

Strategic Risk Register

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
ASC0064 Michael Gray Escalated From :- Powys County Council	WCCIS Unreliability - IF the unreliability of WCCIS is not resolved THEN	Veracity of decision making around adults and children in Powys will be compromised, leading to poor outcomes <ul style="list-style-type: none"> The safeguarding of children and adults in Powys will be compromised There will be significant delays in securing time critical packages of care Our ability to manage transfers of people from hospital to the community will be compromised We will not be able to respond effectively to out of hours emergencies There will be delays in making decision and taking action to keep children safe Staff morale will be affected further, leading to increased sickness absence and staff leaving 	04/07/2021 1st Qtr 2021/22 Review Summary: Reliability of Advanced remains unsatisfactory. Continued meetings with supplier to seek assurances on how they will address these issues. Serious loss of service experienced on 25th May resulting in lack of access to client records across Children's and Adults Services. Business case due to commence in ICT to explore what other client management database options can be pursued.	<i>Cllr Myfanwy Alexander</i> Alison Bulman	20	20	<ul style="list-style-type: none"> Performance issues raised to Welsh Government through SBAR Monthly Contract review meetings with Supplier Steer change management 	<ul style="list-style-type: none"> Action In Progress Action In Progress Control In Place

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COVID0058 Lynette Lovell Escalated From :- Powys County Council	Post Inspection Action Plan (PIAP) for Estyn - Coronavirus may impact on the ability of the service to maintain the level of progress against the PIAP. In particular Recommendation 1 of the PIAP - 'Improve standards in secondary schools and more able learners' as schools are currently closed. Also, Recommendation 4 (the School Transformation / re-organisation programme) could be affected by the Council's ability to conduct strategy consultations relating to Schools Organisation.	Progress against the PIAP may be affected due to the Covid-19 pandemic.	30/05/2021 1st Qtr 2021/22 Review Summary: Work to deliver the PIAP has continued alongside business critical support to schools, families and learners. R1: The Secondary School Improvement Strategy has been developed to deliver this recommendation. R2: This recommendation was completed during quarter 4, future improvements will be delivered via the ALN Strategy. R3: This recommendation is over 80% complete. Progress within quarter includes the implementation of the new staffing structure. R4: The Transforming Education in Powys programme is progressing at pace and to schedule. R5: Good progress continues to be made including recruitment of two new Cluster Business Managers in the Welshpool and Newtown clusters. Officers from the Schools Service and the Finance Team work closely alongside nearly all schools which has resulted in lower projected deficit positions for the schools delegated budget this financial year and beyond. Robust governance and monitoring processes are in place to oversee the progress against each of the recommendations and the PIAP as whole. This has included the Improvement and Assurance Board being stepped down due to appropriate progress being made in most of the recommendations. Quality assurance processes are also robust, which includes effective support and challenge from the Portfolio Holder for Education, through senior management team meetings and formal scrutiny. 28/02/2021	Cllr Phyl Davies Lynette Lovell			<ul style="list-style-type: none"> Continue to deliver service improvement September Update Ongoing progress / service improvement as specified in the PIAP Control January 2021 	Action In Progress Withdrawn Withdrawn Withdrawn

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			<p>4th Qtr 20/21 Review summary. Work to deliver the PIAP has continued alongside business critical support to schools, families and learners.</p> <p>Regarding R1: The Secondary School Improvement Strategy has been developed to deliver this recommendation.</p> <p>Regarding R2: This recommendation was completed during quarter 4, future improvements will be delivered via the ALN Strategy.</p> <p>Regarding R3: This recommendation is over 80% complete. Progress within quarter includes the implementation of the new staffing structure.</p> <p>Regarding R4: The Transforming Education in Powys programme is progressing at pace and to schedule.</p> <p>Regarding R5: Good progress continues to be made including recruitment of two new Cluster Business Managers in the Welshpool and Newtown clusters.</p> <p>07/02/2021</p> <hr/> <p>Review Summary: This risk was reviewed on 09.02.21 and is up to date</p> <p>31/01/2021</p> <hr/> <p>Review Summary: This risk was reviewed on 3/2/2021 and is up to date.</p> <p>24/01/2021</p> <hr/> <p>03/01/2021</p> <hr/> <p>13/12/2020</p> <hr/> <p>06/12/2020</p> <hr/> <p>29/11/2020</p> <hr/> <p>22/11/2020</p> <hr/> <p>15/11/2020</p> <hr/> <p>08/11/2020</p> <hr/> <p>01/11/2020</p> <hr/>					

