

Appendix A - Risk Register 2014/15 By Service July 2014

01/07/2014 (updated 3/9/14 final)

Ref	Activity	Drivers	Service	Theme	Threats	Assurances	Risk Level as at July 2014	Triggers/ When is this a risk?	CURRENT SIGNIFICANT RISK
A PORT Martin Putman									
AA1	Revenue	Making a profit, Multiuser port	Port	Financial	Activities and outcomes that have a direct impact on the Ports ability to generate income e.g. loss of Ferry Operator, Loss of Non ferry operator customers, Lack of funding; Macroeconomic downturn	awareness of economy/ exchange rates, port users meeting, operator management meetings, strategy meetings (pricing)- maintain good working relationship with customers; strategic planning strong relationships with Members, good communications- ISO 9001 Integrated management system monitoring and measurement process.	Medium	Could happen at any time if a major user were to go bankrupt for example or changed or cut routes. Impact would be significant	Yes
AB1	Maritime	Environmental, terrorism, disease	Port	Environmental	Activities and operations which take place between the Port infrastructure and the limits of the Competent Harbour Authority. Working in liaison with other stakeholders such as QHM, Cruise/Ferry operators Emergency Services and other Statutory Bodies. Maritime incident such as fire, collision or grounding or blocking of the harbour; terrorist alert on a vessel approaching the port, approaching vessel has reported contagious illness has broken out on board, environmental incident in the harbour.	Port marine safety code and annual audit by Marico. Liaison by harbour master and police, involvement with port facilities security officer. Advise port health immediately who will make appropriate decisions. Port marine safety code controls. PMSC Risk assessments, crisis plan internal and external audit reports and business continuity plan PIP 04. All reviewed annually or after any incident or change by the Harbour Master. Port marine safety code risk assessments and PIP 03. ISO 9001 Quality management and ISO 22301	Medium	Could happen anytime re fire, grounding, disease etc, terrorism when country in a state of high alert.	
AC1	Port operation	Safety; capacity	Port	Environmental	Security alert within the port, fire aboard a vessel approaching the port, environmental incident within the port resulting in pollution, health and safety incident within the port affecting staff port users or the general public, potential breach of legislation identified through internal system controls, sudden and unexpected higher levels of throughput of freight and passengers in the port	Health & safety procedures and risk assessments, PM 27 Document evaluation of compliance process in place, Port legislation register, reviewed and updated six monthly, crisis plan & business continuity plan PIP 04	Medium		
AD1	Buildings and Infrastructure	Failures, loss of building, asbestos and legionellas risks	Port	Legal & Compliance	Linkspan and gangway failure, damage to berth due to ships handling and movement, fire, lifting equipment failure, failure of information communication systems, asbestos exposure, legionnaires disease	Planned preventative maintenance programme, MMS System records, port marine safety code risk assessments PMSC Records and business continuity plan PIP 04, Fire risk assessments, thorough examinations by insurance company, information security statement of applicability and control, asbestos survey and management plan, legionella risk assessment and regular water monitoring.	Medium	If no inspections	
AE1	Public Image	Customer dissatisfaction	Port	Financial	Adverse publicity resulting in stakeholder dissatisfaction that could have a direct impact of the public perception of the port; media coverage (including social media) resulting from an incident	public relations company act on behalf of the port- regular meetings with pr company	Medium	At anytime particularly following an incident	
AF1	Human Resources	Staffing	Port	Financial	loss of key member of staff and specialist skills	BCM Plan PIP 04 and staff contingency plans	Medium	Economic downturn- higher salaries elsewhere	
B Health Safety & Licensing Rachael Dalby									
BA1	Community Safety Service	Safety and well being of people by stopping, or removing harm, caused by others- political reputation	HS&L	People & Processes	Acting on Poor intelligence/ not obtaining sufficient evidence/ action not taken appropriately resulting in physical harm	Citywide ASB service review undertaken and detailed recommendations to SPP in Sept including intervention and prevention and reviewing processes. This work is part of phase 2 of shared service. Mitigations dependant on implementation.	Medium	review carried out. Risk will increase if recommendations not carried out.	No
BA2	Community Safety Service	Safety and well being of people by stopping, or removing harm, caused by others- political reputation	HS&L	People & Processes	Poor inter agency communications	Working with other agencies; conference meetings. Shared services - Co-locating staff and senior Management. Police involved at senior level	High	High profile projects and public involved	Yes
BB1	Health & Safety	Legislation	HS&L	Legal & Compliance	Health & Safety to staff e.g. when visiting others etc	training, supervisor checks	Medium	When staff carry out visits to known violent situations or situations that could become violent	No
BC1	Health Grant	Legislation	HS&L	People & Processes	Spending criteria not properly defined and pressure to use for things with tenuous links to health	Health & wellbeing board agree criteria	Medium	When budgets have to be cut jeopardising politically sensitive activities	No
					Contractual activity - redefining all contracts taken over by PCC (see ICU)				
Q Civil Contingency Unit/ Business Continuity Cindy Jones									

