

Ref	Risk	Description	Consequences	Priority	L	I	Current Score	Previous /Initial Score	Direction	Reasons for change	Current Controls	Actions	Who	When	Review Date	Remarks
	<i>Name of risk</i>	<i>Brief description of risk event</i>	<i>Threats &amp; opportunities arising</i>													
				A Educ B Cult C Saig D Com E Env F Grow	Likelihood 1 (L) - 5 (H)	Impact 1 (L) - 5 (H)				<i>If new risk, score on assumption no controls are in place</i>	<i>Change in impact, likelihood, objective etc(ALT return to use bullet points etc)</i>	<i>To measure success of controls. What is already in place to mitigate risk. (ALT return to use bullet points etc)</i>	<i>Officer(s) responsible</i>	<i>Target date</i>	<i>All registers reviewed at least 6 monthly unless red status specified, 3 monthly review then required.</i>	<i>Any other comments etc</i>
1	Failure to plan for/realise implications of Growth Agenda	The city has an ambitious growth agenda and growth supports the Council's income through business rate growth and New Homes Bonus. However, there is also a significant cost to growth through the need to upgrade and provide new infrastructure. Funding for infrastructure is increasingly channeled through the Local Enterprise Partnership There is a need to maintain a focus and capacity to deliver growth.	Inability to fulfil statutory obligations eg provision of roads and schools. Budget implications.	E F	2	4	8	8	◀▶	Currently unable to accurately predict future levels of business rate income.	Robust viability discussions with developers. Focused Section 106 team and CIL introduced in April 2015 and review of Local Plan. Monitoring residential land supply.	1)Development of system to forecast future levels of business rates. 2)Co-ordinated approach between the Council and Opportunity Peterborough to influence LEP investment decisions. .3) Joint Venture company, Peterborough Investment Partnership, now established to deliver growth projects. 4)Long term capital investment plan for new infrastructure.	Simon Machen		Sep-16	
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2	Impact of social demographic change	Insufficient capacity to support increased demand on specialist services as a result of ageing population, increased birth rate, migration and disability. Services include foster carers, adoption placements, special school places, residential nursing places and domiciliary care capacity.	Significant additional financial costs to support need within the independent sector typically in and around the city.	D	4	5	20	20	◀▶		Ongoing monitoring and review. Financial impact evaluation. Use of agency staff and improved recruitment materials. Customer Experience programme focussing on reducing demand and reducing high cost placements.	1)Finalisation and implementation of Prevention, Early Help and Demand Management Strategy including workforce reform, development of community capacity and resilience and Customer Experience Programme. 2)SEN strategy. Adult Social Care enablement and prevention models to be implemented. CWD work programme includes a prevention work stream. 3)Recruit alternatively qualified staff to support social workers, improved retention package 4) Delivery of the Customer Experience programme - specifically the Front Door, Health and Social Care Integration and Home Services Delivery Vehicle	Wendi Ogle-Welbourn	Ongoing	Jul-16	

3	School Places	<p>Failure to provide our legal requirement for every child of statutory school age to access a place and within a 'reasonable' distance from their home (less than 2 miles for 4 to 8 year olds and up to 3 miles for 9 to 16 year olds)                  Impact of further inward migration as EU borders open up increasing demand.                  Cut in Government funding for school places</p>	<p>1) Significant additional costs incurred in terms of transport, 2) impact on schools in terms of attendance, less engagement from parents and increased churn of pupils when places become available nearer to home - all having a significant impact on outcomes. 3) Potential legal action from parents for failure to meet legal requirements</p>	A	5	4	20	20	◀▶	<p>Latest new intake allocations for Reception for 9/16 suggest we will have less than 1% of school places surplus. For Year 7 it is circa 8%. Key shortage of places in existing reception, yr 1, y10 and y11. Challenge is to create capacity in Year 7 to meet the demands coming through from Reception, Years 1 and 2 where numbers exceed the Y7 PAN by some 500 places                  Government have announced no basic need funding - £4m gap in next 2 F/Y</p>	<p>1) Updated School Organisation plan (2015-2020) has focussed where capital resources need to be targeted.                  2) Sufficient resources identified in MTFP to support known requirements in the next 3 years if forecasts remain accurate                  3) Quality of relationship with schools means school have overadmitted to support the LA</p>	<p>1) Keep under review.                  2) Local and national lobbying (inc EFA capital funding options, inc Free Schools)                  3) Continue to review options around reducing costs including modular technology, use of existing buildings and procurement savings                  4) Plans for emergency places being developed including pulling forward schemes and additional mobiles                  5) Continue to monitor in year admissions and trends around numbers leaving the city (new In Year form being developed to improve data collection)</p>	Brian Howard	Ongoing	Jul-16	<p>Review in line with allocation rounds (Secondary 1st March, Primary 16th April)</p>
4	Corporate manslaughter/ health and safety incident	<p>Failure of the health and safety system to prevent a death or serious injury (that could have been preventable).</p>	<p>Impact on the organisation and individuals concerned, potential for financial loss, litigation etc.</p>	C	2	4	8	8	◀▶	<p>Robust arrangements and training in place including regular internal auditing of policies and procedures.</p>	<p>1) Regular review of H&amp;S Policy.                  2) Focused auditing by dedicated team.                  3) Training of senior management on H&amp;S duties and responsibilities to be introduced.                  There is a full review taking place of all externalised contracts ensuring the appropriate contractual obligations are in place for each provider and that where our own properties are occupied the appropriate testing and monitoring schedules are in place.</p>	<p>Corporate Management Team</p>	Ongoing	Jul-16		
5	Crime and ASB Reduction /Cohesion	<p>Increase in several crime types including ASB, and an increase in community tensions as a result of broader social changes, financial pressures and national/international events.</p>	<p>Increased costs across the public sector; increased fear of crime; reduced confidence in public sector; community tensions and conflict.</p>	D	2	4	8	8	◀▶		<p>1) Community and Safety model in place including daily risk management profiling.                  2) Community and Safety model co-locates staff from the council, Police, Fire service and Cross Keys Homes, all sharing data and intelligence.                  3) Strategic Cohesion Strategy in place, supported by Cohesion Board, Tension Monitoring Group and Hate Crime Task and Finish Group.                  4) Crime and community safety performance is scrutinised bi-monthly in detail at the Safer Peterborough Partnership.</p>	<p>1) Maintain strong focus on daily risk management and longer term performance monitoring.                  2) Continue to enhance the role of Community Connectors from higher risk communities to act as a bridge between communities and the public sector.                  3) Continue to develop the Community and Safety model incorporating more partners where relevant.                  4) Continue to develop the relationship between Mosques and between the Muslim community and the Council</p>	Adrian Chapman	Ongoing	Jun-16	