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			25/10/2020 _____ 18/10/2020 _____ 11/10/2020 _____ 04/10/2020 _____ 27/09/2020 _____ 20/09/2020 _____ 13/09/2020 _____ 06/09/2020 _____ 02/08/2020 _____ 19/07/2020 _____ 12/07/2020 _____ 05/07/2020 _____ 28/06/2020 _____ 07/06/2020 _____					

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CS0081 Jan Coles Escalated From :- Powys County Council	BUDGET: If Children's Services are unable to manage within budget due to: - Market sufficiency for children's placements - Reliance on agency social workers - Inflationary costs and management of pressures - Surge in demand due to COVID-19 - Ending of grant funding	Then this will have implications for the whole Council: - Unable to meet statutory duties - Leaving service users at risk - Reputational damage to the Authority - Unable to manage within financial envelope	04/07/2021 1st Qtr 2021/22 Review Summary: Maximising use of all available grants Ensuring pressures in the service are known and mitigating action taken where possible Closer to home activity continues with HOCS oversight Bids to the council recovery fund made to enable early help and front door services can manage demand away from statutory services wherever possible Work to reduce the number of children brought into public care continues to be successful Number of children looked after has reduced 28/03/2021 4th Qtr 2020/21 Review Summary: Controls and Actions Reviewed 31/3/21 Children Services is 2 years into a long-term strategy to reduce our reliance on Agency Social Workers through our 'Grow Our Own' work. Grant funding for specific work is a feature of the way that Children Services is funded by WG and we work closely with WG to ensure we are able to maximise use of all grants made available and bid for additional grant funding. Children Services is also 2 years into a long-term strategy to rebalance the placement provision in County and reduce dependency on out of county providers. The pandemic has brought about uncertainty and an increase in demand which we are monitoring carefully. We are working with multi agency partners to ensure we are working together to support children and their families, guard against duplication of work and respond to need as early as possible, preventing escalation.	<i>Cllr Rachel Powell</i> Alison Bulman	12	9	<ul style="list-style-type: none"> • Ensure market within Powys is sufficient to meet demand • Work to reduce reliance on agency social workers • Make best use of Welsh Government COVID-19 Hardship Fund and other available resources • Ensure Continuing Care for Children and Young People protocol being applied correctly and consistently • Integrated budget planning • Develop early intervention and prevention services in order to mitigate demand on longer term services • Ability to meet the requirements of the MTFS / Retaining grant funding around posts within Children's Services • Work with service providers to limit impact of supreme court legal judgement 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Action In Progress Control In Place Control In Place Withdrawn Withdrawn

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ED0022 Lynette Lovell Escalated From :- Powys County Council	The council will be unable to manage the schools' budget without ongoing adjustments to the distribution formula and improving financial management. If they are unable to manage the budget, there will be a significant compromise to the quality of education for Powys learners.	Some schools will have escalating deficits which will have a financial impact on the rest of the Council and the learners in their care.	04/07/2021 1st Qtr 2021/22 Review Summary: Warning notices issued to four Powys schools due to financial concerns have now been removed. We have removed the warning notices for Crickhowell High School, Welshpool High School, Ysgol Bro Hyddgen and Ysgol Gymraeg Y Dyffryn Y Glowyr after reviewing the latest budget proposals submitted by the schools. Warning notices are in place for Ysgol Calon Cymru and Ysgol Maesydderwen and warning notices for Brecon High School and Ysgol Cedewain will be reviewed in the Autumn. The warning notices issued to these schools have been in place since July 2019. A warning notice was issued to Clyro Church in Wales School in December 2020 due to financial concerns. Financial delegation continues to be suspended at the school. No further warning issues are being issued by the council currently but will do so to schools if there is a cause for concern. Confirmation on the removal of the warning notices was reported in an information report on schools' financial position at the end of March 2021 as well as the budget plans for 2021-22, which were considered by Cabinet on Tuesday, July 13. Cabinet were also informed that at the end of March 2021, 81 schools were in a surplus position with a combined surplus balance of £6.9m. However, there are 14 schools in a deficit balance position with a combined cumulative deficit of £3.7m but this does compare favourably with the end of March 2020, where there were 23 schools with a combined deficit of £4.9m. 80 schools were budgeting to be in a cumulative surplus position at the end of March 2022. These budgets meet the criteria to be approved under the Scheme for	<i>Cllr Phyl Davies</i> Lynette Lovell	12	9	<ul style="list-style-type: none"> Implementation of R5 in the PIAP PIAP 	<ul style="list-style-type: none"> Action In Progress Control In Place