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QA1	Emergency Planning	Legislation, budget pressures, reputational	Civil Cont.	Legal & Compliance	loss of Council volunteers Approx 137 volunteers recruited from the council employee pool. Must be council employees-to run rest centres, emergency response centre, local authority liaison wherever emergency is located, city contact officers out of hours initial contact, PIT (Potassium Iodate tablets) distribution team every time nuclear sub in docks. Sub risk includes people not attending training (mainly not being given time off duties to do so) . Impact would be mistakes made, right welfare not provided which could result in physical harm and massive reputational damage and potential civil action.	Yearly recruitment drive	High	When services are reviewed; as teams reduce dramatically; if outsourced leading to a loss of local skill base	Yes
QA2	Emergency Planning	Legislation, Financial, Reputational	Civil Cont.	Financial	Budget cuts- less capacity currently 2FTE and 1 PTE staff- small team if one post lost would have to stop doing things may not be able to meet statutory duties- less partnership working- censure from other partners; plans may be out of date; less training	no mitigation- team ceases	Medium	If review leads to staff cuts	No
QA3	Emergency Planning	Political, Financial	Civil Cont.	People & Processes	Centralisation of agency emergency planning functions; manage collectively local resilience form (LRF) statutory body strategic for planning emergency response.If give up a resource for strategic standalone organisation still require same responder level and would result in Loss of local knowledge, loss of staff for operational activities if strategic standalone service.	Review of strategic response	Low	If review doesn't work may come back on the agenda	No
QA4	Emergency Planning	Political	Civil Cont.	People & Processes	External community bid for the service. Two main players; British Red Cross & Community Resilience UK non-profit orgs. Currently not providing same level of service	Review process input	Low	If more Councils sign up/ when a bid comes in	No
QA5	Emergency Planning	Government, Budget pressures	Civil Cont.	Missed opportunity	Missed opportunities- NHS Public Health responsibilities have transferred to PCC and without an health emergency planner. Could be missing things re community resilience programme especially targeting less able. E.g. to alleviate blue light or social care services by developing programmes to make vulnerable people more self sufficient and resilient in emergency situations e.g. flooding. Currently have a student placement but are not in a position to develop a full programme. Need to develop relationships with care groups and develop packages	Student placement	Medium	When emergencies occur which impact on vulnerable people	No
QA6	Emergency Planning	Government, Budget pressures	Civil Cont.	People & Processes	Fuel Shortages National plan based on allocations- category 1 responder garages required to stay open for providing fuel for emergency activities. Devolving from government to local resilience forums to make their own arrangements with garages. There will be no guaranteed supply of fuel and no compunction on fuel stations to help out. National chains have complained to the government and said will not do this. PCC and partners may not have enough leverage to require fuel stations to remain open.	No mitigation currently in place- plan still being developed	High	When fuel shortage emergency	Yes
C Integrated Commissioning Unit									
CA1	Domiciliary Care	Cost, safeguarding, legislation	ICU	Financial	sustainability- costs so low they drive providers out of the market- costs cannot increase because of cuts in budgets	Discussions with providers pre tender. Contract monitoring of provision, sustainability checks when letting contracts	High	When re tendering; cuts in budgets; staffing of contracts becomes too low to provide service & provider goes out of business. National issue as some of the big providers have gone out of business; shortage of care staff as wages are considered too low	Yes

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CB1	Public Health Contracts	Value for money, legislation	ICU	Financial	Having taken over all contracts when Health became integrated contracts will need to be re-let this could cause issues with resources to re define services required and manage new tenders	ICU team resourced; management of contracts	Medium	When the contracts are re-tendered or a failure in contract delivery	No
					See also Childrens Services- checking of Independent Foster Care Agency				
D Education & Strategic Commissioning Julien Kramer									
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DA1	Universal Infant Free School Meals Implementation	Legislation	Educ	Financial	New legislation to provide free school meals for infants. Some schools no longer have kitchens. Budgets to provide meals?	Working group established. Heavy & Light equipment ordered. Kitchen upgrades to be completed by September 2014	Medium	when legislation is due to become active	Yes
DB1	School Improvement	Educational attainment/ improvement- political- budgets- legislation	Educ	People & Processes	Schools not meeting targets of educational attainment/improvement; projects not effective	Regular monitoring of improvement through internal team, desktop analysis, Schools Standards & Improvement Group, Progress Review Group, Schools Strategy Board and Children's Trust arrangements	High	Any dip in performance at Early Years, Key Stages 1,2 and 4; schools below floor targets; widening of the gap between Portsmouth and national averages; performance of pupil premium children	Yes
DB2	School Improvement	Inspection	Educ	Legal & Compliance	Poor Ofsted inspection of LA's School Improvement function	Annual self evaluation against set of criteria rag rated with quarterly reporting to Julian Woosters DMT; returns to DFE on a regular basis Planning group has met regularly this academic year to plan for inspection	High	Any gaps/ weaknesses identified as a result of a Self Assessment against the Inspection Framework	Yes
DB3	School places	Legislation	Educ	Legal & Compliance	LA not being able to meet its statutory duty of providing sufficient school places for primary (within 2 miles radius of home) and secondary (within 3 miles radius)	Current sufficiency plan in place- next plan for 2015/16 - 2017/18 in development	High	Surplus dips below 2%	Yes
