

Appendix Four - Risk Register

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/ commentary	Type of Risk
Children, families and education								
Alison Jeffery (Director of Children's Services)	Savings pressures leading to increased workloads for social care staff		H	H	H	Increased risk around quality of social work practice	Ongoing monitoring as part of quarterly reporting . This risk has begun to materialise, notwithstanding additional investment in SW posts. The position is being monitored closely against the background of keen competition regionally to recruit social workers.	Personal injury to child;
Alison Jeffery (Director of Children's Services)	Savings pressures leading to increased workloads for social care staff					Reduced attractiveness of PCC as an employer		financial loss to authority; failure to achieve objectives
Alison Jeffery (Director of Children's Services)	Reduced LA investment in specialist domestic services may increase numbers of children exposed to this		M	M	M	May increase severity of harm (last 3 Serious Case reviews have featured domestic abuse, 70% protection plans feature domestic abuse and 50% children removed into LA care have experienced domestic abuse).	Linked to Stronger Futures Programme for developing effective early help services for the city. The inclusion of DA services within Children and Families should help to ensure DV expertise across a wider workforce.	Personal injury; reputational damage through poor inspection judgement leading to pressure on social workers.
Alison Jeffery (Director of Children's Services)	Refocusing staff time on more vulnerable families increases rather than decreases demand on		M	H	M	Increased demand and pressure on resources	Referrals have been steady for the first two quarters at broadly the 2017/16 rate but continuing to monitor.	financial loss to authority; failure to achieve objectives

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	statutory social care as more need is uncovered							
Alison Jeffery (Director of Children's Services)	Failure to make successful claims under Troubled Families Programme		M	M	M	Reduced income available to the authority for investment in services	Struggling to capture progress adequately in order to make claims but are making progress.	financial loss to authority; failure to achieve objectives; reputational damage
Alison Jeffery (Director of Children's Services)	Future of children's IT system - linked to Adult Social Care system		H	H	H	System becomes unaffordable and ineffective as user base reduces (ASC withdrawal) - local and national risk	Decisions have been taken and funding allocated for a new system. Implementation will be a key project for 17/18	Financial loss; failure to achieve objectives
Alison Jeffery (Director of Children's Services)	Process of academisation for schools distracts schools from improving teaching and learning		M	H	M	Deterioration in outcomes for children	The LA is working closely with the Regional Schools Commissioner to ensure that LA maintained schools have access to good information about the process and details of strong MATs that have capacity for growth and a good track record. The LA is also working closely with MATs operating in the area and ensuring that academisation of local schools is done in a considered but robust way.	Failure to achieve objectives

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Innes Richens, Director of Adults Services	PCC owned and run Residential care homes	Service Manager	H	H	H	More frequent hospital admissions or moves to a nursing home as the behaviour cannot be managed within the current staffing ratio.	Exploring funding options for staff across the 3 dementia units (minimum of 2 x 37hrs per unit)	Staffing
						Adverse ratings for PCC home based on September 2017 inspection.	Action Plan drafted and submitted to CQC addressing immediate concerns. Second action plan to address further being prepared.	Reputational
Innes Richens, Director of Adults Services	Failure to achieve constancy of purpose	Interventionist	H	H	H	Moving to a systems thinking approach requires establishing 'constancy of purpose' and creating the right conditions for staff to work in a systems thinking way. PCC's support services are centralised and	Corporate Systems Thinking board chaired by the Leader of the Council has agreed for an intervention to be carried out with support services.	Failure to achieve objectives

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						there is a risk that they will be unable to support ASC. Corporate policies will almost certainly be identified as system conditions - causes of waste, failure, and sub-optimal service provision. Because policy frameworks apply corporately and interventions are conducted locally, this will inevitably and repeatedly create conflicts between each intervention and the owners of corporate policies.		
Innes Richens, Director of Adults Services	Failure to achieve a balanced budget	Senior Management Team / Budget updates.	H	H	H	Not delivering a balanced budget due to overspend of resources.	Savings plans are in action from each service. Monthly monitoring, new monies announced by the chancellor in the Spring 2017 budget.	Budget
Innes Richens, Director of Adults Services	Client Record System	SWIFT / AIS Migration Project Board	H	H	H	The delay in implementation constitutes a significant risk to PCC given that SWIFT/AIS support is being reduced	Contract is due to be signed in October 2017	Information Technology