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			<p>Financing Schools.</p> <p>However, there are 11 schools that are budgeting to be in a cumulative deficit position at the end of March 2022. Four of these schools meet the criteria within the Scheme for Financing Schools to be a licensed deficit while seven schools did not meet the criteria and are unlicensed according to the scheme.</p> <p>11/04/2021</p> <p>4th Qtr 20/21 Review Summary: 4th Quarter 2020-21. Review Summary:</p> <ul style="list-style-type: none"> -The provision of additional grants to support Covid-19 related spend during February and March 2021 will improve the overall financial positions of schools at year end and will allow schools to fund additional support for learners as they return to school. -All schools received their updated funding packs for 2021-22 and beyond and are currently working on their budgets for the new financial year. Once these are approved by the Governing Body they will be submitted by 1st May. -Some schools continue to be in a significant deficit position and causing some concern, although the vast majority are working well with the authority to manage reductions in their deficit. The authority has had to suspend financial delegation at one school following a refusal to submit a recovery plan. -Small group training and support has been provided on finance to individual schools and any new business managers / bursars and work is continuing with the Business Manager / Bursar Working Group. Two new cluster business managers took up their posts in January and have been supported as they settle into their new roles. -The schools funding formula has been updated for the ALN funding changes agreed as part of the funding formula review in 2020. The Schools' Budget Forum has agreed the Terms of Reference for the 2021 Formula Review Group which will be reviewing the whole formula to better meet the needs of the post-transformation schools estate. The group's work will take place over the summer 					

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			<p>term.</p> <p>-The benchmarking tool has been demonstrated to Headteachers and will be rolled out to schools early in the summer term.</p> <p>10/01/2021</p> <hr/> <p>3rd Qtr 2020-2021. Review Summary: A rolling programme of the review of the school budget funding formula has continued through 2020 despite the pandemic, although the scale of the review was limited to the Additional Learning Needs (ALN) funding element as this was needed urgently. A full review of the whole formula will begin in 2021 with the aim of ensuring that the formula will be suitable for the post-transformation configuration of schools.</p> <p>All schools in a deficit or significant surplus position in May 2020 were asked to submit Recovery Plans or Spend plans by mid October 2020. These were reviewed by the Interim Chief Education Officer and Head of Finance for any follow up actions which were addressed where needed.</p> <p>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 were undertaken with all schools. All opportunities were taken to reinforce the importance of good financial housekeeping (e.g. accuracy of coding etc.) and to keep schools updated on the latest economic / financial issues.</p> <p>Training and support has been provided to individual schools and any new business managers. Governor Finance training was provided in November 2020 and support has been provided for the Business Manager recruitment processes.</p> <p>The ALN element of the funding formula has been reviewed by a working group of authority officers, head teachers and governor representatives with the aim of ensuring that the budget is more closely targeted to learners with ALN. The revised funding methodology has been agreed by</p>					

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			<p>Schools' Budget Forum and Cabinet and the impact assessment and transitional arrangements are being prepared.</p> <p>04/10/2020</p> <hr/> <p>Qtr 2 20/21. Review Summary: In Quarter 1 the new formula was in place for schools, and the change mainly affects the secondary schools in Powys. The authority's ability to evaluate the impact of the change has been hampered by the pandemic, but in the budget setting process the signs were encouraging and were pointing towards reducing the overall in-year deficits within the secondary sector.</p> <p>All schools budget submissions were reviewed by the interim Chief Education Officer and SSMT in conjunction with the Head of Finance. All schools in a deficit or significant surplus position were asked to 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.</p> <p>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.</p> <p>The ALN element of the funding formula is currently being reviewed by a working group of authority officers, head teachers and governor representatives to ensure that the budget is more closely targeted to learners with ALN.</p>					