DB4	School Buildings	Legislation	Educ	Financial	School buildings not being adequately maintained as a result of the demise of BSF and a significant reduction in Devolved Capital Funding to Schools	Asset Management Planning meetings with LA Maintained Schools; traded services agreement; statutory H&S, fire asbestos and legionella audits; reminders to schools of policies; training sessions held by PCC e.g. Legionella Management Training	Medium	Risk rating of 23-25 i.e. threat of closure	Yes
DB6	Support for Home to School and Home to College Transport	Legislation	Educ	Financial	Home to school transport overspends and increasing responsibilities	A new policy in place from September 2014. This introduces a new discretionary criteria to target support to those most in need and ensure most efficient mode of transport is offered	Medium	Likely to get worse from next year due to changes in legislation. Impact of new policy may mitigate pressure on budget	No
DB7	Outdoor Activities	Legislation (Health & Safety)	Educ	Legal & Compliance	Outdoor activities, residential trips, trips overseas etc	Ensure take up of traded services offer (contract with HCC) and assurance of from schools that if the offer has not been taken up that alternative arrangements have been made.	Low	When trips taken	No
DC1	Special Schools	Safeguarding, development, legislation	Educ	Legal & Compliance	Physical/ mental abuse by staff or other children; harm from scalding; medical negligence	Education officer attached to every school; monitor financial info, assets info, health and safety, Ofsted, Audit reports, complaints logged and investigated.	Medium	Could happen anytime	No
DD1	Special Needs in Schools	Legislation, development, budget cuts	Educ	Financial	If no places due to demand may have to place in special schools out of city. Highest cost can be £200k lowest cost £60k plus transport	Contingency this year through using capacity in all SEN schools and resources- project planning to manage pressures from Sept 2015	High	Projected places indicate pressure	No
DE1	Early years	Legislation, budget cuts, development	Educ	Financial	Increase in babies being born will impact on future provision- Not have sufficient budgets? Not able to support?	Reduction in service provision	High	Capacity concerns	Yes
DF1	Academy transfers and conversions	Legislation, Budget cuts	Educ	Financial	Increase in the number of schools becoming academies will result in a reduction in the Education Services Grant, transfer of previously delegated funds under DSG and maintenance capital funding to the LA. Extent of impact will depend on the LA's ability to retain services through traded services agreements. Ability to perform statutory functions effectively may also be affected e.g. pupil place planning, SEN placements etc.	Strategic partnership arrangements with Academy Trusts/ Sponsors. Traded Services Offer specific to Academies	High	When a third or more schools become academies	Yes
E Childrens Social Care & Safeguarding Stephen Kitchman									

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EA1	Safeguarding	Legislation, budget pressures, professional practice, inspections, risks of harm to a child; reputational	CSC&Safe	Legal & Compliance	If assessment and intervention not robust could lead to harm or death of a child; child protection plans	Training; social work matters transformation programme, best practice national guidance, learning from serious case reviews from other authorities as well as own; safeguarding board; Management of case loads; highly qualified staff; good management/ supervision and training, stable retained workforce.	High	Everytime an assessment is carried out; changes in staff; high turnover of staff	Yes
EA2		Ditto	CSC&Safe	Legal & Compliance	If intervention not acted upon could lead to harm or death of a child; partner organisation not reporting on a child at risk	see above	High	Changes in staff; high turnover of staff	Yes
EB1	Looked after Children	Ditto	CSC&Safe	Financial	Only resourced to manage a finite number of cases of looked after children so if more have to place outside the city and the cost can double which puts further pressure on resources.	Already have peaks & troughs -£60k over three years per child; Children with more specialist needs can require external placements which can cost in excess of £200k, small variation can have huge impact on budget	High	Peaks in demand	Yes
EB2		Ditto	CSC&Safe	Financial	Some London Boroughs rehousing people in Portsmouth could result in further pressures on services especially if they require assessments or interventions but do not fall within troubled families criteria so do not attract grant.	Horizon scanning; JSNA	High	Increase in demand	Yes
EB3	Foster	Ditto	CSC&Safe	Legal & Compliance	Requirement to now care for fostered/ cared for children longer and up to aged 25 who have been looked after or have a disability.	additional budget funding	High	Now- dependent on additional government funding as to size of risk	Yes
EB4	(ICU?)	Ditto	CSC&Safe	Legal & Compliance	Not checking DBS or Insurances on independent fostering agency	HCC contract agency	High	When children fostered through agency	Yes
EC1	Budgets	Ditto	CSC&Safe	Financial	Benchmarking based on historic data so could result in inaccurate budget forecasts; child population growing budget reducing; impact of London families	Horizon scanning; JSNA	High	Increase in demand	Yes
ED1	Ofsted	Ditto	CSC&Safe	Legal & Compliance	Not meeting Ofsted requirements; Ofsted expect more than basic statutory requirements to be delivered - expect effectiveness of performance.	Training; social work matters transformation programme, best practice national guidance, learning from serious case reviews from other authorities as well as own; safeguarding board; Management of case loads; highly qualified staff; good management/ supervision and training, stable retained workforce.	Medium		No
