dolman	protection	annual turnover	Qtr 2 20-21 Review Summary: Control	Breeze			- Information Asset Register	Action In
	legislation (General	- The Council is subject	activities continue, such as Data Protection	Diane				Progress
	Data Protection	to regulatory data	Impact Assessments, Data Processing	Reynolds			<ul> <li>Development of internal records of processing</li> </ul>	-
Escalated	Regulations	protection audits	Agreements etc. Information Security and					Action In
From :-	(GDPR) and UK	- Reputational damage	personal data breach investigations continue to be managed and responded to. The				A Franciscul and a second second second second second	Progress
Digitial	Data Protection Act (DPA) 2018	- Regulatory	Corporate Information Governance Group				<ul> <li>Ensure signed agreements are appropriately stored</li> </ul>	Action In
Services	ACI (DFA) 2018	enforcement action - Detriment to the data	(CIGG) have considered and challenged					Progress
		subjects	elements of activity within the Council's				- Develop data controller vs data Processor check list for services	Action In
		- Civil action and	Information Management Assurance and					Progress
		associated	Governance plan (IMAG) to improve IG				<ul> <li>Review of postal checking regimes in place</li> </ul>	Action In
		consequences	practices, taking into account work ongoing					Progress
			to support additional national Test, trace and				Data Protection Impact Assessments	Action In
			Protect work. Subject Access request					Progress
			(SAR) backlog to be included within COVID				<ul> <li>Provision of information to EMT, HoS, and Team Meetings</li> </ul>	Action
			recovery planning alongside other					Completed
			information request recovery activity				<ul> <li>Presentations to schools</li> </ul>	Action
			05/07/2020					Completed
							GDPR Surgeries	Action
			1st Qtr 20/21 Review Summary:					Completed
			Consideration of measures required				<ul> <li>Review current ISP in line with revised versions</li> </ul>	Action
			continue, based on new processes to be					Completed
			introduced, Data Protection Impact				Staff training	Control In
			Assessments, new IT systems, new ways					Place
			of working, new reasons to process				Communication Plan	Control In
			personal data, outcome of breach investigations etc. The Corporate Information					Place
			Governance Group agreed to revisit the				<ul> <li>Policies and Procedures</li> </ul>	Control In
			Council's Information Management					Place
			Assurance and Governance plan following				<ul> <li>Review existing Data Processing agreements</li> </ul>	Control In
			COVID to consider whether processes,					Place
			practices and risks may have changed.				Cyber Security Action Plan	Control In
			29/03/2020					Place
							DPO considerations on reports to Cabinet	Control In
			4th Qtr 19/20 Review Summary: A breach of					Place
			data protection legislation can occur in many				- Information sharing protocols	Withdrawn
			different ways, and whilst the Council can					
			put in place many technical and operational				- Data sharing agreements	Withdrawn
			measures to ensure compliance, an					
			instance of staff not adhering to those				<ul> <li>Identify where information sharing takes place</li> </ul>	Withdrawn
			measures can result in very serious					
			breaches of personal data, for which the					

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			regulator is able to take action against the	Jeivice		- Implement revised WASPI Accord and templates	Withdraw
			Council as a Controller. The Council is not				, manaraw
			always able to control the errors caused by staff.			<ul> <li>- Revised centralised ISP register to link to information Asset and Record of Processing Activities (ROPA)</li> </ul>	Withdraw
			The more robust the controls and measures the Council has in place to ensure			- Create policy on services undertaking due diligence potential processors	Withdraw
			compliance, then the more effectively it is			- Create log of data processors and agreements linking to	Withdraw
			able to argue cases of human error, when			information asset and ROPA	· · · · · · · · · · · · · · · · · · ·
			staff don't follow those measures or meet				
			those controls put in place.				
			05/01/2020				
			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.				
			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				
			obligations.				
			13/10/2019				
			07/04/2019				
			31/03/2019				
			03/03/2019				