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						and is likely to deteriorate by this time.		
Innes Richens, Director of Adults Services	Care resources in Portsmouth	Domiciliary Care Report	H	H	H	Continued inability to contract for domiciliary care support for people living in their own homes. Risk of impact on health & wellbeing, increased risk of admission to residential care. Impact on ASC budget of more expensive provision.	Plan drafted to bid for transformation fund.	Resources
Public Health								
DPH	Insufficient focus on system prevention and early intervention in system-wide plans	System wide working with partners	L	M	L	Failure to reduce demand on services	Working with partners to ensure the Portsmouth Health and Care Programme is sufficiently focused on prevention and early intervention	Failure to achieve objectives
DPH	Reduction in funding in services, including for vulnerable people eg. drug and alcohol services, oral health, healthy child programme	Commissioned services	H	M	H	Population health outcomes decline	Managed through service redesign, retender of services and performance management of providers, where possible.	Failure to achieve objectives

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Property and Housing								
James Hill /Meredydd Hughes	Fire Risk Assessment (FRA) Out of Date FRA reviews as at 30/06/2017 269 outstanding FRA reviews to low rise blocks of flats NOTE - THIS WORK IS NOW COMPLETE	Internal Audit Report				As at 30/6/2017 269 FRA reviews outstanding As at 14/07/2017 196 FRA reviews outstanding As at 28/07/2017 98 FRA reviews outstanding As at 11/08/2017 43 FRA reviews outstanding As at 25/08/2017 0 FRA reviews outstanding	Commitment to complete all reviews by the end of August	PCC internal policy compliance (To review FRA's every 3 years)
James Hill/Meredydd Hughes	Removal and replacement of the ACM cladding system on Leamington House and Horatia House	DCLG testing of cladding systems				If Central Government do not fund the removal costs re-cladding this will be a budget pressure on the capital program	In dialogue with DCLG on the issue of funding	Financial risk
James Hill/David Mearns	Universal Credit Full Service roll-out in Portsmouth and Havant in June and August 2018	Current experience of UC Live Service and feedback from others already on Full Service				Large numbers of PCC tenants unable to pay their rent and associated administrative problems affecting normal support to other tenants	Staff training and tenant awareness raising is planned	Financial risk Risk of service deterioration
Colette Hill/Vince Venus	Waste Management - Fluctuations in the	PI risk register	H	M	H	Change in the currency exchange rates, plus changes	Veolia have short-term contracts in many of the markets around the world	Financial

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	income received from the sale of recyclable material					in national and international markets, could lead to a reduction in the income received		
Colette Hill/Vince Venus	Waste Management - Change in the structure of the waste management arrangements in Hampshire over the long term could impact upon the costs and environmental impacts of recycling and disposing of household waste	PI risk register	L	H	M	The current contract for waste disposal across Hampshire ends in 2031. Changes in arrangements before this time could lead to financial costs for the three disposal authorities, which includes Portsmouth.	PCC works at all levels with other political organisations in Hampshire. Contract is in place until 2031	Political and financial
Colette Hill/Vince Venus	Waste Management - Approaching the end of the current waste collection contract in 2019	Waste Collection contract risk register	H	L	M	Current contractor may not retain the contract A new operator would need to take control of the service and this could lead to a temporary interruption in service	Two year extension is possible Good contract management Professional contractors Change will be project managed	Financial and contractual
Transport Environment and Business Services								
Personal injury / harm (to staff/contractors and residents)	Risk arising in the course of delivering infrastructure projects and	All managers and staff	L	H	M	Reputation of the city and the City Council with residents,	Meeting legal requirements under Health and Safety legislation for working on	

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	maintaining the road network; enforcement of proper use of the network; delivering travel related events; managing business premises; providing transport and delivering employment learning and skills services for vulnerable children and adults.					businesses, investors and funding agencies.	the highway and other sites. Procurement of contracts to include health and safety requirements. Health and Safety training for all staff and sharing of good practice. Management of Health and Safety including fire protection in all premises. Protective measures and equipment for particular vulnerable workers. Quality control in Highways design. Safeguarding and risk assessments included in service and event planning.	
Environmental damage	Risk to air quality from vehicles especially in areas of congestion. Flooding from sea water and surface water.	Pam Turton and Martin Lavers	M	H	M/H	Negative impact on public health. Damage to property; disruption to businesses and services; financial loss.	Cross directorate Air Quality Action Plan in place to tackle air pollution which includes improvements to the road network, behaviour change and a shift to cleaner travel options. Sea defence strategy flood defences underway; and improvements to surface water management the city.	

