

Risk Assessment														
RAYG Status	Last Update	Risk Title	Risk Description	Financial Impact	Financial Impact Value (£)	Mitigating Action	Mitigating Action Cost (£)	Likelihood	Impact	Over Risk Appropriate?	Risk Type	Trend	Corporate Risk	Risk Owners
Chief Executive n4 n7 n10														
PR02436 : Legal & Governance Departmental Risk Register n4 n6 n4														
24	08/01/19	Parliamentary bi-election called	There is a risk that a parliamentary bi-election will be called if Peterborough's MP resigns or is distracted from sittings as a result of her court case. The consequences of this are the need for increased level of staff and resources. Requirement to deliver in line with tight timetable. Financial commitment, time of year (difficulty in securing premises, staff, lighting issues due to dark nights, adverse weather conditions), increased level of media interest.	Yes		Up to date project plan, Regular EWG meeting, contact with print suppliers, staffing list held.		5	5	Yes	Legal & Regulatory	Increasing	Yes	Rachel Edwards
25	08/01/19	Recall petition called by the speaker of the House of Commons	There is a risk that now a Peterborough's MP is convicted of an offence she may be ordered to serve a custodial sentence or ordered to be detained, that they are barred from the House of Commons for 10 sitting days or 14 calendar days. The consequences are increased level of staff and resources, requirement to deliver in line with tight timetable, financial commitment, time of year (difficulty in securing premises, staff, lighting issues due to dark nights, adverse weather conditions), increased level of media interest.	Yes		Up to date project plan, Regular EWG meeting, Contact with print suppliers, ascertain availability of council owned buildings that can be used as signing places		4	5	No	Legal & Regulatory	Increasing	Yes	Rachel Edwards
26	11/12/18	General election or referendum as a result of Brexit	There is a risk that there will be a General Election or another Brexit referendum. The consequences are a need for increased level of staff and resources. Tight time scales. Adverse weather conditions. Poor lighting. Risk to locating polling stations at short notice. Public order issues.	Yes		Project plan EWG meetings Staffing held CCTV for key stations Police engagement and support.		4	5	Yes	Legal & Regulatory		Yes	Rachel Edwards
16	11/12/18	Leaseholds of 50 homes to aid with the homeless situation	There is a risk that an incorrect process is followed by services causing common law tenancies to exist with security of tenure that cannot be terminated by notice under the AST provisions. The consequences are that tenants would have to give up tenancy which has security to take on AST which would mean they lose security. Reputational damage for the council in not following correct process.			Meetings with service to undertake remedial actions Review of potential for ultra vires case on tenancy.		4	4	Yes	Legal & Regulatory		Yes	Fiona McMillan
12	08/01/19	Lack of comprehensive oversight and control in relation to the management of information.	There is a risk that a lack of oversight and control of information management leads to information being mis-handled, which would expose the organisation, as well as data breaches occurring if there is a lack of learning in place. The consequences are: * Legal action/information Commission Officer involvement. * Damage to the reputation of the council and adverse publicity * Complaints.			All contracts are evaluated and data protection issues are taken into account. Data protection clearing rolled out and completion rates are progressing and directorates will receive completion reports Specific training focusing on handling contracts as well as mandatory training relating to Data Protection is undertaken by staff. Corporate awareness campaigns relating to the revised Data Protection policy promoted through team briefing and management meetings and the sequence of regular local bulletins with accompanying videos. Joint IM Board formed with OCC to handle strategic view The department continues to raise awareness of promotional		3	4	No	Legal & Regulatory	Steady	Yes	Ben Stevenson
12	08/01/19	Insufficient capacity and resources to deliver required General Data Protection Regulations (GDPR) work programme	There is a risk that there is an inability to deliver required project due to lack of capacity within the team. The consequence is a loss of internal reputation of service and externally the authority. This would entail adverse publicity and complaints.			* Review of structure and roadmap to ensure that sufficient resources are in place * Work on prioritisation of work programmes has commenced and identified the range of work that is required * Collaboration with OCC and other services • Additional resources procured to aid with production of ROPA retention schedule to be worked with OCC. * Additional legal resources added to the team to handle influx of contract variations		3	4	No	Legal & Regulatory	Steady	Yes	Ben Stevenson