EF1	Residential Care	Ditto	CSC&Safe	Legal & Compliance	Grooming of children in Care	Grooming soon to be part of Ofsted inspection; new guidelines and best practice ; training for staff. DBS checks	High	Could be past cases still to come to light	Yes
EF2		Ditto	CSC&Safe	Legal & Compliance	Safety of Children in Residential Homes	Regularly inspected every six months; supervision; standards e.g. management of violence, every month regulation 33 visit assess quality (carried out by IRO'S) which go to Ofsted each month. DBS checks	Medium	at anytime	No
EG1	Adoptions	Ditto	CSC&Safe	People & Processes	Children not found suitable adoptions/ adoptions too slow	Supervisions, suitable qualified/ experienced staff,	Medium	When child in care awaiting adoption; when adoption process put in train	No
EH1	Youth Offending Team	Ditto	CSC&Safe	Legal & Compliance	Not meeting statutory requirements/best practice; insufficient resources	Youth Justice Strategic Plan, Youth Offending Improvement Plan, support from Youth Justice Board, Youth Offending Board meets monthly	High	When YO referred to PCC as lead Authority	Yes
EI1	Workforce	Legislation, political, budget pressures	CSC&Safe	People & Processes	Insufficient social workers leads to failure to deliver statutory duties, inspection risks, use of agency workers poses financial risk	Workforce strategy, Social Work Matters Programme, Performance framework for management scrutiny	High	When staff leave	Yes
F Adult Social Care Rob Watt									
FA1	Residential Care Homes	Legislation- political reputational	ASC	Legal & Compliance	Safeguarding concerns within homes e.g. risks to clients from environment; medication 'errors'; poor care; physical, mental, financial abuse	Policies, Procedures, Rules, training, supervision one to ones, inspections, monitoring of providers by ICU. Safeguarding concerns investigated by ASC	Medium	At anytime	No
FA2	Residential Care Homes	Legislation- political reputational	ASC	Financial	Closure of service due to financial difficulties	Ditto	Medium	ditto	No
FA4	Residential Care Homes	Legislation- political reputational	ASC	Legal & Compliance	non-compliance with CQC standards	Monitoring of providers by ICU- Safeguarding concerns investigated by ASC	Medium	ditto	No
FB1	Health & Safety	Legislation	ASC	Legal & Compliance	Lone working; visiting clients; Physical working conditions	H&S risk assessments, supervision, training	Medium	when staff visit clients and at workbase	No

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FC1	Referral & Assessment	Legislation- political reputational	ASC	Legal & Compliance	Safeguarding alerts not dealt with; action not taken appropriately	supervision checks, routine case audits peer review	Medium	When referrals received and when assessment made	No
FC2	Referral & Assessment	Legislation- political reputational	ASC	Legal & Compliance	Non compliance with DPA; statutory responsibilities	Training mandatory	Medium	At anytime during assessment process	No
FC3	Referral & Assessment	Legislation- political reputational	ASC	Financial	Insufficient capacity to meet increasing demand	Regular supervision, senior management monitoring, report to SDB maximum 50 caseloads per FTE, error reports; succession planning	Medium	Demand increasing as demographic changes	No
FD1	HR	Legislation	ASC	Legal & Compliance	DBS checks not carried out	Audits on DBS checks with HR	Medium	When new staff recruited	No
FE1	Service delivery	Budget pressures	ASC	Financial	sickness levels impacting on service delivery	One to ones ; return to work interviews	Medium	Current issue-Sickness levels high	No
FE2	Missed opportunities	Budget pressures	ASC	Missed opportunity	IT integration with GPs, tablets in the field, flexible & mobile working on site	Business case spend to save	Low	If business case not successful	No
FF1	Hospital based teams	Budget pressures- political	ASC	Financial	Capacity to manage hospital discharge	Health & Social Care Partnership Board/ Health & Wellbeing Board	Medium	When clients remain in hospital awaiting discharge	No
FG1	Capacity and budget	Budget pressures	ASC	Financial	Aging population leading to an increase in service demand with diminishing resource - £12m savings target for 2015/18 - expectations of Care Act including new responsibilities e.g. greater focus on Carers - New 'paying for care' arrangements under Care Act - loss of income	Early intervention & prevention,-Partnership with Health & efficiencies in back office.- Integration of services - Agreed use of Better Care Fund- Financial assessment on impact of charges to paying for care. - Report to SDB	High	- Ongoing work on BCF - When new arrangements in place (from Oct 15)	Yes
FH1	Deprivation of Liberty	Legislation	ASC	Legal & Compliance	New 'Cheshire West' Judgement on who should be assessed for DOL (deprivation of Liberty)	- more resource required for Best Interest Assessments - Training of Staff in BIA role etc	High	At anytime for people who have restrictions on independent living	
FI1	Client Record	Legislation	ASC	Legal & Compliance	Failure in IT systems leading to lack of available information on clients	Stand alone PC's backed up daily to ensure access to existing client records	Medium	At anytime	
FJ1	Extreme weather conditions	Legislation	ASC	Legal & Compliance	Inability to deliver services	Robust Business Continuity Plan to ensure service users are safe in the event of severe weather	Medium	At any time	
	Domiciliary Care	See ICU	ASC						
G Revs & Bens Ed Woodhouse									
GA1a	Changes in Welfare Legislation (Universal Credit)	Legislation	Revs & Bn	Financial	Insufficient detail to determine	Impact across Council services. Corporate planning will be required	Medium	Currently unclear. This depends on Government policy on how & when Universal Credit is introduced	No
GA1b	Changes in Welfare Legislation (Under occupation in social housing)	Legislation	Revs & Bn	Financial	Impact of 'spare room subsidy'/'bedroom tax' on provision of social housing availability	Not Revenues & Benefits risk See Housing	High	when demand for housing of certain types from people already in social housing exceeds supply	Yes financial impact initially on those in social housing. If rents are not paid impact is on the Housing Service.