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Financial loss	Overspend on large infrastructure projects and contractual issues. That the city's parking strategy discourages travel to the city for business and leisure. Failure to generate sufficient income from contracts and services to sustain Employment, Learning and Skills programmes.	Pam Turton, Martin Lavers, Liz Crate	L	L	L	Poor use of capital finance and impact on effect on future programmes. Negative impact on the local economy and income for the council.	Effective management and governance of projects. Have an effective parking strategy for the city that balances the needs of all stakeholders. The ELS service works to maintaining excellent standards to secure full payment of all income due; and a positive reputation to secure access to future contracts and funding streams.	
Compliance with statutory duties and responsibilities.	E.g. Blue badges and s278 notices. Flood Waters Act and Health and Safety at Work Act.	All managers	L	L	L	Reports to monitoring agencies, changes, possible fines.	Adequate resourcing and expertise in these areas of responsibility.	
Failure to achieve objectives (both strategic and operational)	Lack of investment or failure to secure capital for major infrastructure projects, or that we would not have the capacity to deliver these. Lack of consensus to enable strategies to be implemented in full e.g. active travel, air quality,	All managers	M	M	M	Effect on bidding for funding and contracts, reduced investment and growth. Poor service delivery, and loss of potential to deliver future services. Reputational damage and its effect on future	Work with internal and external partners to ensure support commitment to major schemes and ensure that the Infrastructure team have the capability to deliver them. Review the Local Transport Plan and working closely with Portfolio holder to ensure support for the plan.	

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	sustainable transport. Insufficient staff capacity due to reduced funding and pay constraints. Lack of revenue funding to maintain or improve current levels of service, e.g. road safety education and campaigns. Under-achievement on the Employment, Learning and Skills (ELS) programmes.					plans, projects and initiatives.	The team structure for the directorate provides a core of experienced staff supported by flexible resources with specialist skills to provide value for money. Continue to bid for funding for transport initiatives will mean that resources can be recruited to deliver them this year. Continue to bid for internal and external funding to support critical work programmes that address travel and transport issues in the city.	
Culture and City Development								
Stephen Baily (Director of Culture and City Development)	Reduction in budgets					Reduced services and resilience	Forecast outturn for 2017/18 as at Q2 indicates an overspend of £4k. It is likely that this will be absorbed in the remaining months of the year and that the service will be within budget by 31 March 2018.	Failure to meet objectives
Stephen Baily (Director of Culture and City Development)	Reduction in budgets					Deterioration of buildings and assets	Plans are currently being formulated to deliver the required 2018/19 savings.	

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Stephen Baily (Director of Culture and City Development)	Safety and security of buildings and assets (including collections)					Damage to buildings or collections; risk to building users if non-compliant (fire, legionella etc)	Operational plans and training of staff; actions in place following extreme weather	Personal injury, environmental, legal
Museums and Visitor Services	Security of collections against loss, theft, damage by fire or flood	At any time and especially when showing a particularly valuable or rare collection	L		L	Loss or damage and collections for city and for loan internationally	PDR's, 1:1's every 4 weeks and team meetings. Collections Policy and actions. Accreditation standards. Invest in Volunteer standards and	Financial and reputational
Events service	Events not properly risk assessed	At any time and especially at large events	L		L	Significant risk to public safety	PDR's, 1:1's every 4 weeks and team meetings. Robust events process/ PESAG process/ wash up process / events strategy / events review/ partnership working	Legislation (e.g. Health & safety)
Stephen Baily (Director of Culture and City Development)	Market conditions negatively impact on regeneration and city growth schemes, projects and developments					Failure to deliver regeneration of the city	Implementation of key strategic plans, such as the Local Plan; raising the profile of affordable housing in shaping the future of Portsmouth; promotion of the city as an investment destination	Failure to achieve objectives; environmental damage
Cemeteries	Cemeteries lack of capacity; Changing community needs e.g. different religions; Reduction	Constant as demography of the city changes	L		L	Failure to deliver our statutory duty	Prepare a report on the future of burials in the city - to include estimated religious needs; Be aware of statutory legislation and	Environmental/ reputational