8	08/01/19	Income Generation from external clients	There is a risk that there is a failure to obtain the correct revenue income streams from external clients. The consequences of this could impact on cash flow, future funding needs and the ability to achieve strategic objectives.	Yes		Ongoing work to highlight areas of potential income Review of charging schedules Explore other sources of income. Monthly budget reports to Legal and Democratic SMT Review of pricing structure for other Like to change as appropriate	3	3	No	Legal & Regulatory	Increasing	Yes	Ben Stevenson, Amy Brown, Rachel Edwards
8	08/01/19	Electoral Management	There is a risk that the council fails to maintain efficient electoral procedures. The consequences are the potential for electoral fraud and other failures to comply with legal requirements, and failure to deliver in accordance with a project plan.			* Trained staff in place * PCC and Police joint approach * Adherence to Electoral Commission guidance * Integrity Plan in place	2	4	No	Legal & Regulatory	Steady	Yes	Rachel Edwards, Ben Stevenson
8	08/01/19	Lack of business continuity and disaster recovery for services	There is a risk that there is an inability to access hard copy and electronic files needed to maintain services. The consequences are: * Statutory inspection * Loss of reputation. * Service failure * Adverse publicity. * Complaints.			Home working access with limited access to email/system Ability to operate away from office and deliver service Action Directorate reviewing continuity plans in three themes; no access to building, no servers, no access to Google	2	4	No	Legal & Regulatory	Steady	Yes	Ben Stevenson, Amy Brown, Rachel Edwards
6	08/01/19	Lack of System Support for FOI system	There is a risk that the council is unable to manage and develop an effective FOI system. The consequences are loss of internal reputation of service and externally the authority. This could include regulatory action by the Information Commissioners Office (ICO).			All officers are trained to use the systems properly. Systems are fully reviewed to understand functionality and Reliability, as well as potential benefits and future development. Request for options appraisal for new system to replace Salesforce	2	3	No	Legal & Regulatory	Decreasing	Yes	Ben Stevenson
7	08/01/19	Electoral Registration	There is a risk that the council fails to maintain the electoral register. The consequences are: * Non-compliance with statutory obligation. * Service failure to combat fraud effectively. * Reputational damage to the council. * High impact should fraud affect local and/or national elections.			* Trained staff in place * PCC and Police joint approach * Adherence to Electoral Commission guidance * Integrity Plan in place	1	4	No	Legal & Regulatory	Steady	Yes	Rachel Edwards
7	08/01/19	Governance practices	There is a risk that failure to develop and maintain knowledge and expertise in advising officers and Members on governance issues may result in inappropriate advice being given. The consequences are the council is vulnerable to legal challenge and reputational damage.			Maintain and update the constitution and associated policies and procedures Promote awareness of legislative changes and ensure these are embedded through departmental meetings and supervisions.	1	3	No	Legal & Regulatory	Steady	Yes	Ben Stevenson, Rachel Edwards, Amy Brown
7	08/01/19	Register of interests for Members	There is a risk that the council fails to maintain an up to date register of interests for Members, particularly for those that are cheque signatories, in accordance with the constitution. The consequences of failing to maintain an up to date register of interests for Members are: * Non compliance * Legal action * Complaints * Reputational damage to the council			Register created and reviewed regularly. Officers training on the constitution and officer code of conduct. Signatories reviewed, updated and asked to declare any interests. Members interests registered and kept up to date	1	2	No	Legal & Regulatory	Steady	Yes	Rachel Edwards
7	08/01/19	Failure to comply with Solicitor Regulation Authority	There is a risk that a lawyer fails to observe the rules set out in the Solicitor's Regulation Authority code of conduct. The consequences of this would be: * Non compliance * Legal action * Complaints * Reputational damage to the council			Managed through supervisions, guidance, team meetings, the SLA and the Lexcel manual	1	2	No	Legal & Regulatory	Steady	Yes	Amy Brown
PR002443 - HR Departmental Risk Register n0 n1 n6													