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			<u>28/06/2020</u> <u>26/04/2020</u> <u>12/01/2020</u>					

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FIN0001 Jane Thomas Escalated From :- Powys County Council	The Council is unable to deliver a financially sustainable budget over the short and medium term. The probability of this risk is heightened due to the impact of the Covid-19 pandemic and its impact on Welsh Government funding and subsequent settlements to the Council.	<ul style="list-style-type: none"> - The Council is unable to fulfil its legal obligation in setting a balanced budget - The Council will not be financially resilient or sustainable - Council reputation damaged - Inability to fulfil our statutory requirements 	<p>04/07/2021</p> <p>1st Qtr 2021/22 Review Summary: The outturn position improved by the support from WG provides confidence that the financial position in the new year is not likely to now be catastrophic. The impact on future year budget settlements are unknown and at this stage we are completing a worst case scenario for budget setting</p> <p>11/04/2021</p> <p>4th Qtr 20/21 Review Summary: The Council has approved a Revenue budget and Capital Programme for 2021/22. The budget fully considers the pressures facing services through next year and includes a robust set of cost reductions for which Heads of Service have provided assurance they can deliver. The MTFS for the next 4 years still has significant budget gaps totalling £38 million over the next 4 years and our focus has to now turn quickly to review this and how we plan to address the shortfall. There is currently no indication of what future funding settlements could look like so the Council will continue to use scenario planning to look at worse and best case scenarios. Continued discussions through SWT with WG and WLGA will ensure that all parties are fully informed of any impact proposed settlements would have.</p> <p>10/01/2021</p> <p>3rd Qtr 2020-2021. Review Summary: The development of the budget has been completed by Cabinet following the receipt of the Provisional Settlement on the 22nd December providing the Council with an additional 4% in 'Aggregate External Finance' (AEF) funding for 2021/22. The additional settlement has helped bridge the remaining budget gap and Cabinet will propose a balanced budget for 2021/22. There is no indication of future funding levels, the Mid Term Financial Strategy (MTFS) has been updated to reflect the current economic climate and the 5 year Finance Resource Model (FRM) still shows significant budget gaps across the following 4 years based on a</p>	<p><i>Clr Aled Davies</i></p> <p>Jane Thomas</p>	16	12	<ul style="list-style-type: none"> • WG claims for Hardship and lost income continue and expect to remain in place til march 2021 • Revise the Medium Term Financial Strategy • Ongoing discussion with WG and WLGA through Society of Welsh Treasurers for Future Funding of Local Government • Reassessment of the activities of the Council through the Recovery Coordination Group • Review budget position at end of first quarter and consider changes to the 2020/21 budget • 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"> Action In Progress Action In Progress Action In Progress Action Completed Control In Place Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn

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			<p>number of scenarios. The MTFS sets out the principles and approach that will be adopted to identify ways of bridging these gaps. The impact of the ongoing pandemic has been considered in the plans and we await confirmation of WG funding to support this.</p> <p>11/10/2020</p> <hr/> <p>Qtr 2 20/21 Review Summary: Q2 outturn deficit reduced due to the WG support - services still improving on their forecasts to minimise the demand on reserves.</p> <p>Budgeting challenge through IBP process is ongoing with Services being asked to bridge the gaps they evidenced through the first Service Finance Resource Model (FRM) discussions - £19m to be addressed, which is not sustainable even with optimistic WG settlement scenarios</p> <p>05/07/2020</p> <hr/> <p>03/05/2020</p> <hr/> <p>05/01/2020</p> <hr/> <p>29/09/2019</p> <hr/> <p>07/04/2019</p> <hr/>					

