

# Risk Assessment

RAYG Status	Last Update	Risk Title	Risk Description	Financial Impact	Financial Impact Value (£)	Mitigating Action	Mitigating Action Cost (£)	Likelihood	Impact	Over Risk Appetite?	Risk Type	Trend	Corporate Risk
<b>Chief Executive</b>													
<b>PR002436 : Legal &amp; Governance Departmental Risk Register</b>													
20	03/07/19	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	Steady	Yes
<b>PR002443 : HR Departmental Risk Register</b>													
16	03/07/19	Corporate HR IT System	<p>There is a risk that continued inefficiencies within the current HR IT systems will impact on agile working across the organisation e.g. the current HR IT system requires Staff and Managers to provide paper copies of recruitment and payroll forms. If we continue with the current IT system these processes will become more difficult for staff and managers as agile working is implemented. This will also be the case with the implementation of the 'Think Communities' project across the county.</p> <p>Current question regarding whether Payroll In Resourcelink will interface with the proposed HR system.</p> <p>Concern regarding budget to continue with implementation.</p> <p>Concern regarding budget to pay for licences per employee in new system.</p> <p>Concern regarding TALEND, which is the interface between the payroll file and the proposed HR system.</p> <p>Decision still required regarding the system to be progressed</p> <p>Decision still required whether CPD Online is to be continued.</p> <p>The consequences are:</p> <p>* Failure to implement an integrated HR system may hold back agile working for the business.</p>			<p>The ICT Manager was tasked with undertaking a thorough review of proposed HR system. HR input into this review.</p> <p>It was initially agreed that the Recruitment and Job Evaluation modules should go ahead. Modules were ready for User Acceptance Testing, not expecting much more work would be required beyond this.</p> <p>Serco are investigating what options are available within Resourcelink and whether these could be pursued. Decision regarding this currently pending (October 2018). Serco have said that this has been reported to Directors.</p> <p>Decision taken to renew Resourcelink contract for a further 3 years. Project group to be formed in order to identify specification requirements and compare Resourcelink offer with alternative products.</p> <p>Colin Arnold to explore whether current contractual offer from Resourcelink can be exploited to provide greater self-serve and functionality for users. Further meeting held 6.11.18. re. proposed system but just covered previous points.</p> <p>New Project Manager now working on proposals.</p>	May 2019: Progress but no real change or decisions taken. June 2019: ERP Gold decision still needs to be taken. Query re budget that was confirmed ongoing.	4	4	Yes	Organisational / Management / Human Factors	Steady	Yes
<b>People and Communities</b>													

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20	15/05/19	Meeting demand for School Places	<p>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)</p> <p>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.</p> <p>The consequences are:</p> <ol style="list-style-type: none"> <li>1) Significant additional costs incurred in terms of transport.</li> <li>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.</li> <li>3) Potential legal action from parents for failure to meet legal requirements</li> </ol>	No		<ol style="list-style-type: none"> <li>1) Keep under review</li> <li>2) Local and national lobbying (inc. EFA capital funding options, inc. Free Schools)</li> <li>3) Continue to review options around reducing costs including modular technology, use of existing buildings and procurement savings</li> <li>4) Plans for emergency places being developed including pulling forward schemes and additional mobiles</li> <li>5) Continue to monitor in year admissions and trends around numbers leaving the city (new In Year admissions form being developed to improve data collection)</li> <li>6) The School organisation plan and demographic forecast are regularly updated and reviewed by the council</li> <li>7) Sufficient resources identified in the MTF5 to support known requirements in the next three years if forecasts remain accurate.</li> <li>8) Quality of relationships with schools means schools have over admitted to support the <b>Council to meet identified need for places in this local area</b></li> <li>9) Ongoing review of council's five year rolling programme of capital investment. Priority continues to be given to the identified basic need requirement for additional school places</li> </ol>	<p>15/05/19 - an Increased percentage of secondary pupils being offered a place at their parents' first preference school indicates that the place planning strategy and associated capital investment programme have created capacity in the right places.</p> <p>A comprehensive review of the School Organisation Plan just completed.</p> <p>Member briefing and report to Scrutiny well received</p>	5	4	Yes	Organisational / Management / Human Factors	Steady	Yes
20	18/06/19	Shared Service	<p>There is a risk that there are financial and service implications from implementing the plan to share services with CCC.</p> <p>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.</p>	Yes		<p>Shared service Programme Board established, meeting monthly. Close monitoring of performance and progress in place.</p> <p>Shared Service programme review underway (March 2019) P&amp;C Shared Services opportunities recorded on the Tracker. Think Communities approach will enable further opportunities for shared services aligned to the new operating model.</p>	<p>18/06/2019 - Risk kept under People &amp; Communities due to the level volume of shared services work, but a separate risk item for Shared Services</p> <p>- Financial Controls was added to Resources to emphasize the corporate nature of this item, and capture mitigations that need undertaking by Finance</p>	4	5	Yes	Organisational / Management / Human Factors	Steady	Yes
15	15/05/19	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		<ol style="list-style-type: none"> <li>1) Sustain current improvement journey and adhere to JTAI improvement plan in Children's Services;</li> <li>2) Permanent leadership team recruited to in place - recruitment and retention package for social workers developed and to be implemented;</li> <li>3) Continuing focus on high priority areas including domestic abuse, neglect and child sexual exploitation;</li> <li>4) Practice development emphasising continuing importance of evidencing management oversight and journey of child in work with families</li> </ol> <p>Adults:</p> <ol style="list-style-type: none"> <li>a) 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</li> <li>b) Strengthened Safeguarding Adults board arrangements</li> <li>c) Consultant practitioners in front line teams</li> </ol>			No	Organisational / Management / Human Factors	Steady	Yes	
Place and Economy													