8	10/01/19	Open Data and Transparency code-non-compliance	There is a risk that the council is not compliant with legislative requirements regarding publication of open data. The consequences are reputational damage to the Council. Also potential of statutory notice from Secretary of State and/or legal challenge from council tax payer.			Reports and key dates are scheduled into HR forward plan. This ensures documents are submitted to appropriate Committee/Council in time to meet publication deadlines. Data is produced based on an instruction document to the Performance Team. Since Feb 2018 the production of data has not been carried out due to staff shortage in the performance team. This was briefly resolved due to temporary resource in place but during October the role was vacant again. This has had an impact on statutory returns for 2018/19 as output is currently behind schedule. Performance team staff are reacting to HR concerns but as a temporary measure pending a formal resource	3	3	No	Organisational / Management / Human Factors	Increasing	Yes	Mandy Pullen

10/01/19	HR Policy & Processes	There is a risk that the HR department is not compliant with current legislation and best practice. This would include employment legislation plus legislation from other external bodies, including the UK Visa & Immigration (UKVI), HMRC, DWP, and DfH. The consequences are a risk of litigation against the council and potential financial penalties.	Yes		Tracker document records all upcoming legislation and caselaw and confirms action required. Tracker is monitored monthly and updated as necessary. This ensures that changes are appropriately reflected in policies and other relevant documentation including processes and instruction documents. Tracker maintained of all employees who do not hold a UK or EU passport. Audit report has been received to review all onboarding processes in respect of right to work in the UK. System changes to be considered in light of this. All team members received up to date training in immigration law during October 2018 which has significantly improved	2	2	No	Organisational / Management / Human Factors	Steady	Yes	Karen Craig
10/01/19	HR Policy & Processes recruitment pay & pensions	There is a risk that Policies & Processes around recruitment, pay and pensions are not absorbed into Serco HR Support and Payroll practices. The consequences are the potential of a statutory notice from the Secretary of State for the Home Office and/or the Ministry of Housing, Communities and Local Government, as well as complaints from members of staff and the Trade Unions. These consequences could result in reputational damage for the council.			Shared communication with Serco HR including updated policies. Training provided for significant changes. Close working relationships and planning no changes - update meetings scheduled. Process documents in place. Few grievances from staff. Current issues with DBS processes but no raised risk as this is being managed.	2	2	No	Organisational / Management / Human Factors	Steady	Yes	Karen Craig
27/06/18	Commercialisation of the HR Service	There is a risk that the council is unable to develop an HR and Occupational Health service that can be traded with external organisations and thereby generate income for the council. The consequences are that HR continues to be an overhead and competitors may take on the role that HR could be performing, thereby reducing further revenue generation opportunity for PCC.	Yes		Revised charging plans already in place for Occupational Health. Charging for Job Evaluation started recently. Team currently developing clear plan and milestones to achieve commercial delivery in the services that are to be traded.	2	2	No	Organisational / Management / Human Factors	Steady	Yes	Mandy Pullen
10/01/19	Information and compliance with data protection legislation	There is a risk that: * Medical information received on staff is not kept securely. * TUPE information is shared with other organisations inappropriately. * Pension information is shared with pension administrators inappropriately. * Letters to staff sent to wrong address (either email or hard copy). The consequence is failure to comply with data protection legislation and other statutory obligations regarding data.	No		Medical information stored on private sites of Ares not accessible by those outside of OH. OH PC screens shut down automatically to ensure others cannot view information. TUPE information only shared via secure email. Staff training via new e-learning module is mandatory for all staff and compliance monitored/reported to DMFs. This issue is discussed at team meetings regularly reminding staff of the importance of double checking personal details. Email addresses only used if permission given by the recipient. Mandatory Data Protection training undertaken by team. Privacy notices inserted onto HR forms and processes including employment contract. New	2	2	No	Organisational / Management / Human Factors	Steady	Yes	Mandy Pullen