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HO0024 Nina Davies Escalated From :- Powys County Council	Failing to meet all applicable statutory requirements providing for the health and safety of the occupants in Powys County Council Housing Stock .	<ul style="list-style-type: none"> Increased risk of death & serious injury. Reputational risk. Failure to support well-being and peace of mind of residents and tenants 	<p>04/07/2021</p> <p>1st Qtr 2021/22. Review Summary: The Compliance One Hundred Team manage each element of compliance for the Housing Service and report on a monthly basis to the Housing Compliance Project Board and Housing Services Improvement Board Welsh Government have stated that significant progress has been made, however, meetings continue on a bi-monthly basis to ensure progress continues. Key focus remains with the Compliance On Hundred Team and staff contracts have been extended until December 2021.</p> <p>18/04/2021</p> <p>Qtr 4 20/21. Review summary: The Compliance One Hundred Team manage each element of compliance for the Housing Service and report on a monthly basis to the Housing Compliance Project Board and Housing Services Improvement Board. Welsh Government have stated that significant progress has been made, meetings continue on a bi-monthly basis to ensure progress continues. Key focus remains with the Compliance One Hundred Team and staff contracts have been extended until December 2021.</p>	<p>Cllr Iain McIntosh</p> <p>Nina Davies</p>	12	6	<ul style="list-style-type: none"> Continued delivery of Compliance One Hundred project to drive up compliance and quality assurance with clear focus on... Fire Safety; Asbestos Management; Fixed Electrical Installations; LOLER; Water Systems; Heating Systems. 	<p>Action In Progress</p> <p>Action In Progress</p>

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ICT0010 Diane Reynolds Escalated From :- Powys County Council	Non compliance with data protection legislation (General Data Protection Regulations (GDPR) and UK Data Protection Act (DPA) 2018	'- 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	<u>04/07/2021</u> 1st Qtr 2021/22 Review Summary: Control activities continue to be developed, implemented and monitored, taking into account work reactive nature of some elements of work, as services develop, change and transform. Personal data breach continue to occur, very often due to human error. The reporting of such breaches to the regulator (ICO) undertaken in line with obligations placed on the council. The more robust the Council's IG and security frameworks the better placed the council is to defend its practices to the ICO despite breaches of data protection legislation having occurred. <u>04/04/2021</u> 4th Qtr 20/21 Review Summary: Control activities continue to be developed, implemented and monitored. New IMAG plan 2021-2023 developed and agreed by CIGG March 2021, in order to further improve IG practices and compliance, taking into account work ongoing to support additional national Test, Trace and Protect work, SAR backlog is being addressed with those resources available to undertake such work. Personal data breach continue to occur, very often due to human error. The reporting of such breaches to the regulator (ICO) undertaken in line with obligations placed on the council. The more robust the Council's IG and security frameworks the better placed the council is to defend its practices to the ICO despite breaches of data protection legislation having occurred. <u>20/12/2020</u> 3rd Qtr 2020-2021. Review Summary: Control activities continue such as Data Protection Impact Assessments, Data Processing Agreements etc. Information Security and personal data breach investigations continue to be managed and responded to. The Corporate Information Governance Group (CIGG) have considered and challenged elements of activity within the Council's Information Management	<i>Cllr Beverley Baynham</i> Diane Reynolds	12	12	<ul style="list-style-type: none"> - Information Asset Register - Development of internal records of processing - 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 - Ensure signed agreements are appropriately stored - Develop data controller vs data Processor check list for services - Personal Data Breach Management - Data Protection Impact Assessments - Cyber Security Action Plan - DPO considerations on reports to Cabinet - Information sharing protocols - Data sharing agreements - Identify where information sharing takes place - 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 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Action Completed Action Completed Action Completed Action Completed Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn

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			<p>Assurance and Governance plan (IMAG) to improve IG practices, taking into account work ongoing to support additional national Test, trace and Protect work, to ensure the lawful and fair use of personal data to deliver the Council's response to COVID 19. Subject Access Request (SAR) backlog is being addressed with those resources available to undertake such work.</p> <p>27/09/2020</p> <hr/> <p>Qtr 2 20-21 Review Summary: Control activities continue, such as Data Protection Impact Assessments, Data Processing Agreements etc. Information Security and personal data breach investigations continue to be managed and responded to. The Corporate Information Governance Group (CIGG) have considered and challenged elements of activity within the Council's Information Management Assurance and Governance plan (IMAG) to improve IG practices, taking into account work ongoing to support additional national Test, trace and Protect work. Subject Access request (SAR) backlog to be included within COVID recovery planning alongside other information request recovery activity</p> <p>05/07/2020</p> <hr/> <p>29/03/2020</p> <hr/> <p>05/01/2020</p> <hr/> <p>13/10/2019</p> <hr/> <p>07/04/2019</p> <hr/> <p>31/03/2019</p> <hr/> <p>03/03/2019</p> <hr/>					

