

Risk Ref	Date Identified	Source	Service Area	Risk Identified	Potential Consequence	Inherent Risk		Current Controls	Risk Owner	Portfolio Holder	Proposed Further Actions / Controls	Residual Risk		Notes				
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ASC9	15/07/2015	SIP	Adult Social Care	The Council's ability to recommission the Domiciliary Care Service without increased costs as a result of Dynamic Purchasing System (DPS).	Domiciliary Care Service fails, leaving service users at risk. Reputational and financial impact / damage. The Council would not be providing domiciliary care services according to procurement regulations. Increase in spend on Domiciliary Care.	M	C	High	8	Progressive rollout. Engagement with providers via contract management process. Action Plan & Accountability Framework. Action within SIP. Portfolio Holder delegated decision report was agreed for Domiciliary Care Framework Options (July 2017). Market position statement will lead into a Domiciliary Care Strategy. Implement approved provider list. Currently developing the DPS which will aim to manage costs by adopting floor and ceiling prices.	Alison Bulman	Cllr Stephen Hayes	Improved working arrangements with PAVO to support and build capacity in the third sector; Move from traditional provider / commissioner relationship to co-production with stakeholders; Develop outcome based commissioning. Integrated approach with PTHB to design a joint domiciliary service model. Revisit Adult Scrutiny Group with further proposals on the DPS.	L	H	Medium	3	
CR17	22/01/2016	SMT	Corporate	Living wage and increased pension requirements are resulting in increased financial pressure.	Additional financial implications; Some ASC providers may remove provision; Inability to meet statutory requirements; Unaffordable within current budget.	H	C	High	12	Working with ASC providers to understand increased cost pressures; Funding identified for 2017/18 in the budget process.  Identify capacity issues. All change projects allocated a project manager. Regular budget monitoring. ICF money from WG to engage with Work undertaken with Vanguard.	David Powell	Cllr Aled Davies	Continuation of existing controls.	L	C	Medium	4	
ASC14	14/09/2015	CEO	Adult Social Care	Continuity of provision of WCCIS (DRAIG replacement). Financial model has not been implemented. WCCIS system is not currently able to provide all the data required for service monitoring and planning.	Loss of data resulting in officers being unable to access client files. Continuity of reporting; Loss of data; Decisions around service management and change can not be based upon robust data. The development of the DPS requires accurate data. Work is ongoing to utilise different packages within WCCIS, and work is ongoing with the Business Intelligence team to draw accurate information as required.	H	H	High	9	Ongoing support from ICT: - SIP Objective 2017 - ICT1 Support post implementation benefit release of the National WCCIS system. Some data will become available beginning of November 2017 enabling reporting and practice. Work is ongoing to utilise different packages within WCCIS, and work is ongoing with the Business Intelligence team to draw accurate information as required.	Alison Bulman	Cllr Stephen Hayes	Delivery plan for the proposed WCCIS finance module. Business Intelligence working on data reporting and performance measures from WCCIS. Some decisions may need to be deferred if the data is not ready. This could lead to financial loss, legal risk, and reputational damage.	H	H	High	9	
CG1	Prior to 2014	SIP.LV2	Legal	Failure of governance.	Council acts ultra vires; Contravenes finance regulations and EU procurement regulations. Failure to distribute	M	M	Medium	4	All work is report based and there is a mechanism in place by which appropriate checks are made - two checks are made by Finance and two checks by Legal (Section 151 Officer and Monitoring Officer).	David Powell	Cllr Aled Davies	ModernGov Phase 2 project started. Input required from company to provide training. Will be piloted with one service initially. This will insist on timely provision of reports and will send reminder emails to the appropriate officers; Programme Governance Action Plan - spot audits of Programme Boards; Audit of Programme Board governance; Regulatory Reports.	L	M	Low	2	The software is extensively used by WG and automatically sends reminder emails to officers.