10/01/19	HR Processes for onboarding, retaining, and terminating staff	There is a risk that the processes for ensuring payments to staff are inaccurate. The consequences are: * Equal Pay Risks. * Employees being paid incorrect amounts. * Pension payments not being correctly calculated. * Fines being imposed on PCC by LGSS * Impact on tax and NI payments.			Knowledge in team to interpret pay awards and terms and conditions correctly. Tracker kept to record all pay rates, and also pension changes and tax updates. Robust procedures in place. Forward plan is maintained monthly to capture all forthcoming changes. Joined up working with Serco HR Support & Payroll is increasing skill levels. Joint management of team from 1/11 is expected to improve performance further. Monthly meetings with Serco to discuss staffing and resource distribution plus practical issues.	1	3	No	Organisational / Management / Human Factors	Steady	Yes	Karen Craig

	17/01/19	Apprenticeships	There is a risk that the council fails to identify sufficient numbers of apprentice opportunities both for new & existing roles, to meet the 2.3% of our workforce target set by central government for public bodies and maximise use of funds received from Government from the apprenticeship levy. The council does not determine cost effective arrangements for organising and managing delivery of apprenticeship schemes and securing suitable training providers, the 2.3% workforce target will not be met. Current interest in apprenticeships in the council is across all levels. However, some are focused on	Yes		<ul style="list-style-type: none"> The workforce plan produced shows numbers, types, timescales and costs involved of all identified opportunities for apprenticeships. This plan is regularly reviewed and updated. An Apprenticeship Governance group meets up every 6 weeks initially (from Nov 2016), then quarterly. Its purpose is to agree strategy, priorities and workforce plan/penditure on apprenticeships including authority to approve all levels 6 and 7 apprenticeships. Working collaboratively with City College Peterborough (CCP) as the preferred apprenticeship provider. LGSS may be involved in management apprenticeships for levels 6 and 7. Apprenticeships 	1	2	No	Organisational / Management / Human Factors	Steady	Yes	Debbie Hiller
Growth and Regeneration n6 n8 n2													
PRO0244 - C&R BAU - Risk Register n6 n8 n2													
12	23/01/19	Failure to plan for realisation implications of Growth Agenda	There is a risk of a failure in realising the city's Growth Agenda. The city has an ambitious growth agenda and growth supports the Council's income through business rate growth. However, there is also a significant cost to growth through the need to upgrade and provide new infrastructure. Funding for infrastructure is increasingly channelled through the Combined Authority. There is a need to maintain a focus and capacity to deliver growth. Brexit has the potential capacity to slow down growth which puts at risk forecast income as mentioned above plus planning application and pre-app fee income. The consequence is			Robust viability discussions with developers. Focused Section 106 team and CIL, is in place and effectively managed. Co-ordinated approach between the Council and Opportunity Peterborough to influence LEP & Major investment decisions.	3	4	No	Economic / Financial/Market	Increasing	Yes	Simon Machen
12	21/01/19	ERF Energy Generation plant performance issues	There is a risk of poor plant performance and difficult energy market conditions. The consequence is a failure to meet income objectives in MTF5.	Yes		Work with partners and internal stakeholders to ensure ongoing income delivery. Energy price protection reserve to smooth impact of market conditions. Mitigation identified through PCC energy budgets offset, to fund price protection reserve.	3	4	No	Economic / Financial/Market	Steady	Yes	Annette Joyce
12	21/01/19	LATCO/Amey contract has a separate risk log	There is a risk that not all data is being transferred and lack of visibility for all costs. All risks associated with the project has a separate detailed risk log. The consequence is PCC unable to achieve the transition of Amey contract to a new provider within resource envelope.	Yes		Weekly project meetings and the transition is being phased from February to May from Amey to Peterborough Ltd.	3	4	No	Economic / Financial/Market	Decreasing	Yes	James Collingridge, Richard Peam
12	21/01/19	Insufficient Capacity to meet service demand	There is a risk that growth of the city and service reduction widens gap between capacity and service demand. The consequences are reputational, failing to meet statutory duty, detrimental impact on public protection/safety.			Shared service arrangements implemented to add resilience. All discretionary services stopped. Services are Intelligence test. Continue to add resilience through collaborations, and invest in IT solutions to add service delivery. Increase revenue generating services, and review customer information to better manage expectations.	4	3	No	Organisational / Management / Human Factors	Steady	Yes	Annette Joyce