Strategic R	isk Register			Portfolio	Inherent Residu	a Controls and Actions	
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of		Control or Action	Status
ICT0029	Cyber Security Threat. Risk of	Loss of Information systems until they can	04/10/2020	Service Cllr Graham	12 9	Major Incident response processes	Action In
Julie Davies	financial loss, disruption or damage to the	be successfully restored. Loss of data, inability to	Qtr 2 20/21. Review Summary: Security Operation policy and Process formally documented, A Cyber Response procedure	Breeze Diane		End Point AntiVirus in place detecting known threats	Progress Action In Progress
Escalated From :-	reputation of Powys County Council from a	access data or public disclosure of Personal Data.	is in progress detailing Deter, Detect, Respond, and Recover procedures 28/06/2020	Reynolds		Disaster Recovery Procedures     Conital investment in Security Operations Management Table	Action In Progress
Digitial Services	failure of its information	Cyber risk could materialize in a variety of	1st Qtr 20/21. Review Summary: Control			Capital investment in Security Operations Management Tools     Additional Staff Awareness	Action In Progress Action In
	technology systems and	ways, such as: <ul> <li>Deliberate and</li> </ul>	actions in place and work continues on continual improvements identified in the			Capital Investment	Progress Action In
	or/loss of Data due to a cyber attack or Incident.	unauthorized breaches of security to gain access to information	Security Work plan in progress. It remains possible that a cyber attack can happen despite the many controls and procedures in			Security Operations Procedures Policy	Progress Action
		<ul> <li>systems.</li> <li>Unintentional or accidental breaches of</li> </ul>	place to prevent this. 22/03/2020			SBAR Reporting	Completed Action Completed
		security. • Operational IT risks	4th Qtr 19/20 Review Summary 30/3/2020:			Cloud Security controls in place to detect and prevent malicious content in Office365	Control In Place
		due to factors such as poor system integrity.	Continuing to work on actions identified in Cyber Security Plan and to conduct reviews into further improvements to add to plan.			Device Encryprion	Control In Place
			Capital investment has been used to strengthen process for vulnerability			Annual Penetration testing     Cyber Security Improvement Plan	Control In Place Control In
			management and incident detection, which enables prompt corrective action on identified risks. Cyber Essentials +			Cyber Security Certification	Place Control In
			accreditation achieved during this financial year along with IASME Governance			Staff Training	Place Control In
			(Information Assurance for Small and Medium Enterprises Consortium). Progress made in Cyber Security Training for all staff				Place
			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				

Strategic R	egic Risk Register			Portfolio	Inherent Residua	erent Residua Controls and Actions		
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of Service		Control or Action	Status	
			15/12/2019	Octvice				
			07/07/2019					
			07/04/2019					

Strategic Ri	tegic Risk Register			Portfolio	Inherent Residua	Controls and Actions	
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of		Control or Action	Status
PCC0002 Andrea Mansfield	The impact on the Council as a result of Brexit.	<ul> <li>Increased service demand;</li> <li>Relocation from the EU to Powys of families - estimated at 500;</li> <li>Fuel shortages;</li> <li>Loss of access to external (EU) funding programmes;</li> <li>Reduced income to Powys County Council;</li> <li>External market factors;</li> <li>GDPR compliance;</li> <li>Potential financial crash;</li> <li>Unable to recruit/retain staff (EU Nationals);</li> <li>Employee workload;</li> <li>Delays/disruption to food and/or essential supplies.</li> </ul>	04/10/2020         Review Summary: No change to risk rating.         The Strategic Brexit Risk Register and         associated contingency plans are still in         place. 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.         28/06/2020         1st Qtr 20/21. Review Summary: Due to the         impact of the COVID-19 outbreak UK         Government preparations for Brexit have         advanced at a slower pace. There is         currently a lack of clarity over what, if any,         trade deal might emerge from negotiations,         as well as the measures the UK Government         will take to mitigate disruption. This combined         with the wider impact and current         unknowns associated with COVID-19 has         seen both the inherent and residual rating of         this risk increase. The Strategic Brexit Risk         Register and associated contingency plans         are still in place. Powys County Council         continue to work with our partner agencies,         Welsh Local Government Association, and         Welsh Government to ensure that we are         aware of	of Service Cllr Rosemaire Harris Nigel Brinn	16	<ul> <li>Close monitoring</li> <li>Continue to monitor economic indicators</li> <li>Ongoing dialogue with external advisers</li> <li>Cabinet briefed</li> <li>Advice from pension advisers</li> <li>Continue to work with WEFO</li> <li>Brexit Continuity Plan</li> <li>Brexit Risk Register</li> </ul>	Action In Progress Action In Progress Control In Place Control In Place Control In Place Control In Place Control In Place

Strategic Ri	rategic Risk Register			Portfolio	Innerent Residua	Controls and Actions	
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of Service		Control or Action	Status
			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.         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.         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. 06/10/2019 07/07/2019 07/07/2019 07/07/2019 07/07/2019 03/03/2019	Service			