CR1	21/11/2012	Risk Register 21/11/12 12.100	Corporate	The Council is unable to manage the level of financial cuts required by the Welsh Government and the relatively poor funding position	The Council incurs significant overspend. Projected budget will suffer an overspend. Penalties and fines may be imposed Council reputation damaged	H	H	High	9	Medium Term Financial Plan; Cost Recovery work; 3rd party spend reduction; Income Generation; Monthly reports to cabinet and Management Team on budget progress and progress on savings; Budget Challenge Events; Moved to a 3 year balanced budget; Budget Management Reserve; Impact Assessments; Resource Delivery Plan.	Jane Thomas	Cllr Aled Davies	Re-establishment of the Income & Cost Improvement Board.	M	H	Medium	6	
CR6	21/11/2012	Risk Register 21/11/12 12.90	Corporate	Lack of adequate resilience planning	Non-compliance with Civil Contingencies Act (CCA) 2004; Failure to deliver critical services in the event of a declared emergency or event.	M	H	Medium	6	Education and training programme; Business Continuity Management (BCM) Group established; Services supported to produce their own Business Continuity Plans (BCPs); Self-evaluation of BCM incorporated into SIP process; PCC representation on Dyfed Powys Local Resilience Forum (LRF); 24/7 Duty Emergency Planning Officer to facilitate PCC response.	David Powell	Cllr Aled Davies	Continual engagement with BCM Champions via quarterly Business Continuity Group; Services to continue to develop and test their BCPs; External Education and Training with LRF Partners to ensure Integrated Emergency Management (IEM); Recent audit undertaken by Internal Audit team, resulting in an Action Plan.	L	M	Low	2	

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CR10	21/11/2012	Risk Register 21/11/12 12 97	Corporate	Failure to monitor and protect Council assets	Theft and abuse of Council property	H	M	Medium	6	Each service should have its own asset register; All ICT equipment should be recorded on the ICT central asset register.	Mark Evans	Clr James Evans	Ensure that all services have their own asset registers in place; Incorporate into Starters and Leavers process.	M	M	Medium	4	
E1	Prior to 2014	SIP	Environment Directorate	The authority does not have a sufficiently robust risk assessment process for the management of Health & Safety (H&S) across the organisation. In addition to this, due to nature of the work carried out in HTR, considerable reliance is placed on the workforce to deliver services safely, in the interests of both staff and public.	Injury to individuals and risk to the Authority; People could be seriously or fatally injured; Exposure to litigation.	H	H	High	9	Health and Safety meetings, revenues, training and audit; Public liability insurance; Procurement - external contractors risk statements - monitoring. Promotional campaign for risk assessment for staff across the authority completed w/e 26/05/2017; Staff bulletin issued; Management Team (MT) briefing cascaded to ensure learning is understood by all staff responsible for H&S.	Nigel Brinn	Clr James Evans	Continually review robust site supervision and monitoring processes internally and externally with contractors; Full review of risk assessments to be undertaken by all Service Areas - Risk assessment audit process currently being reviewed by H&S team; H&S to be included within IPRs; MT considering sufficiency of current mechanism for managing H&S.	M	H	Medium	6	
ICS1	Prior to 2014	SIP.ICT.?	ICT and Programmes	Current systems are not covered by a fully resilient DR Solution (Infrastructure and Policies/processes)	Failure to maintain key ICT services in the event of a major incident.	H	H	High	9	Close working with Microsoft and Platform Consultancy to explore utilising the latest cloud services. This will provide both a backup solution and disaster recovery solution. This will provide PCC with the ability to instantly power up all replicated servers in the cloud. Microsoft Data Protection Manager will perform nightly backups to on-site storage, this will then be replicated into Azure blob storage as an off-site back for long-term storage.	Mark Evans	Clr James Evans	Replacement of existing systems; Fire prevention for server rooms; Second link from a second site within the North of the County to replicate systems; New systems which are purchased require cloud hosting capability; SLA discussions will also impact the solutions; Engagement with external provider to identify and provide a suitable BC solution.	H	H	High	9	
PPPP12	11/12/2015	HoS	Property, Planning & Public Protection	We have identified CE1M of health and safety works (electricals, sewerage systems, asbestos etc.) that need to be undertaken on the 139 Farm Houses in our estate.	Financial and reputation risk to the Council if the remedial works are not undertaken.	H	H	High	9	A further £500k capital identified to undertake work in 2018/2019.	Nigel Brinn	Clr James Evans	Rolling programme of works. Funding for the urgent works has been dealt with as part of the Council's overall budget setting process. £500k capital works (urgent works) has been completed. Programme developed for the next 2 years to address the highest priority cases. Underspend from 17/18 rolled forward to 18/19.	M	H	Medium	6	Programme developed for £500k spend for 2018/2019.
