

Strategic Risk Register Quarter 2 2019-20

Strategic Risk Register				Portfolio	Inheren	Residu	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Notes	Director or Head of Service			Control or Action	Status
PCC0004 Ness Young	Significant long term decrease in the working age population impacts on Council's ability to recruit and retain or commission the workforce it requires	Council is unable to secure the services needed by the local population, including care and assessment provision, education, waste, highways, housing culture and support services.	<p>Progress against mitigating actions since last qtr.</p> <p>2nd Qtr 19/20 Overall risk progress: Draft health and social care strategic framework has been developed</p> <p>2nd Quarter progress of supporting mitigating actions are as follows:</p> <p>Developing digital solutions and services -A Digital First Executive Group has been established under the Health and Care Strategy and a Strategic Framework is in development</p> <p>Improving education attainment of all pupils -In secondary schools, new qualifications have been introduced during the past three years. Welsh Government have also introduced interim key stage 4 performance measurement arrangements with a change from Level 2 qualifications (A*- C) to Capped 9 Average Point Score. Key stage 4 and 5 data within the report remains provisional as we await the verified data available in December 2019.</p> <ul style="list-style-type: none"> In Powys, there was an improvement of 6.1 points in the average Capped 9 points score for individual pupils. The average Capped 9 point score has increased in 7 out of 11 Powys secondary schools. Across ERW, the average Capped 9 point score increased by 10.9 points. Powys is ranked 3rd across the ERW local authorities. <p>Developing a workforce strategy which</p>	Cllr Graham Breeze Ness Young	25	20	<ul style="list-style-type: none"> Promoting Powys as a place to live, visit and do business Improving skills and supporting people to get good quality jobs Developing a health and care workforce for the future Improving the skills and employability of young people and adults Support communities to be able to do more for themselves and reduce demand on public services Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/l Formal partnership with the Open University and secondment of students Build better connections with schools within Powys and universities within Wales and just across the border in order to attract Developing digital solutions and services Improving education attainment of all pupils Developing a workforce strategy which ensures Council is an excellent employer Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications t Consideration of a joint bank of staff available to maintain staffing levels and reduce risk Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care ro Conduct research to understand the workforce profile in health and social care increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches Telehealth and telecare 	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p>

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			<p>ensures Council is an excellent employer -Draft Council workforce strategy has been produced</p> <p>Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications -Rural academy proposal is being developed by the Workforce Futures Board as part of the Workforce Futures Strategic Framework</p> <p>Consideration of a joint bank of staff available to maintain staffing levels and reduce risk -Proposal being developed</p> <p>Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care roles -Joint apprenticeship scheme now in place</p> <p>Conduct research to understand the workforce profile in health and social care -Research complete and underpins draft Workforce Futures Strategic Framework</p> <p>-All other mitigating actions that support this risk have nothing to report this quarter.</p> <p>1st Qtr 19/20 No change this quarter</p> <p>4th Qtr 18/19 Powys as a whole faces a significant long-term workforce challenge because demographic change is leading to an increase in older people (75+) and a decline in the number of people of working age. This information is based upon the Welsh Government Population Projections (2016)- http://pstatic.powys.gov.uk/fileadmin/Docs/Statistics/Themes/Population/R_POPPROJ_19-</p>					