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	in demand for traditional burials, increase in other religious/cultural burials, insufficient space/layout to accommodate, extra land required, financial impact	Once capacity is approaching maximum					requirements, plan alternatives if necessary e.g. land buying. 15-20 year capacity	
Community and communication								
Louise Wilders (Director of community and communications)	Requirement to deliver substantially the same portfolio of services whilst reducing costs by more than 10% each year	Budget Impact Statement	H	M	M	Increased service times, increase in error rate, reputational damage	Reviewing opportunities of partnership working and new income streams . Channel shift implementation	Failure to achieve objectives
Louise Wilders (Director of community and communications)	Ability to implement change - level of corporate buy-in and understanding of channel shift	Project documentation.	M	H	M	Wasted opportunity to achieve on-going corporate savings Poor customer service outcomes	Channel shift moving to BAU and digitisation programme. More services are requesting support.	Failure to achieve objectives
Louise Wilders (Director of community and communications)	Heavy exposure to national political dynamic around welfare reforms and local taxation	Project / Operational plans.	H	H	H	Abandonment of existing plans, changes in scope and responsibility, new initiatives (e.g. property revaluation)	Managing resources to meet needs but impacts on budgets of some changes a concern particularly valuation impact on NNDR	Failure to achieve objectives
Louise Wilders (Director of	Heavy exposure to national political	Operational plans.	H	H	H	New initiatives eg. voting age changes, boundary	Managing resources to meet needs	Failure to achieve objectives

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community and communications	dynamic around electoral issues					reviews, changes to electoral registration, electoral timetables		
Louise Wilders (Director of community and communications)	Resourcing and ability to run elections. Currently resourced by a very small team, and under-resourced in relation to comparators. Currently supported through the good will of staff across the organisation, but the experience that is periodically used to support the running of elections is also beginning to leave the organisation.	Operational plans.	H	H	H	Delays / reputational damage.	Working with Finance to review funding, and working through successional planning opportunities.	Failure to achieve objectives
Louise Wilders (Director of community and communications)	No clear plan from DWP for migration to Universal Credit. Impact of rents being paid direct to recipient, and the tangible and non-tangible costs to all directorates.	Project / Operational plans.	H	M	M	Risks to successful implementation leading to poor outcomes for population.	Horizon scanning national policy developments. Whilst it is planned that new claims will be rolled out in Portsmouth from June 18, the current outlook for full migration is 2021 We are part of a key stakeholder group, and	DWP run programme

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							are using some one time funding to deploy some specialist support in the civic offices.	
HR, Legal and Performance								
Jon Bell (Director of HR, Legal and Performance)	Reduced capacity	Day to day management activity	L	H	L	Risk to maintaining areas of business activity	Directorate has successfully delivered year on year savings and reduced in size accordingly. Additional income has been identified to maintain sufficient critical mass to meet organisation's needs. Key areas such as Child Protection Team (Legal) protected	Failure to achieve objectives
Jon Bell (Director of HR, Legal and Performance)	Recruitment and retention of key staff as economy continues to grow	Business Planning and workforce development	M	H	M	Loss of/difficulty in attracting sufficient skills and expertise	Some recruitment and retention issues being experienced within directorate and across wider organisation in certain specific areas - processes for market supplement payments (MOPs) have been reviewed and improved, and improvements are being made to recruitment/staff sourcing arrangements for particular roles. Also, workforce planning/succession	Failure to achieve objectives