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ICT0029 Diane Reynolds Escalated From :- Powys County Council	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: <ul style="list-style-type: none"> 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. 	<u>20/06/2021</u> Qtr 1 2021/22 Review Summary: Investment made into additional Security Tools to detect and Prevent Malware <u>11/04/2021</u> Qtr 4 20/21 Review Summary: Capital Budget is being used to fund advanced Threat Detection Software for Endpoints. Welsh Government Cyber Resilience Funding used to purchase Anti-Ransomware product to protect Sharepoint and on Site storage files <u>03/01/2021</u> 3rd Qtr 2020-2021 Review Summary: Control Actions to reduce risk reviewed, Capital Budget had been approved for next 5 years to invest in Cyber Security. <u>04/10/2020</u> Qtr 2 20/21. Review Summary: Security Operation policy and Process formally documented, A Cyber Response procedure is in progress detailing Deter, Detect, Respond, and Recover procedures <u>28/06/2020</u> <u>22/03/2020</u> <u>29/12/2019</u> <u>15/12/2019</u> <u>07/07/2019</u> <u>07/04/2019</u>	Cllr Beverley Baynham Diane Reynolds	12	9	<ul style="list-style-type: none"> NCSC 10 Steps Actions Risk Management NCSC 10 Steps Actions Engagement & Training NCSC 10 Steps Assett Management NCSC 10 Steps Actions Architecture and Configuration NCSC 10 Steps Actions Vulnerability Management NCSC 10 Steps Actions Identity and Access Management NCSC 10 Steps Actions Data Security NCSC 10 Steps Logging and Monitoring NCSC 10 Steps Incident Management NCSC 10 Steps Actions Supply Chain Security Additional Staff Awareness Major Incident response processes Disaster Recovery Procedures Security Operations Procedures Policy Capital investment in Security Operations Management Tools Capital Investment SBAR Reporting Cloud Security controls in place to detect and prevent malicious content in Office365 End Point AntiVirus in place detecting known threats Device Encryprion Annual Penetration testing Cyber Security Improvement Plan Cyber Security Certification 	Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action Completed Action Completed Action Completed Action Completed Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place

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							<ul style="list-style-type: none"> • Staff Training • Detection and Response Tools 	Control In Place Control In Place

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PCC0002 Nigel Brinn	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>04/07/2021</p> <p>1st Qtr 2021/22. Review Summary: Work continues on assessment of how this will impact PCC and local businesses. This will be ongoing as new legislation comes through from Welsh Government. Further funding has been agreed from WG for Brexit Co-ordinator role and the best use of this funding will be agreed with HOS as part of a Regeneration restructure.</p> <p>11/04/2021</p> <p>Qtr 4 20/21 Review Summary: Work continues on assessment of how this will impact PCC and local businesses. This will be ongoing as new legislation comes through from Welsh Government. Further funding has been agreed from WG for Brexit Co-ordinator role and the best use of this funding will be agreed with HOS.</p> <p>10/01/2021</p> <p>3rd Qtr 2020-2021. Review Summary: The Brexit transition is now complete and a deal has been agreed. Work continues on assessment of how this will impact PCC and local businesses. This will be ongoing as new legislation comes through from Welsh Government.</p> <p>04/10/2020</p> <p>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.</p> <p>28/06/2020</p> <p>12/04/2020</p> <p>12/01/2020</p> <p>06/10/2019</p>	<p>Cllr Rosemaire Harris</p> <p>Nigel Brinn</p>	16	12	<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 • Brexit Continuity Plan • Brexit Risk Register 	<ul style="list-style-type: none"> 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
			<u>07/07/2019</u> <u>07/04/2019</u> <u>31/03/2019</u> <u>03/03/2019</u>					