Juacegie IX	tegic Risk Register						
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head		Control or Action	Status
				of			
	The equipoil	Meeting regulatory and	04/10/2020	Service Cllr			
PCC0003	The council receives a	<ul> <li>Meeting regulatory and legislative duties</li> </ul>		Rosemaire	20 16	Improvement and assurance board	Control Ir
Caroline	negative	- Ability to provide a	Qtr 2 20/21. Review Summary: Care	Harris			Place
urner	regulatory /	good quality of service	Inspectorate Wales (CIW) Monitoring Visit			Improvement plans	Control II
	inspection report	to service users	held week 14th September 2020, but	Caroline			Place
		- Managing demand on	outcome letter has not yet been received.	Turner		Communications strategy (internal/external)	Control Ir
		the service	This risk will be reviewed following the CIW				Place
		- Recruitment and	Improvement Conference on the 9th			<ul> <li>close working relationships with regulators</li> </ul>	Control Ir
		retention of staff	October, and the Estyn Improvement				Place
		- Staff morale	Conference on the 18th-19th November.			<ul> <li>corporate support provided to services</li> </ul>	Control Ir
		- Reputational damage	28/06/2020				Place
						<ul> <li>close working relationship with WG</li> </ul>	Control Ir
			1st Qtr 20/21 Review Summary: Publication				Place
			of the Sean Harriss report has been delayed due to Covid, but we expect WG to publish				
			during the Summer of 2020. Powys County				
			Council is currently establishing new				
			improvements and assurance arrangements				
			in place, as part of the transitional				
			arrangements, in anticipation of WG bringing				
			the current Improvement and Assurance				
			Board to an end later this year.				
			We are awaiting the outcome of the recent				
			joint inspection of Mental Health Services by				
			HIW and CIW. Regular meetings continue to				
			be held with Estyn and CIW. CIW will be				
			undertaking monitoring visits during this				
			quarter, with a view to undertake an				
			Improvement Conference during the Autumn. 22/03/2020				
			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.				

Strategic Ri	rategic Risk Register			Portfolio	Inherent Residua	nt Residua Controls and Actions	
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of Service		Control or Action	Status
			D5/01/2020 Srd 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. D8/09/2019				

Strategic R	tegic Risk Register			Portfolio	Inherent I	Residua	Controls and Actions	
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of			Control or Action	Status
PCC0005 Nigel Brinn	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	04/10/2020         2nd Qtr 20/21.         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         Reopening of Schools         Safeguarding         Workforce absence         Delivery of Test Trace and Protect in         conjunction with PtHB         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).         12/07/2020         Admin: amended review date from auto         system setting it.         21/06/2020         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         Chil	Service Cllr Rosemaire Harris Nigel Brinn		20	<ul> <li>Update Business Continuity Plans (at Service and Corporate Level);</li> <li>Establishment of an Internal Silver Command</li> <li>Powys County Council Representation on Powys Teaching Health Board Gold and Silver Command;</li> <li>Liaison with all Local Resilience Forum (LRF) Partners;</li> <li>PCC Liaison with Welsh Government and Public Health Wales;</li> <li>Communication and engagement with schools.</li> <li>Communications to residents, staff and members</li> </ul>	Action Completed Control In Place Control In Place Control In Place Control In Place Control In Place

Strategic Ri	egic Risk Register			Portfolio	Inherent Residua	Controls and Actions			
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of Service		Control or Action	Status		
			Emergency Response arrangements) 03/05/2020						

strategic Ris	gic Risk Register				Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of			Control or Action	Status
Gwilym Davies	Heart of Wales Property Services (HOWPS) being unable to undertake contracted work in a timely and cost effective manner.	<ul> <li>Failure of statutory functions - Compliance.</li> <li>Failure to perform repairs and maintenance.</li> <li>Failure to achieve projected savings.</li> <li>Reputational damage to PCC.</li> <li>Cost to PCC for poor performance.</li> <li>Officer time costs (due to additional workload).</li> <li>Financial Risk to HRA and wider Authority.</li> <li>Critical Wales Audit Office Report.</li> <li>Non-delivery of key projects due to lack of resources.</li> </ul>	27/09/2020         Qtr 2 20/21 Review Summary: - Continued monitoring of HOWPS performance via monthly Contract Management Forum, weekly service area meetings with HOWPS, internal working groups on specific areas of concern, Compliance Boards and regular Cabinet/EMT updates.         12/07/2020         Ist Qtr. 20/21: Review Summary:         • Continued monitoring of HOWPS performance via monthly Contract Management Forums and Compliance Boards.         • 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.         03/05/2020         4th Qtr. 19/20: Review Summary:         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.	of Service Cllr Phyl Davies Nigel Brinn		12	<ul> <li>Performance monitoring</li> <li>Utilisation of contract document to escalate issues.</li> <li>Potential to invoke step in clauses for specific parts of the contract in line with contract</li> <li>Development of evidence and fall-back systems</li> <li>Introduced weekly officer level meetings</li> <li>Development of contingency plans for contract failure</li> <li>Head of Service on HOWPS Board of Directors.</li> <li>Portfolio Holder on HOWPS Board of Directors.</li> <li>Escalation of risk and concerns to Chief Executive and Strategic Directors.</li> <li>Recovery plan submitted by Kier on behalf of HOWPS.</li> <li>Additional resources allocated by Kier (3.5 FTE Change Managers).</li> <li>Close monitoring by Directors/Portfolio Holder/Chief Executive/Strategic Directors.</li> <li>Awaiting consultation resource plan.</li> </ul>	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 Control In Place Control In Place