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Chris Ward, Director of Finance and IT	Requirement to produce significant share of the council's savings target	Financial support to services and Council priority schemes	M	H	M	Reduction in service delivery e.g. income collection, provision of advice and management information for effective decision-making by budget holders.	Service aims to identify new income opportunities and efficiencies to meet savings targets to avoid reducing staffing to levels which compromise service delivery	Failure to achieve objectives and deliver expected service Risk in complying with statutory duties and responsibilities
Chris Ward, Director of Finance and IS	Maintaining financial resilience arising from staff reductions	Lack of cover, expertise and continuity	M	M	M	Reduction in service delivery and financial control	Finance reduced number of teams from 5 to 4 to improve general resilience although this includes the reduction of one Finance Manager post. Also ongoing review of business processes to ensure efficient service delivery. Raise income as a mechanism to avoid staff reductions	Failure to achieve objectives Risk in complying with statutory duties and responsibilities
Chris Ward, Director of Finance and IS	Financial collapse of an investment counterparty where the council has invested significant sums	Treasury Management strategy	L	H	L	Financial loss	No current indication that this is likely - credit rating of counterparties is kept under constant review.	Financial loss Reputational damage

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Chris Ward, Director of Finance and IS	Ability to restore financial and other systems post 'event'	IS DRP	M	H	M	Impact on trading services/external clients as well as PCC	A full disaster recovery exercise of the Council's enterprise resource planning system has not been tested in the recent past. The robustness of the current plan cannot therefore be fully ascertained.	Financial loss Reputational damage
Chris Ward, Director of Finance and IS	Pay levels - unable to compete in the financial market to attract, recruit and retain appropriately skilled staff	Professional Accountancy staff EBS	H	H	H	Increased costs to PCC on consultants, agency staff and recruitment campaigns	Development of in-house trainee programme for finance	Failure to achieve objectives Risk in complying with statutory duties and responsibilities
Chris Ward, Director of Finance and IS	Bringing forward closing of accounts deadline by four weeks - new statutory deadline from 2017/18	Resourcing priorities	M	H (Reputationally) L (on Council services)	M	Reduction in time to complete accurate statutory reports Adverse Audit report	2015/16 accounts closure programme reduced by two weeks - plan to reduce 2016/17 by a further two weeks	Failure to achieve objectives Risk in complying with statutory duties and responsibilities

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								Reputatio nal damage
Chris Ward, Director of Finance and IS	Inability to meet customers' expectations re new technology that is in general use by other organisations or day-to-day personal use	Aging technology increases risks to PCC business modernisation	M	H	M	Inefficient ways of working across PCC and partners	With the IT Strategy, Category Plan , IT restructure and Digital City Strategy either complete or underway likelihood is now downgraded from H to M	Failure to achieve objectives and deliver expected service
Chris Ward, Director of Finance and IS	Project delivery - ongoing review since June has identified there is a need to have better governance over the IOCT change demand/projects of the council	Potential insufficient resource to address business need	L	M	L	Impact upon business change Impact upon time, cost and quality schedules	Last week (Week 30) it was reported that there wasn't a single project that didn't have a project manager allocated.	Failure to achieve objectives and deliver expected service
Chris Ward, Director of Finance and IS	Roadmaps, contract pipeline and NPD - insufficient project prioritisation, supplier relationship management and contract management	Increased costs to PCC	M	H	M	Risk that parts of the IT infrastructure become obsolete (e.g. ITSM and Traffic Management Centre).	Introduction of "best in Class" Architect Practice and Competencies. Further Governance resource from restructure	Financial loss; Operation al degradatio n; reputation al damage
Chris Ward, Director of Finance and IS	Changes from central government - ongoing risk of	Changes required to systems and IT	L	H	M	Loss of PSN accreditation;	Introduction of "best in Class" Architect Practice and Competencies.	Financial loss; Failure to

