

Appendix 4 - Quarter One risk register

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
CHILDREN'S SERVICES								
Alison Jeffery (Director of Children's Services)	Demand pressures leading to increased workloads for social care staff	Ongoing monitoring	High	High	High	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)						Reduced attractiveness of PCC as an employer		financial loss to authority; failure to achieve objectives
Alison Jeffery (Director of Children's Services)	Increased incidence of domestic violence in the city.		Medium	Medium	Medium	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 statutory social care as more need is uncovered	In quarterly reporting	Medium	High	High	Increased demand and pressure on resources - this is now manifesting	Referrals into CSC have risen significantly	financial loss to authority; failure to achieve objectives

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Alison Jeffery (Director of Children's Services)	Failure to make successful claims under Troubled Families Programme		Low	High	Medium	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)	Implementation of new children's IT system		Low	Low	Low	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		Low	Low	Low	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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Alison Jeffery (Director of Children's Services)	Failure to provide enough secondary school places in 2022		Medium	Medium	Medium	Failure to meet statutory duty to provide school places; secondary school pupils in Portsmouth have to attend schools outside the city (if places are available).	The risk can only be mitigated through obtaining and using sufficient basic need capital allocations to provide new places. Members have now approved significant capital investment to reduce this risk	Breach of statutory duty; significant impact on students and reputational damage.
Alison Jeffery (Director of Children's Services)	Failure to attract sufficient high quality teaching and school leader posts		High	High	High	Vacancies in key subject areas and leadership posts and reliance on temporary / supply / interim positions will impact on progression and attainment of pupils.	The PEP has identified this risk as a key priority and an Initial Teacher Training / Teacher Recruitment & Retention Group has been established. An action plan for 2018/19 has been agreed.	Reputational damage. Failure to achieve targets set by the PEP.
Alison Jeffery (Director of Children's Services)	Demand for special school places / pressure on high needs funding		High	High	High			

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Alison Jeffery (Director of Children's Services)	Reductions in school budgets		High	High	High			
Alison Jeffery (Director of Children's Services)	Short-term nature of service funding		High	High	High			
Alison Jeffery (Director of Children's Services)	Continued demand for UASC support		High	High	High			

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ADULT'S SERVICES								
Innes Richens (Director of Adults Services)	PCC owned and Operated Residential Care Homes		High	High	High	<p>More frequent hospital admissions or moves to a nursing home as behaviours cannot be managed within current staffing ratio.</p> <p>Adverse ratings for PCC homes</p>	<p>Exploring funding options for staff across the 3 dementia units</p> <p>Action Plan drafted and submitted to CQC addressing immediate concerns. Second action plan to address further being prepared. Extensive work has been done by the turnaround team to improve standards in PCC's residential units resulting in:</p> <p>Shearwater and Hilsea - both homes been re-inspected and gained a 'Requires improvement' rating from the Care Quality Commission (CQC) with elements of 'good' domains in 'Caring and responsive'.</p> <p>Russetts has gained a 'requires improvement in Effective & well-led' with 'Safe, caring & responsive' rated as good. Report published 26/5/19</p> <p>Edinburgh house was inspected on 23/25th July. No outcome as of time of</p>	

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							writing this report. However the turnaround team were deployed to Edinburgh shortly before the inspection to support leadership in the home. This deployment was well received by CQC during their inspection.	
Innes Richens (Director of Adults Services)	Investment in workforce		High	High	High	Failure to manage and invest in workforce will impact on ability to deliver against ASC strategy and will increase risk e.g. quality and levels of staffing in residential homes	Plan submitted for revised residential home staffing establishments.	
Innes Richens (Director of Adults Services)	Delivering ASC Interventions to improve services		High	High	High	Moving to a systems thinking approach requires establishing 'constancy of purpose' and creating the right conditions for staff to work	Permission being sought to plan an intervention in support services from the Systems Development Board	