CR14	13/01/2015	SMT	Corporate	Condition and security of buildings, premises and sites.	<ul style="list-style-type: none"> <li>Breach of Equalities legislation;</li> <li>Failure to comply with H&amp;S legislation;</li> <li>Failure to be able to provide services in a suitable way to the public, and accommodation which is suitable for staff.</li> </ul>	M	H	Medium	6	Strategic review of office accommodation in progress. Schools Review of Special Schools; 21st Century Schools Programme (prioritised according to pupil vulnerability); A new Schools Service Major Improvement Programme Scoring and Prioritisation criteria was agreed by Cabinet 3/3/15, and it was also agreed a spend of £1m per year for the next three years.	David Powell	Clr Phyl Davies	Strategic Outline Plan for 21st Century Schools and Capital Investment Programme; Revision of Schools Service Asset Management Plan including: - <ul style="list-style-type: none"> <li>Revision of SLAs as part of JVC (incorporating Property Plus);</li> <li>Defined Client side role;</li> <li>Develop robust SLA with clearly defined roles;</li> <li>Develop a commissioning model;</li> <li>Understanding of how work is commissioned.</li> </ul> Health & Safety Officer carrying out a rolling programme of audits. Further guidance to be issued to schools in September relating to Health & Safety and Safeguarding.	L	H	Medium	3	
CR15	25/01/2016	PCC Welfare Reform Advisory Group	Business Services	The welfare reform programme against a backdrop of changing legislation and roll out of Universal Credit has likelihood of large impact on Powys citizens, in addition to HRA income. Access to IT equipment. Resourcing issue, particularly in Libraries.	Customers having less income and requiring support to adjust; Resilience of service to continue to provide additional service as UC increases; In subsidy audit potential penalty imposed; Rent collection rates drop, resulting in a loss of income for the HRA; Inability to implement change requirements and provide the expected service within the Government set framework and targets.	V	M	High	8	Provide financial advice. Administer discretionary housing payments (DHP) to people who are unable to manage their housing costs (WG allocated fund); Steering Group chaired by Portfolio Holder; Communication and money advice to support people; Financial advisers employed. Digital support being provided (training to staff). Establishment of Operational Group within Powys to co-ordinate activities of joint communications plan, joint training plan. Support from DWP - training, help with launches (Joint Powys & DWP introductions).	Mark Evans	Clr Aled Davies	Financial profiling of tenants; Using Shire meetings to notify members; Discussions around working with Credit Unions to mitigate potential loss of income; Lessons learned via UC LA Group; Training provided to all support staff within Council; Template for work plans to be developed; Additional admin support to be used; Stakeholder event meeting.	H	M	Medium	6	Universal Credit will be rolled out in Powys by October 2018. Resource issue - however two new officers will working on a part-time basis to ensure work is completed.
CR16	07/07/2016	Audit Committee	Corporate	The impact on the Council as a result of Brexit	Interest rates, negative impact on investments and the pension fund, wider economic impact, exchange rates, European funding grants.	H	H	High	9	Close monitoring; Cabinet briefed; Advice from pension advisers; Continue to work with WEFO.	Mark Evans	Clr Aled Davies	Continue to monitor economic indicators. Ongoing dialogue with external advisers.	H	H	High	9	

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ICS8	13/01/2016 (Revised 03/04/2017)	ICT SMT	ICT and Programmes	Failure to control and secure ICT systems and data against unauthorised access including Cyber-crime attack.	Corrupt data resulting in data loss. Corrupt machines resulting in system down time. Loss of internet access resulting in reputational damage. Financial consequences if we were held to ransom.	V	H	High	12	Anti-virus software. Anti-malware software. Anti-spam software on email system. Firewalls. Security controls in place and continuously reviewed. Secure copies of data kept in the cloud to allow restoration of systems. Staff awareness of ICT security via e-learning.	Mark Evans	Cllr James Evans	ICT Governance reviewed and has directed a new BC to be authorised based on the results of field testing conducted on 3 products. Currently evaluating a product. Resilient systems to be implemented to allow delivery of ICT systems if main site compromised. Review to be undertaken of the NCSC 10 Steps to Cyber Security, to include: - 1. Risk Management Regime; 2. Network Security; 3. User education and awareness; 4. Malware prevention; 5. Removable media controls; 6. Secure configuration; 7. Managing user privileges; 8. Incident management; 9. Monitoring; 10. Home and mobile working. Patching (updating software to ensure they have no vulnerabilities). Implementation of Government Cyber Essentials	M	H	Medium	6	Linked to CR19.