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			<div>09-10129-2016-en.pdf</div> <table><tr><td>Age Group</td><td>2014</td><td>2019</td><td>2029</td></tr><tr><td>2039</td><td></td><td></td><td></td></tr><tr><td>Working Age (16-64)</td><td>77,200</td><td>73,500</td><td></td></tr><tr><td>65,200</td><td>56,900</td><td></td><td></td></tr><tr><td>75+</td><td>15,100</td><td>17,600</td><td>24,000</td></tr><tr><td>28,200</td><td></td><td></td><td></td></tr></table> <p>The figures suggest that compared to 2014 there are now approximately 4,000 fewer people of a working age in Powys. In ten years' time that figure will have increased to 12,000 (ie a 15% reduction in our working age population) at the same time as we will see an increase in over 75s of nearly 60%. This risk will impact on the whole council, albeit some services may feel the impact at different times. We therefore need to take a whole council approach to our management of this risk. Vision 2025 sets out the Council's Improvement Plan for the next five years and there are a number of commitments contained in that document that will help to mitigate this risk, including:</p> <p>Promoting Powys as a place to live, visit and do business - Head of Housing and Community Development Improving skills and supporting people to get good quality jobs- Head of Education Developing a health and care workforce for the future - Head of Workforce and Organisational Development Developing digital solutions and services - Corporate Director - Transformation Improving education attainment of all pupils - Head of Education Improving the skills and employability of young people and adult - Head of Education Support communities to be able to do more for themselves and reduce demand on public services -Head of Housing and Community Development</p>	Age Group	2014	2019	2029	2039				Working Age (16-64)	77,200	73,500		65,200	56,900			75+	15,100	17,600	24,000	28,200							
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			<p>Developing a workforce strategy which ensures Council is an excellent employer - Head of Workforce and Organisational Development</p> <p>In addition, Adult Social Services and Children's Services are taking a number of specific actions, supported by Workforce and Organisation Development to tackle the issue, which is already having a significant impact in domiciliary care staff recruitment and social work recruitment. Here there are areas where recruitment and retention is more difficult, including mental health social workers who are AMHP qualified, where a number of recent campaigns resulted in 19 applicants but only two people being appointed. Within domiciliary care, it is becoming more difficult for providers to recruit staff.</p> <p>Actions that are being taken forward in 2019-20 to mitigate the immediate social care risks include:</p> <p>Increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches - Head of Commissioning (Children's and Adults)</p> <p>Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/living environment - Head of Workforce and Organisational Development</p> <p>Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications to support role requirements within the Council and the Health Board - Head of Workforce and Organisational Development</p> <p>Formal partnership with the Open University and secondment of students - Head of Adult Services and Head of Children Services</p>					

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			<p>Consideration of a joint bank of staff available to maintain staffing levels and reduce risk - Head of Workforce and Organisational Development</p> <p>Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care roles - Head of Workforce and Organisational Development</p> <p>Build better connections with schools within Powys and universities within Wales and just across the border in order to attract younger people to work in Powys - Head of Education</p> <p>Conduct research to understand the workforce profile in health and social care - Head of Workforce and Organisational Development</p> <p>Telehealth and telecare - Head of Commissioning (Children's and Adults)</p>					
ICT0010 Helen Dolman Escalated From :- Digital Services	Non compliance with data protection legislation (General Data Protection Regulations (GDPR) and UK Data Protection Act (DPA) 2018	- 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	Progress against mitigating actions since last qtr. 2nd Qtr 19/20 Nothing to report. 1st Qtr 19/20 4th Qtr 18/19 Review of some policies, training and awareness raised. Changes to mandatory training agreed	Cllr Graham Breeze Ness Young	12	12	<ul style="list-style-type: none"> • Staff training • Communication Plan • - Information Asset Register • - Development of internal records of processing • - Ensure signed agreements are appropriately stored • - Develop data controller vs data Processor check list for services • Review of postal checking regimes in place • Provision of information to EMT, HoS, and Team Meetings • - Presentations to schools • GDPR Surgeries 	Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action Completed Action Completed Action Completed