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						in a systems thinking way. Centralised support services are often unable to support ASC, due to driving waste steps into process. Some corporate policy frameworks conflict with the local direction of the service.		
Innes Richens (Director of Adults Services)	Achieving a Balanced Budget		High	High	High	Not delivering a balanced budget due to insufficient resources. Not being able to deliver against statutory/legislative requirements.	The financial outturn for 2018/19 is currently projected to be £3.1m in excess of the current Portfolio cash limit. Adult Social Care are developing a long term strategic plan and care model for the service, which will seek to enable the service to become financial sustainable in the future within its available resources.	
Innes Richens (Director of Adults Services)	SWIFT/AIS Migration		Medium	High	High	Previous delays in implementation have constituted a significant risk to PCC given that SWIFT/AIS support is being	A comprehensive project plan has been established highlighting project risks and dependencies and with a clear timeline for delivery. Implementation is scheduled for March 2019, therefore there is	

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						reduced and is likely to deteriorate.	reduced risk re loss of SWIFT support as read only access will still be available for a designated period of time.	
Innes Richens (Director of Adults Services)	Domiciliary Care Resources		High	High	High	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.	Transformation fund bid approved to recruit for a 'wrap around' domiciliary care service based on reablement. There remains a recruitment challenge.	
Innes Richens (Director of Adults Services)	Provider Failure		High	High	High	Both Domiciliary and Residential Care provider failure has significant impact on being able to provide vulnerable people with appropriate care and support	Monitoring mechanisms in place. 'Large Scale Enquiry' co-ordinated approach used to mitigate impacts of provider failure. Provision of advice and support.	
Innes Richens (Director of	Future Population Demographics		High	High	High	Failure to assess future	Plans to assess this as part of Adult Social Care Strategy development.	

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Adults Services)						population data predictions in terms of increasing demographics will mean the service may not be fit for purpose in the longer term		
Innes Richens (Director of Adults Services)	Fulfilling safeguarding responsibilities		Medium	High	High	Failure to respond appropriately to safeguarding referrals	In addition to current work within the Adult MASH Safeguarding Team to make improvements, the possibility of an intervention to do a comprehensive analysis of demand and improvements required is being explored.	

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PUBLIC HEALTH								
Dr Jason Horsley (Director of Public Health)	Insufficient focus on system prevention and early intervention in system-wide plans	System wide working with partners	Low	Medium	Low	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
Dr Jason Horsley (Director of Public Health)	Reduction in funding in services, including for vulnerable people eg. drug and alcohol services, oral health, healthy child programme	Commissioned services	High	Medium	High	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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HOUSING, NEIGHBOURHOOD AND BUILDING SERVICES								
James Hill/Meredydd Hughes	Removal and replacement of the ACM cladding system on Leamington House and Horatia House	MHCLG testing of cladding systems	Low	Low	Low	If Central Government do not fund the removal costs re-cladding this will be a budget pressure on the capital programme	MHCLG have confirmed grant availability for decladding and recladding	Financial risk
James Hill/Paul Fielding	Rehousing households from Leamington House and Horatia House	BRE concrete core samples	Low	High	Low	Risk associated with a non-piped gas explosion, likelihood of incident is low and mitigated by measures in place but the impact is high and the building will not respond as it should.	Measures in place and rehousing scheme underway	Reputational/financial risk
David Mearns/Mark Sage	Universal Credit Full Service roll-out in Portsmouth and Havant in Sep and Nov 2018	Current experience of UC Live Service and feedback from others already on Full Service				Some financial problems for PCC tenants newly claiming UC but Government changes should make this easier to manage.	Staff training and tenant awareness raising is planned	Financial risk Risk of service deterioration

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Colette Hill/Vince Venus	Waste Management - Fluctuations in the income received from the sale of recyclable material	PI risk register	High	Medium	High	Change in the currency exchange rates, plus changes in national and international markets, could lead to a reduction in the income received	Veolia have short-term contracts in many of the markets around the world	Financial
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	Low	High	Medium	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	High	Low	Medium	Current contractor may not retain the contract A new operator would need to take control of the service and this	Two year extension now approved (now ends in 2021)	Financial and contractual

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						could lead to a temporary interruption in service		
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REGENERATION								
All managers and staff	Risk arising in the course of delivering infrastructure projects and maintaining the road network; enforcement of proper use of the network; delivering travel related events, business events and town centre management ; managing business premises; providing transport and	Ongoing monitoring	Low	High	Medium	Reputation of the city and the City Council with residents, businesses, investors and funding agencies.	Meeting legal requirements under Health and Safety legislation for working on 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.	Personal injury / harm (to staff/contractors and residents)