HTR2	2014	SIP	Highways, Transport & Recycling	Meeting the requirement of the MTFS, including achievement of savings and income generation targets. Noting the Transformation stretch target of £1.0m and the unfunded service pressures.	Financial implications for the Authority - budget will suffer an overspend. Impact on other services / functions.	H	H	High	9	Regular review through the MTFS and corporate governance; Programme and Project Boards; Finance report to Cabinet	Nigel Brinn	Cllr Phyl Davies	Monitoring and reporting through corporate financial processes and systems	H	H	High	9	
LR24	2016	LR SIP 2016-19 Objective LR10	Leisure & Recreation	<u>Brecon Cultural Hub (y Gaer)</u> 1. Possible need to draw upon £75k agreed risk pot. 2. Possible delay to programme construction end date. 3. Insufficient revenue funding available and planned for, for the taking over of y Gaer - utilities; rates; staffing; cleaning. 4. No reporting line to Economy Programme Board set up at present.	1. Requirement to approach Portfolio Holder / Cabinet for use of additional funding within £75K risk pot. 2. Pressure placed on fit out and migration schedule; potentially delaying opening in 2018. 3. Revenue costs not able to be met, leading to overspend and requirement for increased revenue budget in future. 4. Risk to governance being sufficiently strategically observed.	H	H	High	9	- Cost fix now agreed and in place limiting any exceeding of agreed budget. Quantity & type of uncertainty greatly reduced as construction progresses. Risk being placed with Kier e.g. costs from programme delays. - Raising awareness internally, at project Board and with responsible Portfolio Holders and senior officers, along with partners and stakeholders. - Raising concerns at early stages, and escalating through Project Board and at the Economy programme Board once established. - Project Manager in place who has building and project management experience and knowledge – strict, persistent and challenging monitoring of contractors, costs & programmes protecting Council's budgetary interests. - Maintenance of regular (monthly) Project Board meetings involving detailed reporting, rigorous scrutiny and decision making.	Ian Budd Nigel Brinn	Cllr Phyl Davies Cllr Rachel Powell	- Continuation and expansion of project development activity including cost engineering reduction exercise and design refinements and acquisition of accurate tender prices and costings. - Continue close & exacting monitoring at high level between Powys County Council, consultants & contractors. - Continue fundraising campaigns to relieve pressures on budget, add value to overall scheme and mitigate deficiencies in cost plan i.e. where important scheme elements have been extracted (via VE) and need re-introducing e.g. development of Captain's Walk (now funded); purchase of furniture and fit out for overall building; design & fabrication of integral public art elements (2). - Continue to develop strong and transparent communication amongst project team; continue to liaise, communicate with & engage funding partners, stakeholders & community at strategic and local level. - Promote scheme widely to encourage and build support (further & future funding, volunteering input, sponsorship) and to ensure excellent service delivery and customer usage / satisfaction upon opening. - Continue detailed planning for a sustainable & rigorous business model to be in place upon opening.	H	H	High	9	Whilst the risk rating remains necessarily High due to the nature of costs being intrinsically partially fluid, the scale, type and impact of risk is greatly diminishing; Overall status of risk less critical as completion date draws closer (construction completion expected Aug 2018, with soft opening Dec 2018/Jan 2019).