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	changes to either PSN or service department data requirements	infrastructure cannot be achieved on time				security or data breach	Further Governance resource from restructure	maintain organisational business objectives; reputational damage
Chris Ward, Director of Finance and IS	Strength of Cyber-security arrangements - other local authorities have received ransomware attacks: end user alert-based system at the moment leaves PCC vulnerable because a "zero day attack" could evade our current defences.	Loss of key business systems and data breaches	H	H	H	Potential multiple impacts - high likelihood and high impact	Continuous improvements to detection and protection are being implemented. Work underway to further procure and implement SIEM industry standard detection and remediation. Measures taken to address issue include educating the authority on how to identify malicious emails and security threats	Financial loss; Operational degradation; reputational damage
Chris Ward, Director of Finance and IT	Single points of failure in ICT infrastructure and systems access	Loss of key business systems and ability to maintain IT operations to support PCC business activities	H	H	M	Key information unavailable - impacts on frontline and critical activity	Independent audit identified issues in our IT infrastructure - DRaaS, Data Centre, Firewalls. As a result appropriate remediation actions and projects underway to address the key areas of concern.	Failure to achieve objectives; Operational degradation; Impact on Frontline Service Delivery

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Chris Ward, Director of Finance and IT	Ability to upgrade Northgate hardware prior to yearend activity	Existing equipment past expected life	M	H	L	System failure - unable to collect income	Temporary servers on site. UAT starting immediately	Financial loss & Reputatio nal damage
Chris Ward, S151 Officer	Legislative/statutory guidance/budget changes	External	M	M	M	Government regulation to restrict LA investment activities	Explore setting up new company, respond to consultations, lobby government	Financial loss
Chris Ward, Director of Finance and IT	PFI contract	Renegotiation of contract	M	L	M	Unaffordability / contract failure	Strong negotiating strategy, effective engagement with contractor, strong contract intelligence	Financial loss
Chris Ward, S151 Officer	Serious instance of fraud	Council wide	L	H	L		Robust Audit plan including fraud detection strategy	Reputatio nal damage
Chris Ward, S151 Officer	Data Breaches		L	H	L		Clear desk policy Policy reminders	Reputatio nal damage & fine
Chris Ward, S151 Officer	Entrepreneurial activities	Stated ambition of Council	M	H	L		Reviewed by independent expert, strong & experienced management structure, legal advice, strong performance management, solid due diligence & frequent monitoring	Financial loss
Chris Ward, S151 Officer	Failure to deliver a balanced budget over time	Delivery of Council services	L	M	L	Unable to deliver service outcomes. Not fulfilling statutory role	Prioritise resource towards high risk activities Reserves & Contingency provision	

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							Robust budget monitoring and management arrangements	
PORT								
Mike Sellers (Port Director)	Revenue	Reporting	L	H	H	Loss of ferry operator.	Port Users Meeting, Operator / Management meetings, Strategy meetings (pricing), Min. guarantees, long term agreements, meet customer requirements.	Financial risk. Failure to achieve objectives.
Mike Sellers (Port Director)	Revenue	Reporting	H	M	H	Lack of funding to successfully maintain and develop port.	Strategic planning, strong relationship with Members, good communication.	Financial risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Revenue	Reporting	L	H	H	Section 75 debt payable following an employment-cessation event.	Planning, mitigation options utilised.	Financial risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Maritime	Reporting	L	H	H	Maritime incident such as fire, collision or grounding or blocking of the harbour.	Port Marine Safety Code and Annual Audit.	Maritime risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Maritime	Reporting	L	H	H	Terrorist alert on a vessel approaching the Port.	Liaison by Harbour Master with Queens Harbour Master and Police. Involvement with	Maritime risk. Failure to achieve objectives.

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							Port Facilities Security Officer.	
Mike Sellers (Port Director)	Port Operations	Reporting	H	L	H	Brexit. Reduced and slower throughput in the Port. Potential increased requirements for trader provider facilities.	Awareness of Brexit plans. Good communication and liaison with Border Force, and other groups including The BPA, UK Chamber of Shipping and Customs agency in MMD.	Port Operation risk. Failure to achieve objectives.
Kalvin Baugh (Ferry Port Manager)	Port Operations	Reporting	M	H	H	Security alert within the port.	Port Security Plan.	Port Operation risk. Failure to achieve objectives.
Kalvin Baugh (Ferry Port Manager)	Port Operations	Reporting	M	H	H	Environmental incident within the Port resulting in pollution.	Emergency Plan and Environmental Impact Assessment.	Port Operation risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Port Operations	Reporting	L	H	H	Serious health and safety incident within the Port affecting staff, port users or the general public.	Health and Safety procedures and Risk Assessments.	Port Operation risk. Failure to achieve objectives.