GA2	Changes in Council Tax Support legislation	Legislation- budget pressures	Revs & Bn	Financial	Reduced level of Council Tax collection which puts pressure on Council budget as a whole.	Debt management	Medium	When Council Tax is collected	No
GB1	DPA Compliance	Legislation	Revs & Bn	Legal & Compliance	No archiving solution in Northgate Revs & Bens system	Access to info controlled by DPA rules	Medium	6 years plus current year or when information held is no longer required	No
GC1	Further cash limit reductions	Budget	Revs & Bn	Financial	"Tip over point" may be reached in 2015/16, leading to inability to perform mandatory activities (collect tax, pay benefits)	Council budget	Medium	When budget is insufficient to carry out the activities	Yes, impact on Council budget as a whole, and failure to complete statutory tasks
H City Development & Cultural Services Stephen Baily									
HA1	Archive & Museums	Budget pressures, reputational	CDCS	Financial	Security of collections against loss, theft, damage by fire or flood	PDR's, 1:1's every 4 weeks and team meetings. Collections Policy and actions. Accreditation standards. Invest in Volunteer standards and accreditation	Medium	At anytime and especially when showing a particularly valuable or rare collection	No
HA2	Archive & Museums	Budget pressures, reputational	CDCS	Financial	Collections under/ over valued	PDR's, 1:1's every 4 weeks and team meetings. Collections Policy and actions. Accreditation standards. Invest in Volunteer standards and accreditation	Medium	If valuations are overdue or a new item is received and not valued	No
HA3	Archive & Museums	Legislation	CDCS	Legal & Compliance	Non compliance with archival british standards	PDR's, 1:1's every 4 weeks and team meetings. Collection policy and actions. Accreditation Standards	Medium	At anytime	No
HB1	Libraries	Budget pressures, reputational	CDCS	Financial	Buildings security and security of collections	PDR's, 1:1's every 4 weeks and team meetings. Operational plans. Effective staff scheduling	Medium	When contractors need access; at closing of buildings at the end of a working day	No
HB2	Libraries	Budget pressures, political	CDCS	Financial	Availability of books and other media	PDR's, 1:1's every 4 weeks and team meetings	Medium	At anytime when books are not returned	No
HB3	Libraries	political	CDCS	People & Processes	facilities under used	Library development plan actions. Working in partnership with services to relocate such as PIP. Funding bids	Medium	At anytime due to incorrect location, opening times restricted	No
HC1	HR	Budget pressures	CDCS	Financial	Loss of key skills	PDR's, 1:1's every 4 weeks and team meetings. Management training. Salary benchmarking	High	At anytime due to budget pressures	No

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HC2	HR	Legislation	CDCS	Legal & Compliance	Health & Safety of staff in the work place	PDR's, 1:1's every 4 weeks and team meetings. E learning programme	Medium	At anytime but especially when changing collections, carrying out inventories	No
HC3	HR	Legislation	CDCS	Legal & Compliance	Non compliance with DBS checks where staff e.g. Museums have direct unsupervised regular contact with children	Recruitment process improved. Volunteer policy formalised	Medium	At anytime but especially on recruitment of new staff	No
HD1	Leisure , events, cemeteries, community centres & seafront and other	Legislation, budget pressures	CDCS	Legal & Compliance	non compliance with Health & Safety, legionella testing	PDR's, 1:1's every 4 weeks and team meetings. Operational check in place	Medium	At anytime	No
HD2	Leisure , events, cemeteries, community centres & seafront and other	Budget pressures	CDCS	Financial	Fraud risks; Income not accounted for	PDR's, 1:1's every 4 weeks and team meetings. Operational check in place	Medium	At anytime but especially when income collected and held prior to banking and when cash	No
HD3	Leisure , events, cemeteries, community centres & seafront and other	Legislation (e.g. Health & safety)	CDCS	Legal & Compliance	Events not properly risk assessed	PDR's, 1:1's every 4 weeks and team meetings. Robust events process	Medium	When event applications submitted	No
HD5	Leisure , events, cemeteries, community centres & seafront and other	Budget pressures, political	CDCS	Financial	Community Centres, maintenance not carried out, facilities under used	PDR's, 1:1's every 4 weeks and team meetings	Medium	Following particularly extremes of weather	No
HD6	Leisure , events, cemeteries, community centres & seafront and other	Budget pressures, political	CDCS	People & Processes	Conflicting usage of sea front/ beach/ sea	PDR's, 1:1's every 4 weeks and team meetings. Actions in seafront master plan	Medium	Mainly in the summer when use is high	No
HE1	Regeneration	Budget pressures/ political	CDCS	Financial	Lack of adoption of the necessary long term strategic plans leading to inadequate delivery of city regeneration plans		Medium		No
HF1	Buildings	Budget pressures	CDCS	Financial	Greater than expected deterioration of buildings and failure to adequately maintain assets	Also risk for Housing & Property Services and Finance	High		
HG1	Projects/ regen		CDCS	People & Processes	Predicted Milestones either on delivery of activity or financial are not met. See also Project Risk Registers- Northern Quarter, Tipner	Project Boards	High	Triggers such as market conditions negatively affect progression of key regeneration projects	Yes
I Corp Assets, Business & Standards Alan Cufley									