HTR4	16/11/2017	SIP	Highways, Transport & Recycling	To provide safe highways assets and structures as far as reasonably practical	Breach of statutory duties and subsequent financial and reputational demand, e.g. third party claims.	H	H	High	9	Careful prioritisation of work and resource allocation (Capital budget). Revenue budget (cleaning, sweeping, winter maintenance).	Nigel Brinn	Cllr Phyl Davies	Capital investment in highway network, road safety grants; Revise and update Highways Asset Management Plan; Determine future levels of service; Improve operational delivery.	H	H	High	9	

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CS4	14/11/2017	SMT	Children's Services	Develop structure to respond to CSSIW report (August 2017).	<ul style="list-style-type: none"> <li>- Meeting regulatory and legislative duties.</li> <li>- Managing demand on the service.</li> <li>- Risk to children.</li> <li>- Recruitment and retention of staff.</li> <li>- Staff morale.</li> <li>- Reputational damage.</li> </ul>	H	H	High	9	<ul style="list-style-type: none"> <li>- Assurance Board.</li> <li>- Improvement Plan.</li> <li>- Partnership Board (with other agencies).</li> <li>- Increase number of qualified social workers (additional staff recruited).</li> <li>- Communications strategy (internal/external).</li> <li>- Monitoring by CIW.</li> <li>- Report to Minister/CIW every 90 days.</li> <li>- Improved monitoring structures with Elected Members.</li> <li>- Updated and implemented supervision programme.</li> <li>- Monitoring of timeliness of assessment.</li> </ul>	Alison Bulman	CIW Rachel Powell	Continuation of current controls.	H	H	High	9	
CS5	14/11/2017	SMT	Children's Services	Not having sufficient foster or respite placements.	<ul style="list-style-type: none"> <li>- Children at risk.</li> <li>- Children placed greater distance from families.</li> <li>- Children in residential placements as no alternative available.</li> <li>- Children not having needs met.</li> </ul>	H	H	High	9	<ul style="list-style-type: none"> <li>- Fostering marketing and recruitment campaign developed.</li> <li>- Increased scrutiny of corporate parenting from Elected Members.</li> <li>- Part of Improvement Plan.</li> <li>- Active monitoring of children's placements.</li> <li>- Monitoring of increased budgetary pressures.</li> <li>- Safe reduction of numbers of looked after children.</li> </ul>	Alison Bulman	CIW Rachel Powell	<ul style="list-style-type: none"> <li>- Develop in-house provision to create efficiencies.</li> <li>- Increase in house capacity.</li> <li>- Increase early intervention to ensure families stay together.</li> <li>- Development of Edge of Care services.</li> <li>- CYP to develop services for children across all agencies in Powys (prevent).</li> <li>- Develop provision for respite across the county.</li> <li>- MAAP process needs to be reviewed.</li> <li>- Strong communications links for recruitment for carers.</li> </ul>	H	H	High	9	<ul style="list-style-type: none"> <li>- Budget pressures exist.</li> <li>- Additional investment required to achieve performance.</li> <li>- Improved performance seen.</li> <li>- 8.5 FTE vacancies in service.</li> </ul>
CR19	28/11/2017	CIOG	Corporate	Non Compliance of the principals of the General Data Protection Regulation (GDPR) at introduction.	<ul style="list-style-type: none"> <li>- Potential fine of up to €20,000,000 or 4% of annual turnover.</li> <li>- Regulatory data protection audits.</li> <li>- Reputational loss of PCC.</li> <li>- Regulatory enforcement action.</li> <li>- Detriment to the data subjects.</li> <li>- Civil action and associated consequences.</li> </ul>	H	C	High	12	<ul style="list-style-type: none"> <li>- Development of Communication Plan (completed September 2017) and in the process of being delivered.</li> <li>- Provision of information to SMT, HoS, and Team Meetings.</li> <li>- Presentations to schools.</li> <li>- GDPR Surgeries (completed December 2017).</li> <li>- Information Asset Audit (IAA) in progress, however this has been delayed to do resource issues, and lack of/late responses from some services. This will continue alongside GDPR preparation.</li> <li>- Development of internal records of processing, IAA are the foundations of this work. Deadline agreed at CIGG January 2019.</li> <li>- Staff training - work is underway to move current training into a new format. Completion expected Summer 2018.</li> <li>- Technical controls - existing controls will be documented by 25th August 2018.</li> <li>- Policies and Procedures - existing policies to be revised by 25th May 2018, Information Compliance Policy under development and to be completed by 25th May 2018.</li> <li>- Information sharing protocols - Information Asset</li> </ul>	Mark Evans	CIW James Evans	<ul style="list-style-type: none"> <li>- Develop processes and provide awareness to all staff.</li> <li>- Actions from Information Asset Audit.</li> <li>- Further technical controls.</li> <li>- Further policies and procedures.</li> </ul>	M	C	High	8	<ul style="list-style-type: none"> <li>- Data Protection Officer planning aspect in hand, however there are concerns over service area management of their responsibilities in terms of considering legal basis for processing, developing privacy notices etc.</li> <li>- Comes into force 25/5/18.</li> <li>- Linked to ICS8 and CG2.</li> <li>- Mark Evans appointed Senior Information Risk Officer (SIRO).</li> </ul>