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	delivering employment learning and skills services for vulnerable children and adults.							
Pam Turton Martin Lavers Claire Upton- Brown, Natascha McIntyre Hall	Risk to air quality from vehicles especially in areas of congestion. Flooding from sea water and surface water. Risk to the environment as a result of Planning policy and the site Planning Application process. Risk to the environments in the course of delivering Strategic Development Projects.	Ongoing monitoring	Medium	High	Medium/ High	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. All environmental risks are identifies and assessed as part of the Planning Policy and planning application processes. Specialists are employed or commissioned to ensure this is fully resourced. Strategic Development projects will include environmental impact analysis and mitigation arrangements as part of the project initiation process.	Environmental damage

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Natascha McIntyre Hall, Pam Turton, Martin Lavers, Liz Crate	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.	Ongoing monitoring	Low	Low	Low	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.	Financial loss
All managers	E.g. Statutory Planning responsibilities, Blue badges and s278 notices. Flood Waters Act and Health and Safety at Work Act.	Ongoing monitoring	Low	Low	Low	Reports to monitoring agencies, changes, possible fines.	Maintaining priority focus on and adequate resourcing and expertise in these areas of responsibility.	Compliance with statutory duties and responsibilities
All managers	Lack of investment or failure to secure capital for major strategic an infrastructure projects, or that	Ongoing monitoring	Medium	High	Medium	Failure to deliver regeneration of the city Effect on bidding for funding and contracts, reduced	Work with internal and external partners to ensure support and commitment for strategic projects and major schemes and ensure that the delivery teams are adequately resourced.	Failure to achieve objectives (both strategic and operational)

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	<p>we would not have the capacity to deliver these. Delayed city development due to slippage in Planning policy and guidance timescales. Market conditions negatively impact on regeneration and city growth schemes, projects and developments. Lack of consensus to enable strategies to be implemented in full e.g. active travel, air quality, and 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</p>					<p>investment and growth. Poor service delivery, and loss of potential to deliver future services. Reputational damage and its effect on future plans, projects and initiatives. Fines and referral to other government agencies for resolution.</p>	<p>Ensure that operational teams delivering day-to-day services have the resources and effective practices to meet their service objectives. Work closely with Portfolio holders to ensure support for plans and ensure the governance processes followed. 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. 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 to ensure that resources can be recruited to deliver them. Continue to bid for internal and external funding to support critical work programmes and transport initiatives that address travel and transport issues in the city.</p>	
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	education and campaigns. Under-achievement on the Employment, Learning and Skills (ELS) programmes.							
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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.	
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

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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	Low		Low	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	Low		Low	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)
Cemeteries	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	Constant as demography of the city changes Once capacity is approaching maximum	Low		Low	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 requirements, plan alternatives if necessary e.g. land buying. 15-20 year capacity	Environmental/ reputational

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COMMUNITY AND COMMUNICATIONS								
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	High	Medium	Medium	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 > equalities > business rates retention	Project documentation.	Medium	High	Medium	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, electoral issues	Project / Operational plans.	High	High	High	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

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<p>Louise Wilders (Director of community and communications)</p>	<p>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.</p>	<p>Operational plans.</p>	<p>Low</p>	<p>Low</p>	<p>Low</p>	<p>Delays / reputational damage.</p>	<p>Appropriate funding levels have now been agreed, as a result impact reviewed as low.</p>	<p>Failure to achieve objectives</p>
<p>Louise Wilders (Director of community and communications)</p>	<p>The Electoral Commission requires local authorities to review polling stations every 5 years, with our next review required to be completed by December 19. An increasing number of schools are declining requests to be available as polling stations,</p>	<p>Operational plans</p>	<p>Medium</p>	<p>High</p>	<p>Medium</p>	<p>Reputational damage and increased costs.</p>	<p>The lack of alternatives presents risk of additional costs through the provision of inferior alternatives such as portakabins. This can be mitigated through support of relevant directors and the Returning Officer to ensure the continued availability at schools which receive public funding.</p>	<p>Failure to achieve objectives</p>