6	Safeguarding	Failure of safeguarding functions to prevent a child or vulnerable adult's being placed at significant risk of harm.	Significant risk to council both in terms of potential intervention from the government and media attention.	C	3	5	15	15	◀▶		<p>1) Implementation and continuing development of the Multi-Agency Safeguarding Hub                  2) Permanent team managers recruited in First Response and MASH in Children's Services                  3) Accountability to CMT &amp; Scrutiny                  4) Quality Assurance function strengthened and operating across Children's and Adults' Services                  5) New Quality Improvement service established to support commissioned providers to improve practice                  6) Workforce Development training programme including targeted approach to build skills of team managers.                  7) Development of Safeguarding Adults Board chaired by chair of PSCB resulting in robust multi-agency procedures in place for both Boards, with supporting guidelines and protocols being developed.</p>	<p>1) Sustain current improvement journey and adhere to OfSTED improvement plan in Children's Services;                  2) Permanent leadership team recruited to/in place - recruitment and retention package for social workers developed and to be implemented;                  3) Continuing focus on high priority areas including domestic violence and child sexual exploitation;                  4) Practice development emphasising continuing importance of evidencing management oversight and journey of child in work with families                  Adults:                  1) Care Act brings significant changes to the role of the SAB and the nature of enquiries to be undertaken. Revised procedures under development including in relation to Large Scale Investigations                  2) Strengthened Safeguarding Adults board arrangements                  3) Consultant practitioners in frontline teams</p>	Wendi Ogle-Welbourn	Ongoing	Apr-16	
7	Information governance	The council's management of information data on a day to day basis	Lack of controls could subject the council to significant risk from litigation, financial penalties and loss of reputation	B C D	3	4	12	12	◀▶		<p>1) Strategic Governance Board oversees and monitors the correct handling of information data                  2) Dedicated team set up to oversee correct handling of information data.                  3) Information Governance Group set up to monitor and introduce measures to aid compliance                  4) Cross PCC Information Risk Group set up                  5) Box secure file sharing introduced and being embedded</p>	<p>1) Information Governance overarching policy has been reviewed to meet requirements of Caldicott2 and quality assured by Zurich. Data Protection and Data Breaches policies also reviewed and action plan to be taken to CMT in March.                  2) Mandatory training and awareness sessions held for all staff                  3) Corporate Induction raises awareness to all new staff.                  4) Information Governance Group to be relaunched to oversee compliance and action / work plan.                  5) Information governance risk registers being finalised with individual departments</p>	Kim Sawyer	Ongoing and quarterly review by CMT (data security). Oversight by SGB.	Jul-16	