9	21/01/19	Data integrity and accuracy - linked to PRO02218, PRO02397 and PRO02414.	There is a risk of inaccurate necessary data sets, e.g. Pullouts, clinical addresses, street cleaning information including frequency, fly tipping location data etc.	Yes		Early engagement of ICT expert from Serco to examine data sets and ascertain accuracy, which will require access to Amey systems and staff. May need an additional internal resource to bring free data up to date in order to allow accurate information to be presented to providers. Resolve availability of the Vehicles at an early stage	3	3	No	Technical / Operational / Infrastructure	Steady	Yes	James Collingridge, Nicholas Cox, Richard Peam
9	21/01/19	Reduction in parking income	There is a risk of reduction in parking income due to staff parking with the move to SMM, the impact of wider agile working, off and on-street parking fees. The consequence is failure to meet the MTF5 targets.	Yes		TBA	3	3	No	Technical / Operational / Infrastructure	Steady	Yes	Annette Joyce

8	23/01/19	Failure by G&R governed Partnerships to deliver their BAU functions	There is a risk that strategic Partnerships fail to deliver as per expectation and/or contract, prejudicing the Authority's ability to secure the desired outcomes. The consequences are reputational and financial impact to PCC if delivery is not at either the price or to the quality envisaged at the time of the contracts being entered into. Linked to corporate risk: #00010 Strategic Partnerships (Arney, Seno, Shanska, Opportunity Peterborough, Noise and Westyl) fail to deliver as per expectations, prejudicing the Authority's ability to secure the desired outcomes on behalf of citizens In addition PIP and	Yes		Strategic partnerships and operational boards are in place to review both contractual issues and performance delivery. This is being monitored on regular basis and mitigation actions taken as and when required. Creating a stronger focus on an operational level to set priorities and review performance - these are being introduced as part of a new approach to business planning with the partners. Taking into account the scale of the financial and delivery challenges facing PCC over the years ahead.	2	4	No	Legal & Regulatory	Steady	Yes	Simon Machen
8	23/01/19	Corporate manslaughter/ health and safety incident	There is a risk that there is a failure of the health and safety system to prevent a death or serious injury (that could have been preventable). The consequence is a negative impact on the organisation and individuals concerned, potential for financial loss, litigation etc.	Yes		Robust arrangements and training in place including regular internal auditing of policies and procedures. 1) Regular review of H&S Policy 2) Focused auditing by dedicated team. 3) Training of senior management on H&S roles 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.	2	4	No	Legal & Regulatory	Steady	Yes	Ben Stevenson
9	23/01/19	Failure to manage cost-reductions within the Partnerships	There is a risk that partners are unable to drive through efficiencies to meet reduced funding levels that lead to service reductions whilst maintaining service delivery. The consequence is financial and reputational damage to PCC.	Yes		Strategic partnerships and operational boards are in place to review & monitor both the contractual and performance delivery.	1	4	No	Economic / Financial/Market	Steady	Yes	Simon Machen
9	23/01/19	Failure to drive income from Partnerships	There is a risk that partners are unable to generate sufficient independent income to allow reductions in subsidy level. The consequence is financial and reputational damage to PCC.	Yes		Organised strategic partnership meetings and monthly operational boards in place for reviewing performance delivery.	1	4	No	Economic / Financial/Market	Steady	Yes	Simon Machen
People and Communities n6 n4 n0													
20	11/09/18	Reduction affordable permanent rented accommodation	There is a risk associated with the reduction in the availability of affordable permanent rented accommodation, combined with increase in the number of homelessness presentations. The consequences are significant financial pressure on the Housing Services budget.	Yes		<ul style="list-style-type: none"> Extensive management control is in place to closely monitor financial demand and consequences. Additional capacity within the housing needs service Focused commissioner activity to increase supply of affordable homes Implementation of the homelessness prevention hub (support services offered by the Voluntary & Community Service) 	5	5	Yes	Technical / Operational / Infrastructure	Increasing	Yes	Sean Evans
20	03/07/18	Meeting demand for School Places	There is a risk that the authority will fail to meet its legal requirement for every child of statutory school age to access a school 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) This is as a result of the impact of further inward migration as EU borders open up, increasing demand and a cut in Government funding for school places. The consequences are: 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	No		<ol style="list-style-type: none"> Keep under review Local and national lobbying (inc. EFA, capital funding options, inc. Free Schools) Continue to review options around reducing costs including modular technology, use of existing buildings and procurement savings Plans for emergency places being developed including pulling forward schemes and additional mobiles Continue to monitor in year admissions and trends around numbers leaving the city (new In Year form being developed to improve data collection) The School 	5	4	Yes	Organisational / Management / Human Factors	Steady	Yes	Brian Howard