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
PCC0003 Caroline Turner	The council receives a negative regulatory / inspection report	<ul style="list-style-type: none"> - Meeting regulatory and legislative duties - Ability to provide a good quality of service to service users - Managing demand on the service - Recruitment and retention of staff - Staff morale - Reputational damage 	<p>04/07/2021</p> <p>Qtr 1 2021/22. Review Summary: Education Service are preparing for the Estyn Improvement Conference in November 2021. Inspection of Youth Justice Board arrangements is due soon. In future, all Inspection Reports will be considered by Governance & Audit Committee.</p> <p>11/04/2021</p> <p>Qtr 4 2020/21. Review Summary: Social Services are no longer subject to enhanced monitoring by CIW. Estyn will undertake a further visit in November 2021 and in the meantime their Local Authority Inspectors will continue to have frequent meetings with Service Leaders and others.</p> <p>10/01/2021</p> <p>Qtr 3 2020/21. Review Summary. At the Improvement Conference in October 2020, CIW confirmed they were happy with the progress of Social Services and that they no longer needed enhanced monitoring. Estyn undertook an improvement conference and concluded that: During the conference, the local authority demonstrated that it has begun to make sound progress since the inspection. It is showing a clear commitment to addressing the issues that were raised as well as evaluating its progress against its plans. Importantly, it is building leadership capacity which has the potential to secure sustainable improvements. Overall, the local authority has identified sufficient resources to implement its plans as well as considering the barriers to progress and associated risks appropriately.</p> <p>Audit Wales conducted audits of Workforce Planning, the Vision 2025 Transformation Programme, and Environmental Health all of which were positive.</p> <p>04/10/2020</p> <p>Qtr 2 20/21. Review Summary: Care Inspectorate Wales (CIW) Monitoring Visit held week 14th September 2020, but outcome letter has not yet been received.</p>	<p>Cllr Rosemaire Harris</p> <p>Caroline Turner</p>	12	9	<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 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>This risk will be reviewed following the CIW Improvement Conference on the 9th October, and the Estyn Improvement Conference on the 18th-19th November.</p> <p>28/06/2020</p> <hr/> <p>22/03/2020</p> <hr/> <p>05/01/2020</p> <hr/> <p>08/09/2019</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 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	<p>04/07/2021</p> <p>1st Qtr 2021/22. Review Summary: The Council revoked Business critical activity in May 2021 and have been transitioning to BAU activity for most services. Children's Services, Adult Services and Commissioning continue to operate in BCP due to pressures on these services. All risk assessments and BCP's have been updated to reflect new pressures identified by a possible third wave.</p> <p>11/04/2021</p> <p>Review Summary: 4th Qtr 20/21 Review Summary: The Council has developed a separate risk register for the Coronavirus pandemic. There are now 3 severe risks to the Council which are Adult Services, Children's Services and Financial impact.</p> <p>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).</p> <p>17/01/2021</p> <p>3rd 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</p> <p>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).</p> <p>04/10/2020</p>	Cllr Rosemaire Harris Nigel Brinn	25	15	<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 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>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</p> <p>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 <hr/> 21/06/2020 <hr/> 03/05/2020 <hr/></p>					

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 Nigel Brinn Escalated From :- Powys County Council	Heart of Wales Property Services (HOWPS) being unable to undertake contracted work in a timely and cost effective manner.	<ul style="list-style-type: none"> - Failure of statutory functions (Compliance). Potential for prosecution (HSE) and prohibition notices. - Failure to perform repairs and maintenance. Could lead to legal action against the authority. - Reputational damage to PCC (client credibility). - 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. - Health and safety risks. 	<p>04/07/2021</p> <p>1st Qtr 2021/22 Review Summary: - Risks have increased as a result of the decision to end the contract with HOWPS and bring services back inhouse and as a result of a review of risks by the HOWPS Risk Register working group. Controls and Actions continue to be implemented. Review of controls and actions to be undertaken monthly.</p> <p>11/04/2021</p> <p>4th Qtr 2020/21 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.</p> <ul style="list-style-type: none"> -Step in implemented for part of housing contact. -Rectification plans secured in relating to poorly performing areas. -Contract review ongoing. <p>10/01/2021</p> <p>3rd Qtr 2020-2021. 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.</p> <p>27/09/2020</p> <p>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.</p> <p>12/07/2020</p> <p>03/05/2020</p>	Cllr Phyl Davies Nigel Brinn	<div style="background-color: #ff0000; color: white; padding: 2px; display: inline-block;">20</div>	<div style="background-color: #ff0000; color: white; padding: 2px; display: inline-block;">20</div>	<ul style="list-style-type: none"> • Potential to invoke step in clauses for specific parts of the contract in line with contract • Rectification plan(s) to be secured and monitored by PCC when submitted by HOWPS. • Additional resources allocated by Kier and PCC. • Close monitoring by Directors, Chief executive and Portfolio Holders. • Performance monitoring (Contract management forum, weekly meetings etc.) • Utilisation of contract document to escalate issues. • Development of evidence and fall-back systems (contingency plans). • Introduced weekly officer level meetings • Development of contingency plans for contract failure • Awaiting consultation resource plan. • 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. 	<ul style="list-style-type: none"> Action In Progress 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 Withdrawn Withdrawn Withdrawn