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	impacting both the review of polling stations and creating additional burdens due to the lack of alternatives for forthcoming elections.							
Louise Wilders (Director of community and communications)	Voluntary Sector - HIVE. Ability to achieve agreement on creation of a co-operative/alliance and SLA on property and buy-in for IAG Map , would result in opportunity loss and return to provider commissioner relationship.	Programme plans	Medium	High	Medium	Reputational damage, increased cost, opportunity loss, loss of opportunity around cost avoidance	Project teams for each strand has been agreed and colleagues from VCSE engaged	Failure to achieve objectives

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HR, LEGAL AND PROCUREMENT								

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Jon Bell (Director of HR, Legal and Performance)	Reduced capacity	Day to day management activity	Low	High	Low	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	Medium	High	Medium	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 support is being provided to managers in affected areas.	Failure to achieve objectives
Jon Bell (Director of HR, Legal and Performance)	Reduced effectiveness of governance	Audit reports and day to day HR and legal activity	Medium	High	Medium	Increased exposure to the organisation of risk arising from poor governance	Key governance controls in areas such as Internal Audit being maintained. Performance management being strengthened as directed by GAS Committee. Capacity of managers across the organisation to maintain	Failure to achieve objectives

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							effective governance controls is still a concern.	
Jon Bell (Director of HR, Legal and Performance)	Increased dependency on external income	Budget planning	High	Low	Low	Volatility/lack of security of service	Schools income continuing to decline due to academisation programme. Increased income from new temporary agency and new local authority partnerships.	Failure to achieve objectives
Jon Bell (Director of HR, Legal and Performance)	Dependency on key staff to deliver to internal and external clients. Additional strain on staff due to additional travelling etc		Medium	Medium	Medium	Loss of key staff, potential impacts on wellbeing, leading to inability to deliver service	Workforce planning to develop skills of wider group of staff. Regular 1-2--1s for staff where support and welfare needs are discussed	Failure to achieve objectives

Finance & IT - Risk Register								
Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/ commentary	Type of Risk
Chris Ward, Director of Finance and IT	Maintaining overall financial resilience for the Council	Financial support to services and Council priority schemes	Medium	High	Medium	Increases in future Savings Requirements and threat to sustainable public services	<p>Delivery of the Medium Term Financial Strategy.</p> <p>Maintaining General Reserves above the minimum level</p> <p>Retaining organisational capacity in areas responsible</p>	<p>Failure to achieve objectives</p> <p>Risk in complying with statutory duties and responsibilities</p>

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							for delivering transformational change	
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	Medium	High	Medium	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 IT	Maintaining financial resilience arising from staff reductions	Lack of cover, expertise and continuity	Medium	Medium	Medium	Reduction in service delivery and financial control	Ongoing review of business processes to ensure efficient service delivery. Raise income as a mechanism to avoid staff reductions	Delay in achievement of objectives Risk of breaching statutory duties and responsibilities
Chris Ward, Director of Finance and IT	Default of an investment counterparty where the council has invested significant sums	Treasury Management strategy	Low	High	Low	Financial loss	Changing credit ratings of counterparties is kept under constant review.	Financial loss Reputational damage
Chris Ward, Director of Finance and IS	Ability to restore financial and other systems post 'event'	IS DRP	Low	High	Medium	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	Financial loss Reputational damage

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							cannot therefore be fully ascertained.	
Chris Ward, Director of Finance and IS	Pay levels - currently unable to compete in the financial market to attract, recruit and retain appropriately skilled staff	Professional Accountancy staff EBS	High	High	High	Increased costs to PCC of consultants, agency staff and recruitment campaigns	Development of in-house trainee programme for finance including maximising opportunities from apprenticeship levy finding to upskill staff	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	Medium	H (Reputationally) L (on Council services)	Low	Reduction in time to complete accurate statutory reports Adverse Audit report	Deadline achieved in 2017/18 reduces risk status to L based upon current resource levels	Failure to achieve objectives Risk in complying with statutory duties and responsibilities Reputational damage
Chris Ward, Director of Finance and IS	Meeting 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	Medium	High	Medium	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	Potential insufficient resource to address business need	Low	Medium	Low	Impact upon business change Impact upon time, cost and quality schedules	This continues to be low risk and has not got close to being realised during the last quarter. Consideration to be given to removing from Risk Register.	Failure to achieve objectives and deliver expected service