20	11/09/18	Shared Service	There is a risk that there are financial and service implications from implementing the plan to share services with CCC. The consequences are that this process could result in a reduction in performance and an increase in costs. In addition to this, plans may not deliver the desired benefits and objectives, or meet the timescales required.	Yes		Shared service Programme Board established, meeting monthly. Close monitoring of performance and progress in place.	4	5	Yes	Organisational / Management / Human Factors	Increasing	Yes	Wendy Ogle-Welbourn

15	03/07/18	Safeguarding	<p>There is a risk that safeguarding functions fail to prevent a child or vulnerable adult being placed at significant risk of harm.</p> <p>The consequence is an increase in costs across the public sector, increased fear of crime, reduced confidence in public sector, community tensions and conflict.</p>	No	<p>1) Sustain current improvement journey and adhere to JTAI improvement plan in Children's Services;</p> <p>2) Permanent leadership team recruited to/in place - recruitment and retention package for social workers developed and to be implemented;</p> <p>3) Continuing focus on high priority areas including domestic abuse, neglect and child sexual exploitation;</p> <p>4) Practice development emphasising continuing importance of evidencing management oversight and journey of child in work with families</p> <p>Adults:</p> <p>al Case Act brings significant changes to the role of the</p>	3	5	No	Organisational / Management / Human Factors	Steady	Yes	Wendi Ogle-Welbourn, Will Patten
12	03/07/18	Health Debt - Special Measures	<p>There is a risk that Peterborough's CCG will enter financial 'special measures' due to missing its financial controls target. The CCG's current debt to PCC is over £7m. CCG may not be able to reduce the debt owed to PCC.</p> <p>The consequence is financial pressure on PCC and an adverse affect on the future relationship with the CCG.</p>	Yes	<p>CGMT to agree policy. Needs to be raised at Health Executive</p> <p>WOW and PC written to CCG Chief Exec and Finance Director requesting payment of Debt.</p> <p>Monthly meetings between finance teams. Position monitored closely. Status reviewed monthly at joint commissioning board.</p>	3	4	No	Economic / Financial/Market	Steady	Yes	Will Patten
12	05/07/18	Information governance	<p>There is a risk that the council's management of information data on a day to day basis is not properly controlled.</p> <p>The consequence is the council being vulnerable to significant risk from litigation, financial penalties and loss of reputation.</p>	No	<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 CGMT in March.</p> <p>2) Mandatory training and awareness sessions held for all staff</p> <p>3) Corporate Induction raises awareness to all new staff.</p> <p>4) Information Governance Group to be relaunched to oversee compliance and action / work plan.</p> <p>5) Information governance risk registers being finalised with individual</p>	3	4	No	Technical / Operational / Infrastructure	Steady	Yes	Wendi Ogle-Welbourn
9	16/07/18	Carlton liquidation	<p>There is a risk that the council will be unable to find alternative contractors to take over from Carlton (as they have gone into liquidation.)</p> <p>The consequence is an increase in costs, delays to school build programmes and the consequential impact on availability of school places.</p>	Yes	<p>Options finalised for procurement route for Jack Hunt, Hampton Lakes and Hewlett schemes and action plans in place.</p>	3	3	No	Economic / Financial/Market	Decreasing	Yes	Brian Howard
8	11/07/18	Increased Crime and Anti-Social Behaviour	<p>There is a risk that broader social changes, financial pressures and national/international events lead to an increase in several crime types including Anti-Social Behaviour and an increase in community tensions.</p> <p>The consequence is increased costs across the public sector, increased fear of crime, reduced confidence in public sector and community tensions and conflict.</p>	No	<p>1) Maintain strong focus on daily risk management and longer term performance monitoring.</p> <p>2) Continue to enhance the role of Community Connectors from higher risk communities to act as a bridge between communities and the public sector.</p> <p>3) Continue to develop the Community and Safety model incorporating more partners where relevant.</p> <p>4) Continue to develop the relationship between Mosques and between the Muslim community and other relevant groups and the Council</p>	2	4	No	Technical / Operational / Infrastructure	Steady	Yes	Adrian Chapman