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			<p>Agency staff applying and being appointed to permanent positions</p> <p>Two consultants due to leave in May</p> <p>Continued focus on returning children from out of county placements</p> <p>Admission panel established, chaired by Head of Service, to enable practice to be guided and ensure oversight of all admissions to care</p> <p>Budget training for all managers</p> <p>Budget included as part of performance management in the service</p>				<ul style="list-style-type: none"> • Head of Service and Senior Manager control significant spend and staffing • Budget challenge and scrutiny • Budget plan in place to address pressures • Opportunities for grant funding is continually explored with WG and all other bodies. • The RPB has a key priority for EI&P across all ages • Re-structure of Children's Services implemented to develop more locality working and enable resilience • Development of transformation plan • Review of residential placements 	<p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>
<p>FIN0001</p> <p>Jane Thomas</p> <p>Escalated From :- Finance</p>	The Council is unable to manage the level of financial cuts required by the Welsh Government and the relatively poor funding position	<p>- The Council incurs significant overspend</p> <p>- Projected budget will suffer an overspend</p> <p>- Penalties and fines may be imposed</p> <p>- Council reputation damaged</p>	<p>Progress against mitigating actions since last qtr.</p> <p>2nd Qtr 19/20, Integrated Business Planning in place, Service proposals submitted, Cabinet continue to develop a draft budget plan.</p> <p>Engagement with the wider Council membership, and consultation with the public commencing and development of the budget simulator.</p> <p>1st Qtr 19/20 Scenario planning in place and projected budget gap calculated, development of budget commenced with Cabinet.</p> <p>Development of Integrated Business Planning and new approach to budgeting, focusing on outcomes. Budget planning over a 3 years rather than 1 financial year</p> <p>4th Qtr 18/19</p> <p>Revised MTFS approved by council on the 7.3.19. A new approach to financial planning and budgeting is currently being developed to improve financial resilience over the short, medium and long term. This will be approved by Cabinet by the end of April. A new specific savings delivery</p>	<p>Cllr Aled Davies</p> <p>Jane Thomas</p>	16	9	<ul style="list-style-type: none"> • Cost Recovery work • 3rd party spend reduction • Income Generation • Medium Term Financial Strategy • Monthly reports to cabinet and Management Team on budget progress and progress on savings • Budget Challenge Events • Moved to a 3 year balanced budget 	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>

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			report will be submitted to cabinet and council on a quarterly basis in order to increase the monitoring of delivery and increase the challenge of non delivery.					
PCC0002 Greg Thomas	The impact on the Council as a result of Brexit.	<ul style="list-style-type: none"> - Increased service demand; - Relocation from the EU to Powys of families - estimated at 500; - Fuel shortages; - Loss of access to external (EU) funding programmes; - Reduced income to Powys County Council; - External market factors; - GDPR compliance; - Potential financial crash; - Unable to recruit/retain staff (EU Nationals); - Employee workload; - Delays/disruption to food and/or essential supplies. 	<p>Progress against mitigating actions since last qtr.</p> <p>2nd Qtr 19/20 This risk is being managed the Brexit Coordination Group, which meets on a monthly basis. The Brexit Coordination Group maintains a separate risk register. At this time the Brexit outcome is still unknown, and therefore this remains a high risk to the Council.</p> <p>1st Qtr 19/20 Risk has been reviewed and risk rating increased due to the current uncertainties regarding Britain's exit from the European Union, and a potential 'No-Deal' Scenario on October 31st 2019. The Strategic Brexit Coordination Group (BCG) has conducted impact assessments, and where appropriate controls and monitoring are in place. PCC is prepared as far as practicable for any Brexit scenario, and we wait further guidance for UK and Welsh Government.</p> <p>4th Qtr 18/19 - The Strategic Brexit Co-Ordination Group has been established, which has identified 82 service level, and 11 strategic potential impacts as a result of Brexit. Where appropriate, mitigation has been put in place for these impacts. - Latest negotiations between the UK Government and the EU have suggested that a no deal Brexit is increasingly unlikely, therefore the risk level has been reduced.</p>	<p>Cllr Rosemaire Harris</p> <p>Nigel Brinn</p>	12	9	<ul style="list-style-type: none"> • Close monitoring • Continue to monitor economic indicators • Ongoing dialogue with external advisers • Cabinet briefed • Advice from pension advisers • Continue to work with WEFO 	<p>Action In Progress</p> <p>Action In Progress</p> <p>Action In Progress</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>