Strategic Ri	isk Register			Portfolio	Inherent Residua	Controls and Actions	
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of		Control or Action	Status
			due to COVID 19 has meant that targets	Service			
			<ul> <li>due to COVID – 19 has meant that targets within the Rectification plan has been narrowly missed.</li> <li>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.</li> <li>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.</li> <li>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,</li> </ul>				
			therefore this has been increased to weekly monitoring.				
			Issues with Legionella Monitoring, information has not been sent to PCC by HOWPS. Clarification over roles and responsibilities is underway to ensure that risks are assessed and actioned. 12/01/2020				
			<ul> <li>3rd Qtr. 19/20: Review Summary:</li> <li>Continued monitoring of HOWPS performance via monthly Contract Management Forums.</li> <li>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.</li> <li>A Rectification Plan has been received</li> </ul>				
			from HOWPS for services, provided for both Corporate and Housing, which are falling				

	Portfolio	Inherent Residua		
Ref & Owner Risk Itentified Potential Consequence Last Reviews	Director or Head of Service		Control or Action	Status
below the acceptable perform. The Rectification Plan in its or rejected by the Council. A revi Rectification Plan is now awai HOWPS. 06/10/2019 07/04/2019 07/04/2019	Service ance level. iginal form was sed			

Strategic Risk Register			Portfolio	Inherent	Residua	Controls and Actions		
Ref & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of			Control or Action	Status
WO0021 Paul Bradshaw Escalated From :- Workforce and Organisatio n Developmen t	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.	04/10/2020         2nd Qtr 20/21 Review Summary: On behalf         of Ness Young. The RPB Workforce Futures         Strategic Framework is in place and is being         implemented.         The Council's Transforming Education         Programme which sets out a ten year         strategy is also being implemented.         The Council has established an         apprenticeship programme which is being         progressed albeit progress has been         impacted by the COVID19 pandemic         In Children's Services a grow your own         programme is in place and being expanded         in respect of social workers.         12/07/2020         Review Summary: 1st Qtr 20/21. On behalf         of Paul Bradshaw. The Council continues to         respond to the current coronavirus         pandemic by invoking its business continuity         plans which means that we continue to         focus on delivering business critical         activities. As part of this response we         continue to redeploy employees to business         critical services.         The implementation of the council's         workforce strategic Framework will resume         when we return to business as usual.         03/05/2020         4th Qtr 19/20 Review Summary: In quarter	Service Cllr Graham Breeze Alison Bulman	25	20	<ul> <li>Improving skills and supporting people to get good quality jobs</li> <li>Improving education attainment of all pupils</li> <li>Improving the skills and employability of young people and adults</li> <li>Build better connections with Powys schools &amp; universities within Wales &amp; just across the border in order to attract students</li> <li>Developing digital solutions and services</li> <li>Formal partnership with the Open University and secondment of students</li> <li>Developing a health and care workforce for the future</li> <li>Developing a workforce strategy which ensures Council is an excellent employer</li> <li>Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/l</li> <li>Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications t</li> <li>Consideration of a joint bank of staff available to maintain staffing levels and reduce risk</li> <li>Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care ro</li> <li>Conduct research to understand the workforce profile in health and social care</li> <li>Promoting Powys as a place to live, visit and do business</li> <li>Support communities to be able to do more for themselves and reduce demand on public services</li> <li>increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches</li> <li>Telehealth and telecare</li> </ul>	Action In Progress Action In Progress

Strategic Risk Register			Portfolio	Inherent Residua			
ef & Owner	Risk Itentified	Potential Consequence	Last Reviews	Director or Head of		Control or Action	Status
			we are redeploying employees to business	Service			
			critical services.				
			The implementation of the council's workforce strategy and the RPB Workforce Futures Strategic Framework will resume when we return to business as usual.				
			19/01/2020				
			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.				
			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. The Council has launched an apprenticeship				
			talent pool and a joint apprenticeship programme with Powys Teaching Health Board.				
			An action plan has also been develop to improve the recruitment and retention of Qualified Social Workers in Children's Services. 29/09/2019				
			08/09/2019				
			05/05/2019				
			03/02/2019				