6	11/09/18	Lack of financial reserves	<p>There is a risk that, owing to a lack of financial reserves, the council would be unable to respond rapidly to the actions required following a negative Ofsted inspection.</p> <p>The consequences of this would mean a reduction in other budgets in order to fund the Ofsted recommendations.</p>	Yes	<p>CGMT to consider as part of budget setting</p>	3	2	Yes	Economic / Financial/Market	Decreasing	Yes	Peter Carpenter

16	13/11/18	National public health grant allocation is below target	There is a risk that the Public Health Grant allocation to Pembrokeshire is not sufficient to meet the need for Public Health Services. The consequences are a failure to improve public health outcomes due to insufficient investment in Public Health Services.			PH DMT DPH meetings with Finance team to track budget. DMT 1) Full participation in quarterly budget rounds and quarterly budget planning 2) Monthly financial reporting and business planning/staffing discussions at PH DMT 3) Ongoing joint working across directorates of co-placed staff	4	4	No	Economic / Financial/Market	Increasing	Yes	Liz Robin
Resources n5 n10 n1													
15	08/01/19	"Brexit" impact on EU funding and regulatory framework	There is a Risk that the vote to leave EU impacts procurement arrangements and costs / availability of services. The consequence is uncertainty around EU funding, possible disruptions to the labour market / uncertainty around service demand / provision.	Yes		Consequences of vote UK's decision to leave the UK to be monitored as they emerge Consequences of policy developments / funding changes to be reported to DMT at the earliest opportunity.	4	5	Yes	Political	Steady	Yes	Peter Carpenter
20	08/01/19	Financial Resilience	There is a risk that the Council's financial resilience is insufficient to further withstand the combined pressures of reduced grant funding and increased cost and demand pressures. Any weaknesses in the delivery of the strategy to strengthen financial resilience may exacerbate this risk. The consequence is an unsustainable and financially unviable organisation beyond the short term.	Yes		A number of metrics are being developed to assess financial resilience across Local Government. The strategy to strengthen financial resilience is underpinned by a set of financial planning and management arrangements, including significant changes in arrangements for commissioning services. However, a clear route to a sustainable medium term financial position has not yet been fully identified.	4	5	No	Economic / Financial/Market		Yes	Peter Carpenter
16	08/01/19	Local Government Funding Review outcome & a possibility of losing grant with short notice	The impact of funding review on PCC finances is not currently known. There is a risk that this is adverse. The consequence is a possibility of losing grant with short notice	Yes		Monitor position and evaluate impact at earliest opportunity	4	4	Yes	Strategic / Commercial	Increasing	Yes	Kirsty Nutton
16	15/11/18	Corporate Property Income	There is a risk that the income for letting space at the Town Hall & Fleton Quay has not secured. The consequence is missing the MFTS target.	Yes		To be confirmed.	4	4	No	Technical / Operational / Infrastructure	Steady	Yes	Peter Carpenter
16	08/01/19	Failure to maintain an effective business continuity plan	There is a risk of failure to maintain an effective business continuity plan for all relevant service areas. The consequence is disruption caused by service failure leading to hardship for individuals, potential loss of business and significant reputation damage. Loss of IT Loss of key records Loss of office accommodation.	Yes		Review all business continuity plans 1/2 yearly review going forward Establish emergency response toolkit and revise	3	5	No	Strategic / Commercial	Steady	Yes	Peter Carpenter
12	08/01/19	Cyber Security	There is a risk of cyber attack. The consequences could be: - Compromise of data / personal data - Total, or significant partial loss of core business systems - Total, or significant partial loss of access to one or more systems supporting a specific service area	Yes		ICT security measures and protocols in place to protect systems	3	4	No	Organisational / Management / Human Factors		Yes	Peter Carpenter
10	08/01/19	Failure to maintain an oversight of programme and project delivery across the Council	There is a risk of failure to maintain an oversight of programme and project delivery across the Council. The consequence is Project and programme failure with consequent financial and reputational impact.	Yes		The Programme Management Office (PMO) maintain regular liaison with stakeholders and Project Managers to ensure oversight.	2	5	No	Strategic / Commercial	Steady	Yes	Peter Carpenter