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PCC0003 Caroline Turner	The council receives a negative regulatory / inspection report	<ul style="list-style-type: none"> - Meeting regulatory and legislative duties - Managing demand on the service - Recruitment and retention of staff - Staff morale - Reputational damage 	<p>Progress against mitigating actions since last qtr. 2nd Qtr 19/20. Estyn undertook an inspection of education services in July 2019, and their report was published in Sept. Estyn noted that they had significant concerns about the education services and made five recommendations for the council to address, which the council accepts in full. A post-inspection action plan is being prepared and will be discussed with Estyn at a post-inspection meeting in November 2019. The Schools Transformation Board has been re-established, regular reports will be submitted to Learning and Skills Scrutiny Committee and the Leader is establishing a Group Leaders' meeting that will meet monthly to consider progress in implementing the recommendations. CIW continue to monitor Social Services and we expected full inspections of Children Services and Adult Services over the 12 months. 1st Qtr 19/20.</p> <p>During the quarter we received notification by Estyn of their intention to inspect PCC's Education Service week 1st July. The Education Service prepared thoroughly for the inspection by updating the Self-evaluation, gathering evidence and briefing partners in advance of the inspection. A small corporate Project Team met weekly from mid-April to ensure that the Service was well prepared for the Inspection. This highlighted some processes that needed to be strengthened and embedded over the summer, in advance of the publication of the Inspection report in September.</p>	<p>Cllr Rosemaire Harris</p> <p>Caroline Turner</p>	20	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 	<p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p>

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ICT0029 Julie Davies Escalated From :- Digital Services	Risk of financial loss, disruption or damage to the reputation of Powys County Council from a failure of its information technology systems and or/loss of Data due to a cyber attack or Incident.	Loss of Information systems until they can be successfully restored. Loss of data, inability to access data or public disclosure of Personal Data. Cyber risk could materialize in a variety of ways, such as: • Deliberate and unauthorized breaches of security to gain access to information systems. • Unintentional or accidental breaches of security. • Operational IT risks due to factors such as poor system integrity.	Progress against mitigating actions since last qtr. 2nd Qtr 19/20 Cyber Essentials accreditation achieved 1st Qtr 19/20 No progress to highlight. 4th Qtr 18/19 1. Cyber Security plan continues to be actioned, developed and maintained. 2. Cyber Essential Accreditation achieved, Cyber Essentials + accreditation is in progress. 3. Disaster Recovery Policy is in place which sets out our aspirations towards having a fully documented and operational Disaster recovery procedure. We realise there is a lot more work to be undertaken in developing the plans and procedures required to support the policy and to having a fully documented DR manual. We require a lot more input from Service areas to be able to plan and agree recovery time objectives and priorities to complete these plans.	Cllr Graham Breeze Ness Young	12	6	<ul style="list-style-type: none"> Major Incident response processes Disaster Recovery Procedures Cyber Security Improvement Plan Cyber Security Certification 	Action In Progress Action In Progress Control In Place Control In Place
PPPP0008 Gwilym Davies Escalated From :- Property, Planning, and Public Protection	Lack of adequate resilience planning	- Non-compliance with Civil Contingencies Act (CCA) 2004 - Failure to deliver critical services in the event of a declared emergency or event - Disruption to business as usual activities	Progress against mitigating actions since last qtr. 2nd Qtr 19/20 • Service and Corporate Business Continuity Plans fully updated; • Creation of new Incident Management Guide (in draft form); • Review of contingency planning documents underway; • Four Gold/Strategic Officers Trained; • Loggist masterclass training undertaken by Civil Contingency team member, this will be delivered to other officers throughout quarter three; • Participation in Exercise Wales Connect;	Cllr Phyl Davies Nigel Brinn	6	4	<ul style="list-style-type: none"> - Education and training programme - Business Continuity Management (BCM) Group - Service Business Continuity Plans (BCP) - Corporate BCP - Major Incident Plan - Self-evaluation of BCM incorporated into SIP process - PCC representation on Dyfed Powys Local Resilience Forum (LRF) - 24/7 Duty Emergency Planning Officer to facilitate PCC response 	Control In Place Control In Place 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"> Continued engagement at multi-agency Local Resilience Forum meetings. <p>1st Qtr 19/20</p> <ul style="list-style-type: none"> Three SLT members have completed gold training. Loggists, silver and gold training being requested. Operation Wales Connet planned for July 2019 (Training) <p>4th Qtr 18/19</p> <ul style="list-style-type: none"> Gold training to be promoted to SLT. Two SLT enlisted on gold training. Emergency planning awareness presentation to SLT completed 10/04/2019. 					