15	01/08/19	Delivery of affordable homes	There is a risk that an insufficient number of affordable homes will be built in forthcoming years leading to additional pressures around provision of temporary accommodation with secondary impact on the local labour force to attract skilled workers.	Yes		<ul style="list-style-type: none"> <li>Proactively engage with social landlords and developers. Apply for Government funding where applicable and work closely with the Combined Authority.</li> <li>Output from the Housing Needs forecasting tool will be used to inform the supply requirements, and NPS are engaged to source properties appropriately.</li> </ul>	<ul style="list-style-type: none"> <li>1/8/2019 - Helena &amp; Kat carried out a review exercise to ensure the risk is owned by a single department (P&amp;E). Some mitigations moved - previously outlined by resources (Housing needs forecasting tool output.) Risk profile raised to low red (5 in impact, 3 in likelihood.) Actions taken to reduce the risk, deeming it less of a threat.                             <ul style="list-style-type: none"> <li>This risk replaces: Reduction affordable permanent rented accommodation - previously within the People &amp; Communities BAU Risk Register                                     <ul style="list-style-type: none"> <li>This risk replaces: Risk of insufficient Housing supply - previously within the Resources BAU Risk Register</li> </ul> </li> <li>Meeting with RSL organised for the 22nd July and the current forecast of affordable homes for 19/20</li> </ul> </li> </ul>	3	5	No	Economic / Financial/Market	Increasing	Yes
<b>Public Health</b>													
<b>PR002482 : Public Health Departmental Risk Register</b>													
16	18/07/19	National public health grant allocation is not sufficient.	<p>There is a risk that the Public Health Grant allocation to Peterborough is not sufficient to meet the need for Public Health Services.</p> <p>The consequences are a failure to improve public health outcomes due to insufficient investment in Public Health Services.</p>			<p>PH DMT DPH meetings with Finance team to track budget. CMT</p> <p>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) Work with CCG and CPFT to address shortfall in funding for Health Visiting and School Nursing</p>	Cannot be reduced as the situation remains the same	4	4	Yes	Economic / Financial/Market	Steady	Yes
<b>Resources</b>													
20	03/07/19	"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 CMT at the earliest opportunity. A review is being undertaken of critical supply chains to avoid any payment issues in April 2019	16/05/2019 - there is a separate Brexit risk log that looks at all the possible impacts on PCC operations.	4	5	Yes	Political	Steady	Yes
20	03/07/19	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. However, a clear route to a sustainable medium-term financial position has not yet been fully identified.	16/05/2019 - The council has been working with Grant Thornton to develop a "financial bridge" and longer-term recovery plan to secure sustainability and guard against a S114 situation.	4	5	Yes	Economic / Financial/Market	Steady	Yes

16	03/07/19	Failure to achieve MTFS savings targets	There is a Risk that MTFS 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. This is currently showing red for several Em savings in 19/20	16/05/2019 - the first budgetary control position reported to the Cabinet on the 10th of June will provide an update including any remedial action identified.	4	4	Yes	Economic / Financial/Market	Steady	Yes
16	03/07/19	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	16/05/2019 - there is a possibility of a delay to the fair funding review from the central government. PCC responded to the consultation.  31.05.19 - Risk score not reduced although now over longer timeframe. The delay means that any additional funding that might have come through the funding review will be pushed back.	4	4	Yes	Strategic / Commercial	Steady	Yes
15	03/07/19	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		Revisit all business continuity plans 1/2 yearly review going forward Establish emergency response toolkit and re-issue	16/05/2019 - To be discussed at Risk Board	3	5	No	Strategic / Commercial	Steady	Yes