CS11	08/12/2017	HoS	Corporate	Failure to meet the statutory deadlines imposed on the Council as a relevant authority under the National Training Framework under Violence Against Women, Domestic Abuse and Sexual Violence Wales Act (2015).	<ul style="list-style-type: none"> <li>- Risk to CIW inspection of adult services.</li> <li>- Potential criticism and legal challenge to the Council in the event of this lapse being a significant factor in a Domestic Homicide Review or instance of abuse.</li> <li>- Reputational damage to the authority.</li> </ul>	V	H	High	12	<ul style="list-style-type: none"> <li>- Report considered by Cabinet, first two statutory requirements missed, requirement for 100% for Group 1 by 31st March 2018 missed. Outcome was 59% of staff completed training.</li> <li>- Presentations given to staff members who do not have IT access.</li> </ul>	Alison Bulman	CIW Stephen Hayes CIW Rachel Powell	Detailed improvement plan on VAWDASV prepared for Cabinet.	V	H	High	12	

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ASC18	15/07/2017	HoS	Adult Social Care	<b>Inability to recruit the level and scale of staff required to vacant posts across the organisation due to inability to attract and/or an unsustainable employable local demographic.</b>  This is a particular issue within Adult Social Care, where the Social Care Wales requirement for carers to register may make the work less attractive, further exacerbating the issue.	Insufficient staff to meet service demands; Lack of qualified and experienced staff; Poor performance; Demotivated workforce; Unmet demand; Financial implications of using agency staff. Failure to recruit social workers has led to lengthy delays in assessments. Use of expensive agency staff can result in short term accountability, and a failure to provide a continuity of professional involvement for vulnerable service users. Short term funding of the enhanced brokerage service (to procure residential care placements) has led to inability to recruit and failure to provide the service as hoped. This has led to untrained practitioners brokering care placements with businesses and agreeing to costs significantly above the expected price.	H	H	High	9	- Investing in our workforce (training and development); - Support for staff; - Integrated approach across PCC and PTHB, including the alignment of HR/OD; - Working with HR Business Partners. - Powys County Council Recruitment Campaign. - Growing our own/career graded apprenticeship approach policy approved and launched.	Sarah Powell  Alison Bulman	Cllr James Evans  Cllr Stephen Hayes	- Develop workforce strategy looking at workforce demographics over next 5-10 years, skills and workforce training. - Integration of Mental Health teams to be scoped. - Move to a new approach of values based recruitment process. - Future Workforce (Making it Happen/Corporate Leadership and Governance Plan) has replaced ROOTS Programme. - Work with PCC/Heath Board to understand new skill mix required. Informed by Healthcare Strategy/Parliamentary Review of Health and Social Care in Wales.	M	H	Medium	6	Linked to ASC 19.
ASC19	23/10/2017	HoS	Adult Social Care	Projected demographics of Powys suggest a significant increase in older people, and a significant decrease in the working age population. Therefore ensuring an adequate caring and professional workforce is a risk.	Care provision and assessment provision becomes scarce, leaving service users at risk of no care.	V	C	Very High	16	Recruitment Campaign. Telecare.	Alison Bulman	Cllr Stephen Hayes	PSB Consideration? Consideration of workshop to brainstorm future strategy? Develop economy? Lobby Welsh Government? Research to be commissioned in partnership with the Powys Social Value Forum, Credu, and PAVO, considering the untapped workforce potential in one area of Powys. This will look at the possibility of carers, stay at home parents, retired individuals, and others becoming part time support workers or carers for service users. This work is to be aligned with and owned by the PCC workforce development service.	V	C	Very High	16	Linked to ASC 18. Needs consideration across wider Council and not just in ASC. Audit Committee will be reporting on this.