IA1	E.Health	Legislation, budget pressures, reputational	CABS	Legal & Compliance	Capacity in meeting statutory obligations: air quality, food safety, noise pollution control, pest control, port health especially if changes in legislations increases responsibilities	Policy to support service delivery at current levels	Medium	Changes in legislation and/ or increases in demand	No
IB1	Asset Management	Budget pressures	CABS	Financial	Economic downturn could reduce demand for PCC owned property	risk is spread across a diverse portfolio	Medium	When properties come up for rent renewal/ reviews	No
IB2	Asset Management	Budget pressures	CABS	Financial	Accuracy of property related financial data leading to under/over insurance and under/ over statement of financial assets	New concerto system being introduced	Medium	when data is entered on the system/ updated / revalued	No
IC1	Planning	Legislation	CABS	Financial	New government funding arrangements for affordable housing until 2018 has led to developers being cautious about financial outcomes of developing as well as impact of welfare reforms and reductions in benefits	Marketing	Medium	When land becomes available for development	No
IC2	Planning		CABS	Financial	availability of land for affordable housing development; conflict with obtaining maximum return on available land	Raising the profile of affordable housing in shaping the future of portsmouth	Low	When land becomes available for development	No
ID1	Housing renewal	Budget pressures	CABS	Financial	Reduced capital funding and change of emphasis from grant to loans for housing renewal could lead to worsening housing conditions in the city	Investigation of other funding sources	Medium	When demand for aid is received	No
ID2	Housing renewal		CABS	People & Processes	slow rate of referrals from OT will not utilise all of the available capital allocation so preventing people from getting the adaptations they need	working with social care to improve the effectiveness of the process	Low	When demands received	No
IE1	Trading standards	Budget pressures, legislation	CABS	Financial	Inadequate charging and cost recovery	Review charging mechanisms, benchmark	Medium	When budgets set	No
IE2	Trading standards	Reputational	CABS	Legal & Compliance	Compliance with seizure procedures especially re tobacco and alcohol	Supervision	Low	When items seized	No
IF1	Pest control	Budget pressures, legislation	CABS	Legal & Compliance	Health & Safety re use of chemicals	RIDDOR	Low	When Chemicals stored/ used	No
IF2	Pest control	Budget pressures, legislation	CABS	Financial	Not all income accounted for- fraud	Accountancy controls	Low	When Pest control service delivered	No
IF3	Pest control	Political	CABS	Financial	Insufficient fees charged to cover cost of service	reduce number of free and reduced free treatments benchmark	Medium	When budgets set	No
IF4	Pest control	Reputational	CABS	Environmental	Increase in pests and diseases if scale back of control activity due to reduced resources	Policies/ priorities in business plan	Medium	When control of e.g. rat populations reduced to below recommended levels or stopped	No

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IG1	PCMI	Budget pressures	CABS	Financial	Insufficient income/sales generation for employment learning and skills service leading to an unsustainable activity	Marketing	Medium	When a commission is completed	No
IH1	HR	Budget pressures	CABS	Financial	Loss of skilled workers/ reduced capacity	succession planning	High	When staff leave	Yes
IH2		Legislation	CABS	Legal & Compliance	Health & Safety of staff when visiting premises e.g. Pest Control, E health and Trading Standards	Risk assessments, training	Medium	When service is being delivered	No
IJ1	Enterprise Centres	Lost opportunities	CABS	Missed Opportunity	Not offering broadband	Demand analysis	Low	When premises become vacant	No
IK1	Corporate Assets	Budget Pressures	CABS	Financial	Lack of human resources to deliver the Corporate Assets Development Strategy	Recruit the appropriate resource to take this work forward	Medium	When leases are up for review/ developers approach PCC	No
IK2	Corporate Assets	Political/ Reputational	CABS	Legal & Compliance	The precedent conditions within the Northern Quarter development agreement are not met	Work closely with the developer to ensure issues are addressed and assumptions challenged at the earliest opportunity	Medium	At each stage of the project	No
IL1	Town Centre Management	Budget pressures	CABS	Financial	Insufficient investment in the existing city centre retail area when the Northern Quarter is opened	Refurbishment of the existing centre through the City Centre Environmental Improvements Project and continued support for events to maintain the vibrancy of the area	Medium	At key stages in the Northern Quarter development	No
IM1	Employment Learning & Skills	Lost opportunities	CABS	Missed Opportunity	Changes to government priorities for allocating funds to ELS services and underperformance on current contracts.	Continuous development to attract new funding	Medium	When contracts and new initiatives are announced	No
J Transport & Environment Simon Moon									
Ref	Activity	Drivers	Service	Theme	Threats	Assurances	Risk Level as at July 2014	Triggers/ When is this a risk?	CURRENT SIGNIFICANT RISK
JA1	Parks & recreation and misc	Review of parks and recreation contracts; Budget pressures, legislation	T&E	Legal & Compliance	Inspections not carried out	Contract monitoring	Medium	When inspections are due	No
JA2	Parks & recreation and misc	Review of parks and recreation contracts; Budget pressures, legislation	T&E	Financial	Dog kennels; fees not accounted for, donations not accounted for; misuse of facilities e.g. vets	Supervision	Medium	When donations/ income received; when vet treatment required	No