9	08/01/19	Failure to achieve MFTS savings targets	There is a Risk that MFTS savings targets are not achieved, or costs are not contained within approved budget, leading to overspending. The consequence is unplanned cessation of services. Reserve levels adversely impacted and additional and / or emergency savings measures need to be taken.	Yes		Ensure robustness of proposals and closely monitor implementation and delivery in conjunction with BCR. DMT to identify early warning of risk areas and develop solutions. A savings RAG review is included in the BCR process to support this	3	3	No	Economic / Financial/Market	Steady	Yes	Nick Hutchins
9	08/01/19	Capital Programme not delivered	There is a risk that the Capital Programme is not delivered. The consequence is significant underperformance within the capital programme, meaning priorities are not addressed, reduced service capacity and reputational damage.	Yes		Establish Capital Strategy with clear mechanisms for managing the capital programme Reduce size of capital programme into manageable chunks Improvement on bidding / approval / gateway review processes	3	3	No	Strategic / Commercial	Steady	Yes	Nick Hutchins, Peter Carpenter
8	08/01/19	Failure of financial system leading to loss of accounting capability	There is a risk of failure of financial system leading to loss of accounting capability. The consequence is financial transactions and reporting compromised until system and data restored.	Yes		Business continuity plans re ICT backup. Contingency measures for short term urgent payments etc.	2	4	No	Technical / Operational / Infrastructure	Steady	Yes	Peter Carpenter

8	08/01/19	Failure to set a balanced budget for the forthcoming year due to insufficiently robust savings targets. Risk will roll forward to 19/20 budget.	There is a risk that insufficiently robust savings plans are identified to enable a balanced budget to be set for the forthcoming year. The consequence is a council budget not set in accordance with legal framework. Updated review will be required for 19/20 budget.	Yes		Alternative proposals for savings delivery / Use of reserves has reduced likelihood for 18/19. Final delivery of proposals for consultation and approval	2	4	No	Economic / Financial/Market	Increasing	Yes	Nick Hutchins
6	08/01/19	Non compliance with Financial Regulations, internal and external requirements, contract standing orders and grant conditions	There is a risk of non compliance with Financial Regulations, internal and external requirements, contract standing orders and grant conditions. The consequence is reputational damage internal and external, claims from contractors and grant repayments.	Yes		Training & review of compliance issues: Meetings with H&S and H&F, Financial & Contract Regs & Guidance under review. Review of compliance issues. Financial & Contract Regs & Guidance under review.	2	3	No	Legal & Regulatory	Steady	Yes	Nick Hutchins
6	08/01/19	Failure to protect income of the Register Office and Bereavement Service through a drop in quality of service or price competitiveness	There is a risk of failure to maintain quality of service and price competitiveness. The consequence is customers exercise their right to purchase service from other providers and POC do not achieve expected revenue from the services.	Yes		Awareness of competitors pricing. Continued investment in service eg Green Flag. Annual meeting with Funeral Directors. Review of processes and future operating model for Register Office with Cambridgeshire County Council.	2	3	No	Strategic / Commercial	Steady	Yes	Mark Sandhu
6	08/01/19	Financial loss due to poor day to day management of bank balances; cash flow; borrowing; investments	There is a risk of poor day to day management of bank balances, cash flow, borrowing; investments. The consequence is: - financial loss / adverse publicity / unable to finance statutory payments - Pressure to achieve unrealistic returns - Lending outside of Council approved limits and exceeding deposit limits	Yes		Adhere to Treasury Management Strategy / Code of Practice. Review of criteria ongoing. 1/2 yearly report to Audit Committee	2	3	No	Economic / Financial/Market	Steady	Yes	Peter Carpenter, Kirsty Nutton
6	08/01/19	Improper administration of VAT	There is a risk that concentration of expertise in one person leads to lack of understanding elsewhere. Finance not involved in projects at an early stage / VAT not considered. The consequence is financial loss from penalties or fines. Partial exemption breached. Opportunities to recover VAT are missed, increased project costs.	Yes		VAT return reviewed by management before submission? Monitoring against limit. Finance representation on Project Boards?	2	3	No	Economic / Financial/Market	Steady	Yes	Peter Carpenter, Kirsty Nutton
6	08/01/19	Failure to meet statutory obligations in relation to bereavement and registry services	There is a risk of failure to meet statutory obligations in relation to bereavement and registry services. The consequence is a breach of legislation with subsequent potential for being fined.	Yes		Work with service to ensure ongoing service delivery	1	4	No	Legal & Regulatory	Steady	Yes	Mark Sandhu