ASC22	15/07/2017	HoS	Adult Social Care	Current Bupa contract for Powys Care Homes expires June 2019. Powys needs to agree and implement new management of Care Homes post 2019.	If no contract is agreed and implemented, homes may need to be taken under the management of PCC, which could be costly and resource hungry.	H	C	High	12	Work being undertaken to appraise various options - being undertaken during March/April 2018 with a Cabinet report being prepared during the Spring of 2018.	Alison Bulman	Cllr Stephen Hayes	Meetings with interested parties. Meeting with one interested company is being held on 30th April 2018.	M	C	High	8	
CS12	02/02/2018	HoS	Children's Services	Addressing the deficit in the Children's Service FRM (£1.1million) for 2018/19.	Financial implications for the Authority - budget will suffer an overspend. Impact on other services / functions.	H	H	High	9	- Regular budget monitoring and reviewing of the savings tracker. - Development of transformation plan. - Review of residential placements.	Alison Bulman	Cllr Rachel Powell	- Future shape of service review. - Decrease use of agency staff.	V	H	High	12	
ASC28	01/04/2018	Adult's Service Transformation SMT	Adult Social Care	Legal case is being undertaken at the High Court with regards to payment for 'sleep-in' care work. Paying the National Minimum/Living Wage when carers are asleep has not been consistent.  Depending upon the case law set this could lead to significant financial	Legal challenge. Reputational challenge. Financial impact - significant. It is estimated that the impact could be up to £1m in disability services alone.	H	H	High	9	Working group has been set up to consider options and to receive legal advice. This group is looking at practice elsewhere and considering current contracts in order to understand the situation fully. The group is also anticipating the outcome of the legal case being considered currently.	Alison Bulman	Cllr Stephen Hayes	Continuation of the actions set out previously with legal advice from the Council's solicitors expected at the next meeting.	H	H	High	9	
HS9	05/08/2015	Environment Management Team	Housing/ Property, Planning, and Public Protection	Heart of Wales Property Services (HoWPS).	Failure of statutory functions. Failure to perform repairs and maintenance. Failure to achieve projected savings. Reputational damage to PCC. Cost to PCC for compensating residents for poor performance. Officer time costs (due to additional workload). Financial Risk to HRA and wider Authority. Critical Wales Audit Office Report. Non-delivery of key projects due to lack of resources.	V	H	High	12	Head of Service on HOWPS Board of Directors. Portfolio Holder on HOWPS Board of Directors. Escalation of risk and concerns to Chief Executive and Strategic Directors. Recovery plan submitted by Kier on behalf of HOWPS. Additional resources allocated by Kier (3.5 FTE Change Managers). Close monitoring by Directors/Portfolio Holder/Chief Executive/Strategic Directors.	Nigel Brinn	Cllr James Evans  Cllr Phyl Davies	Performance monitoring. Utilisation of contract document to escalate issues. Development of evidence and fall-back systems. Introduced weekly officer level meetings. Development of contingency plans for contract failure. Potential to invoke step in clauses for specific parts of the contract in line with contract. Awaiting consultation resource plan.	H	H	High	9	

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CS22	10/07/2018	Children's Services Management Team	Children's Services	Unavailability of WCCIS due to system and network issues.	Children at risk as files do not contain the most up to date information; Failure to update files with key data, impacting performance reported; Reduction in staff capacity; Impact of staff morale.	H	H	High	9	- Upgraded all switches that feed PPD office to 20Gbps; - Ensured that all PC's/Laptops are connected to 1Gbps port; - Setup monitoring on Park Office's switch stack; - Received a list from Careworks of URL's and IP addresses that will now allow us to properly test and then implement bypass of proxy for PTHB staff; - Investigating potential DNS issue for PCC staff; - Received quote and agreed purchase of upgrade for Ynys Y Plant; - Proceeding with further quotes for upgrade of other PTHB sites; - Contacted other LA's to understand their issues; - Liaising with BT with regards to upgrade of PSBA link into County Hall; - Working with BT to move schools to cloud filtering solution to stop bottleneck of traffic at County Hall.	Alison Bulman  Mark Evans	Cllr Rachel Powell		H	H	High	9	