JA3	Parks & recreation and misc	Review of parks and recreation contracts; Budget pressures, legislation	T&E	Legal & Compliance	TPO's not monitored leading to a loss of trees	Contract monitoring	Medium	When inspections due	No
JA4	Parks & recreation and misc	Review of parks and recreation contracts; Budget pressures, legislation	T&E	Legal & Compliance	Health & Safety to staff re duties	Supervision, training	Medium	When staff are carrying out activities in parks etc	No
JB1	Parking	Review of parks and recreation contracts; Budget pressures, legislation	T&E	Legal & Compliance	Health & Safety of staff re enforcement	Supervision, training, cameras	Medium	when carrying out enforcement	No
JB2	Parking	Review of parks and recreation contracts; Budget pressures, legislation	T&E	Financial	Loss of income	Contracts with third parties; park and ride	Medium	When contracts due for renewal	No
JC1	Energy	Energy needs; budget pressures, political	T&E	Environmental	Sustainability; not reducing usage or costs of energy; Limited energy coming into the city by 2018	Business Plan & priorities; Prepare plan to overcome, investigate all options/alternatives; Promote energy efficiency/renewable energy	High	If plans not carried out	Yes
JD1	Projects	Transport development & regeneration of city;Infrastructure; Highways PFI; Coastal Defences; Budget pressures, political	T&E	Financial	sustainability jeopardised by decreasing resources; loss of key staff with knowledge of contracts	PFI Contract being reviewed	High	key staff leave; when monitoring not actioned-If review of PFI not carried out	see CC
JE1	Waste management	Legislation	T&E	Environmental	Toxic waste not properly disposed of leading to environmental damage	Policies & Process	High?	When waste dumped or transported- See Civil Contingencies	Yes
JG1	TRO, Safety and sustainable travel policies	Legislation, political	T&E	Environmental	Conflicts with sustainable travel policies and other council priorities	Park and ride project	Medium	when budgets set	No
JG2	TRO, Safety and sustainable travel policies	Legislation	T&E	Legal & Compliance	Claims re highways increasing	Contract monitoring	Medium		
JG3	TRO, Safety and sustainable travel policies	Legislation; political	T&E	Legal & Compliance	Insufficient extreme weather preparations	Contract monitoring	Medium	When weather warnings received	No
HD4	Cemeteries	Budget pressures, legislation	T&E	Environmental	Cemeteries lack of capacity; Changing community needs e.g. different religions; Reduction in demand for traditional burials, increase in other religious/cultural burials, insufficient space/layout to accommodate, extra land required, financial impact	Prepare a report on the future of burials in the city - to include estimated religious needs; Be aware of statutory legislation and requirements, plan alternatives if necessary eg. land buying	High	Once capacity is approaching maximum	Yes

Appendix A - Risk Register 2014/15 By Service July 2014

01/07/2014 (updated 3/9/14 final)

Ref	Activity	Drivers	Service	Theme	Threats	Assurances	Risk Level as at July 2014	Triggers/ When is this a risk?	CURRENT SIGNIFICANT RISK
J11	Sea Defences	Budget pressures Legislation	T&E	Environmental	Sea Defences North Portsea final phase - diminishing risk	Funding secures	Medium	If project deadlines not met	
J12	Sea Defences	Budget pressures Legislation	T&E	Environmental	Southsea Seafront- delay in government funding	Contingencies in place	High	if exceptional winter storms	Yes
K Housing & Property Services Owen Buckwell									
KA1	Tenancy	Legislation, political	Hsng& Prop	Legal & Compliance	Asbestos removal & Legionellas prevention- procedures not followed	Monitoring and corporate policies & procedures	Medium	Anytime	No
KA2	Tenancy	Legislation, political	Hsng& Prop	People & Processes	Sub Letting	Guidance & procedures. Monitoring. Recently conducted checks found no evidence of sub-letting	Low	If tenancy checks not made; when tenants have had no contact for a lengthy period of time.	No
KA3	Tenancy	Legislation, political	Hsng& Prop	Financial	Future impact of the implementation of Universal Credit/ increased rent arrears	Improved Advice and Support initiative	Medium	Portsmouth is scheduled to adopt UC in 2016	No
KA4	Tenancy	Legislation, political	Hsng& Prop	People & Processes	Anti social behaviour impacts on tenants	ASBU	High	When complaints made	Yes
KA5	Tenancy	Legislation, political	Hsng& Prop	Legal & Compliance	Properties meeting minimum legal standards	Right to repair scheme , reactive maintenance. Tenant satisfaction with the repairs service is very high at around 98%	Low	When tenants request repairs	No
KA6	Tenancy	Legislation, political	Hsng& Prop	Legal & Compliance	Fire assessments in communal areas and escape routes	Monitoring and corporate policies & procedures	Medium	If inspections due and not carried out	No
KB1	Green & clean	Legislation	Hsng& Prop	Legal & Compliance	Health & Safety of staff	Training	Medium	When carrying out activities	No
KB2	Green & clean	Legislation	Hsng& Prop	Legal & Compliance	Misuse of materials- Health & Safety	RIDDOR, Supervision, training	Medium	When carrying out activities	No
KC1	Projects	Political	Hsng& Prop	People & Processes	Somerstown	Project Board	Low?	When each milestone predicted	No
KD1	Asset Management	Legislation (employers responsibilities)	Hsng& Prop	People & Processes	Civic Security e.g. tail gating	Policies & procedures and reminders to staff	Medium	When staff / contractors enter and leave building; when high risk of terrorist attacks	No
KD2		Legislation, financial (budget pressures)	Hsng& Prop	Financial	Maintenance & repairs -offices not maintained	Planned upgrades e.g. boilers	Medium	If maintenance/ repairs not carried out when required	No