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
			<u>12/01/2020</u> <u>06/10/2019</u> <u>07/07/2019</u> <u>07/04/2019</u>					

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
WO0021 Paul Bradshaw Escalated From :- Powys County Council	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>27/06/2021</p> <p>1st Qtr 2021/22 Review Summary: The 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 adversely impacted to a degree by the COVID19 pandemic. In Children's Services a grow your own programme is in place and continues to be implemented for social workers.</p> <p>In addition we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> - the Arwain Employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and new staff trying to access employment in the sector) - the Kickstart programme (government initiative to provide work experience to 16-24 years through a 6 month fully supported work placement) - Apprenticeships – widening the apprenticeship offer in Social care 5 additional post in this financial year - Access for carers and volunteers to statutory education packages (NHS E-learning) to start a foundation of learning pre-employment - Exploring a health and social care induction framework that provides the foundation skills for Health Care Support Workers coming into the sector (programme aligned to the SCW induction framework and Health clinical induction framework) <p>04/04/2021</p> <p>4th Qtr 20/21 Review Summary: The 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.</p>	Cllr Graham Breeze Alison Bulman	25	16	<ul style="list-style-type: none"> • increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches • Telehealth and telecare • Improving the skills and employability of young people and adults • Developing a health and care workforce for the future • Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications • Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care • Conduct research to understand the workforce profile in health and social care • Formal partnership with the Open University and secondment of students • Promoting Powys as a place to live, visit and do business • Support communities to be able to do more for themselves and reduce demand on public services • Developing digital solutions and services • Developing a workforce strategy which ensures Council is an excellent employer • Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/l • Improving skills and supporting people to get good quality jobs • Improving education attainment of all pupils • Consideration of a joint bank of staff available to maintain staffing levels and reduce risk • Build better connections with Powys schools & universities within Wales & just across the border in order to attract students 	Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action Completed Action Completed Action Completed Withdrawn Withdrawn Withdrawn Withdrawn

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>The Council has established an apprenticeship programme which is being progressed albeit progress has been adversely impacted by the COVID19 pandemic</p> <p>In Children's Services a grow your own programme is in place and continues to be implemented for social workers.</p> <p>Plans are in place to recruit a further 5 apprentices in Social Care.</p> <p>03/01/2021</p> <hr/> <p>3rd Qtr 2020-2021 Review Summary: The RPB Workforce Futures Strategic Framework is in place and is being implemented.</p> <p>The Council's Transforming Education Programme which sets out a ten year strategy is also being implemented.</p> <p>The Council has established an apprenticeship programme which is being progressed albeit progress has been adversely impacted by the COVID19 pandemic. In Children's Services a grow your own programme is in place and continues to be implemented for social workers.</p> <p>04/10/2020</p> <hr/> <p>2nd Qtr 20/21 Review Summary: On behalf of Ness Young. The RPB Workforce Futures Strategic Framework is in place and is being implemented.</p> <p>The Council's Transforming Education Programme which sets out a ten year strategy is also being implemented.</p> <p>The Council has established an apprenticeship programme which is being progressed albeit progress has been impacted by the COVID19 pandemic</p> <p>In Children's Services a grow your own programme is in place and being expanded in respect of social workers.</p> <p>12/07/2020</p> <hr/> <p>03/05/2020</p> <hr/> <p>19/01/2020</p> <hr/> <p>29/09/2019</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
			<u>08/09/2019</u> <u>05/05/2019</u> <u>03/02/2019</u>					