8	Financial Position	<p>In order to balance the 2016/17 budget, the Council has plans to deliver £24m of savings and use a small amount of reserves. Progress in achieving savings and keeping within budget is reported monthly in the Budget Control Report reported to CMT and members. Currently the Council is performing within the overall resource allocation although some pressures are emerging such as homelessness.</p> <p>The MTFS was published and approved in March 2016, and has been designed to enable a measured approach to future budget strategy to be taken. It shows that significant savings for 2018/19 and beyond are required, and proposals are being worked on now in 2016 to address this position. The budget report also contains a major section on risk and mitigation actions.</p>	<p>Council cannot overspend, so savings will have to be found elsewhere in the councils budget</p>	A B C D E F	2	5	10	15	▼		<p>Plans for implementation of savings proposals are developed during the production of the medium term financial strategy with the RAG status of plans monitored by CMT. Performance against the budget position is monitored through the monthly budgetary control process throughout the year, with management action applied to any areas of concern, and factored into the future MTFS position where necessary. Financial papers are published and in the public domain prior to approval to enable full consultation to take place.</p>	See current controls.	John Harrison	Ongoing monthly monitoring MTFS refresh to start post election	Sep-16		
9	<p>Strategic Partnerships (Amey, Serco, Skanska, Opportunity Peterborough and Vivacity) fail to deliver as per expectations, prejudicing the Authority's ability to secure the desired outcomes on behalf of citizens</p>	<p>The Council has vested delivery of a number of key services in Strategic Partners; there are reputational and financial risks to PCC if delivery is not at either the price or to the quality envisaged at the time of the contracts being entered into.</p>	<p>PCC needs to ensure firm governance arrangements (see separate entry) managed by the Corporate Director Resources and the Corporate Director Growth and Regeneration - that allows for on-going debate about delivery and priorities. Failure to take a whole-systems approach to the management of the Strategic Partnerships will increase the risk of underperformance and financial and reputational costs to the Council.</p>	D B C	2	3	6	6	◀▶		<p>There are strategic partnership boards in place for Amey, Skanska and Serco (and boards for Opportunity Peterborough and Vivacity)</p>	<p>1) Day-to-day relationships and issues are managed between the Corporate Director Resources &amp; the Corporate Director of Growth and Regeneration (with their respective teams) and the 5 Partners;                  2) Strategic oversight is provided by the existing Strategic Partnership Boards for Amey, Opportunity Peterborough, Skanska and Serco                  3) Reporting is also undertaken to the relevant scrutiny committees</p>	John Harrison/ Simon Machen	Ongoing	Sep-16		

Likelihood

5	5	10	15	20	25
4	4	8	12	16	20
3	3	6	9	12	15
2	2	4	6	8	10
1	1	2	3	4	5
	1	2	3	4	5

Review 12 months
Review 6 months
Review 3 months

Impact

Likelihood & Impact Descriptors:		
<b>1: Negligible</b>		Little likelihood of risk occurring except in exceptional circumstances
	Service Interruption	None noticeable
	Objectives/Projects	Insignificant slippage
	Financial	up to £10k
	Compliance	Minor non-compliance
	Reputational	Internal PCC only
	Environmental	No noticeable impact
<b>2: Low</b>		Unlikely to occur in next 10 years
	Service Interruption	Minor disruption
	Objectives/Projects	Minor slippage
	Financial	£10k-£25k
	Compliance	Low-level non-compliance
	Reputational	Local media - short term coverage
	Environmental	Minor impact
<b>3: Moderate</b>		Reasonable chance of occurring in next 5 years
	Service Interruption	Some operations compromised
	Objectives/Projects	Reduction in scope or quality
	Financial	£25k-£100k
	Compliance	Non-compliance with core standards
	Reputational	Local media - long term coverage
	Environmental	Short term, medium impact
<b>4: Significant</b>		Likely to occur more than once in next 12 months
	Service Interruption	All or most operations compromised
	Objectives/Projects	Failure to meet secondary objectives
	Financial	£100k-£500k
	Compliance	Major non-compliance
	Reputational	Extensive local, short-term national coverage
	Environmental	Significant impact - possible long-term effects
<b>5: Very High</b>		More likely to occur than not at least once in next 12 months
	Service Interruption	sustained or permanent loss of core service
	Objectives/Projects	failure to meet primary objectives
	Financial	£500k +
	Compliance	serious breach of compliance - potential prosecution
	Reputational	Long-term national coverage
	Environmental	Long-term impact

**Risk Categories**

- Strategic:** Risks affecting medium-long term goals. Project risks, governance etc
- Operational:** Events affecting service provision. Staff shortage, physical damage, ICT etc
- Financial:** Events with a financial/budgetary impact
- Compliance:** Risks threatening compliance with standards, laws and regulations etc
- Reputation:** Affecting public perception about the organisation, staff morale, stakeholder interest etc.
- Environmental:** Events with an environmental impact.

**What is a risk?**

A risk is an event which can affect the achievement of objectives. Risks can have negative or positive outcomes.

**The Risk Management Process:**

Identify Objectives. What are we trying to achieve?

Identify risks: Use past history, near misses, emergent events etc which could impact upon the objective(s)

What is the likelihood of the event occurring?

What are the consequences of the event occurring? Potential threats and/or opportunities

What is the preferred response? One or more of the following:

Tolerate: If the current risk level is acceptable

Transfer: Outsource, Insure etc

Terminate: Cease the activity that gives rise to the risk (not usually practicable)

Treat: Actions and controls to mitigate the likelihood and/or impact

Take the Opportunity: How to maximise any potential benefits

Who is responsible?

What are the required actions?

Is there a target score or end date?

What is the date of next review?



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