L Information Services Mel Burns									
LA1	Disclosure of sensitive data both accidental and malicious	Legislation	IS	Legal & Compliance	Fines from the ICO or legal action taken against the Authority and individual staff member	Policy and procedure; staff training awareness and preventative technical solutions	Medium	If staff do not adhere to policy; staff reductions i.e. less time spent on due diligence	No
LB1	Modern Records	Archiving	IS	Legal & Compliance	Vulnerability of location to floods		High	When extreme weather warnings issued	Yes
LC1	Applications	Archiving of data	IS	Legal & Compliance	No policy -at risk of breaching DPA and fines		High	When data no longer required	Yes
LD1	Business Continuity- Hacking	Access to systems and Info	IS	People & Processes	Hacking, virus, power loss, loss of access to buildings, loss of staff	Software, penetration testing, firewalls; password and auto logging off; hot start business continuity	Medium	At anytime with 24/7 access to data	No
LE1	Business Continuity- single points of failure in ICT infrastructure and systems access	Access to systems and Info	IS	People & Processes	Ability of the organisation to be able to transact at all levels with access to key information unavailable impacting on key frontline activity; inability to deliver critical services across the board.	Recovery plans, SLA monitoring and supplier management, proactive monitoring, regular security patching, new generator on order, best practice design, resilience options always considered subject to cost.	Medium	Force Majeure, human error, technical failure, malicious attack; risk is ever present with peaks.	No
LF1	Business Continuity- Malicious Attack	sustained service delivery	IS	People & Processes	Denial of service, loss of data, reputational damage, inability to transact, fines	PSN Compliance, proactive monitoring, penetration tests and remedial action, best practice implementations and advice, full time security officer, highest priority for the service	High	Constant and relentless risk, high publicity, election periods, launches, disgruntled malicious individuals	Yes
N HR, Legal & Performance Jon Bell									
NA1	Whole service; HR, Legal, Procurement, Audit & Assurance; Project /Transformation/ strategy	Budget Pressures	HR, L&P	Financial	Reduced Capacity due to budget cuts. Critical parts of the service cease to operate effectively and support to the organisation diminished. Risk of higher costs if sourced externally e.g. legal	Constantly reviewing service areas to ensure resources deployed against greatest priorities and resilience is maintained	High	Continuous and escalating	Yes
NA2	Whole Service; HR, Legal, Procurement, Audit & Assurance; Project /Transformation/ strategy	Budget pressures	HR, L&P	Financial	Unable to maintain key professional skills; Unable to provide advice and support to the organisation leading to poor decision making and higher costs	Grow your own policy across service MSP's for hard to recruit areas and workforce planning to identify future skills requirements and succession planning.	High	Loss of key staff; lack of development in skills of existing staff; unable to recruit suitably skilled staff	Yes
NB1	Legal- Child Protection	Budget Pressures, Reputational	HR, L&P	Financial	Unable to manage caseload; risk to safety and wellbeing of vulnerable clients plus reputational risk to the council	Maintain team at current (generous) level and up-skill solicitors to cover other areas of law when under-utilised	High	Increase in volume/complexity of cases; loss of key staff and unable to recruit skilled replacements	Yes
NC1	Governance	Budget pressures, Legal & Financial & Reputational	HR, L&P	Legal & Compliance	Weakness/ lack of compliance with governance leaving council exposed to unacceptable risk leading to legal challenge, financial loss, service failure	New corporate governance principles. Improved approach to risk management. Review of mandatory training. Review of consitition	High	On-going particularly as capacity reduces across the Council	Yes
P Customer, Community & Democratic Services Louise Wilders									

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PA1	HR	Budget pressures	CCDS	Financial	Reliance on key staff	Succession planning and whole service review ensuring key resources retained	High	When staff absent or leave	No
PB1	Servicing Committees/ Elections	Legislation/ Budget pressures	CCDS	People & Processes	Failure to adequately administer elections, particularly with added pressures of IER. Pressure to get sufficient resource in place includes reliance on goodwill	Preparations started well in advance of election due date	Low	When election due	No
PC1	Equality & Diversity	Legislation, budget pressures, reputational	CCDS	Legal & Compliance	Non compliance with legislation leading to legal challenge and fines	Monitoring & reporting to G&A&S	High	When challenged	No
PD1	Helpdesk	Reputational	CCDS	People & Processes	Not achieving performance indicators or meeting customer expectations of delivery of service.	Supervision & Monitoring	Medium	When interactions occur with customers	No
PE1	Third Sector	Political	CCDS	People & Processes	Not engaging with third sector	Forums	High	At budget setting	Yes
PF1	Comms	Legislation, political	CCDS	People & Processes	Not communicating or consulting with stakeholders effectively	Review of Intranet and web, new consultation policy and procedures	Medium	When consultations required and on-going information available to all	No
PG1	Registrars	Legislation	CCDS	Financial	Misuse of certificates; income not accounted for	Accounting controls, Supervision & Monitoring; external audits	Medium	When births, deaths, marriages reported	No