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Chris Ward, Director of Finance and IS	Roadmaps, contract pipeline and NPD - project prioritisation, supplier relationship management and contract management	Increased costs to PCC	Low	High	Medium	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; Operational degradation; reputational damage
Chris Ward, Director of Finance and IS	Changes from central government - ongoing risk of changes to either PSN or service department data requirements	Changes required to systems and IT infrastructure cannot be achieved on time	Low	High	Medium	Loss of PSN accreditation; security or data breach	Latest Security audit was credited with being the best that the IT has had so far. External threats however remain an ever present risk.	Financial loss; Failure to 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 e a "zero day attack" could evade our current defences.	Loss of key business systems and data breaches	High	High	High	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

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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	High	High	Medium	Key information unavailable - impacts on frontline and critical activity	Firewalls are being patched and updated along with DR solution being progressed to reduce SPOTs	Failure to achieve objectives; Operational degradation; Impact on Frontline Service Delivery
Chris Ward, Director of Finance and IT	Ability to upgrade Northgate hardware prior to yearend activity	Existing equipment past expected life	Medium	High	Low	System failure - unable to collect income	Temporary infrastructure used to complete year end. Risk either to be accepted with annual provision of hardware to support year end or project initiated with funding to replace old equipment.	Financial loss & Reputational damage
Chris Ward, S151 Officer	Legislative/statutory guidance/budget changes	External	Medium	High	Medium	Unable to borrow to replace existing property rental purchases	Mitigation in part by establishment of investment reserves	Financial loss
Chris Ward, Director of Finance and IT	PFI contract	Renegotiation of contract	Medium	Low	Medium	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	Low	High	Low		Robust Audit plan including fraud detection strategy	Reputational damage
Chris Ward, S151 Officer	Data Breaches		Low	High	Low		Clear desk policy Policy reminders	Reputational damage & fine

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Chris Ward, S151 Officer	Failure of income generation activities	Review of Investment Case for Victory Energy Supply Company	High	High	High	Reduction in medium to long term income opportunities	Reviews undertaken by independent experts, strong & experienced management structure, scenario modelling, robust risk management framework, legal advice, strong performance management, solid due diligence & frequent monitoring	Financial loss Reputational damage
Chris Ward, S151 Officer	Failure to deliver a balanced budget over time	Delivery of Council services	Low	High	Medium	Unable to deliver service outcomes. Not fulfilling statutory role	<p>Delivery of the Medium Term Financial Strategy.</p> <p>Maintaining General Reserves above the minimum level</p> <p>Retaining organisational capacity in areas responsible for delivering transformational change</p> <p>Prioritise resource towards high risk activities</p>	Risk in complying with statutory duties & responsibilities with an impact on the delivery of a wide range of discretionary services
PORT RISKS								
Mike Sellers (Port Director)	Revenue	Reporting	Low	High	High	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.

Appendix 4 - Quarter One risk register

Mike Sellers (Port Director)	Revenue	Reporting	High	Medium	High	Lack of funding to successfully maintain and develop port.	Strategic planning, strong relationship with Members, good communication.	Financial risk. Failure to achieve objectives.
Mike Sellers (Port Director)	Revenue	Reporting	High	Medium	High	Berth 3 Linkspan increased purchase price	Legal advice, negotiation	Financial risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Revenue	Reporting	Low	High	High	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	Low	High	High	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	Low	High	High	Terrorist alert on a vessel approaching the Port.	Liaison by Harbour Master with Queens Harbour Master and Police. Involvement with Port Facilities Security Officer.	Maritime risk. Failure to achieve objectives.

Appendix 4 - Quarter One risk register

Mike Sellers (Port Director)	Port Operations	Reporting	High	Low	High	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 Operations risk. Failure to achieve objectives.
Kalvin Baugh (Ferry Port Manager)	Port Operations	Reporting	Medium	High	High	Security alert within the port.	Port Security Plan.	Port Operations risk. Failure to achieve objectives.
Kalvin Baugh (Ferry Port Manager)	Port Operations	Reporting	Medium	High	High	Environmental incident within the Port resulting in pollution.	Emergency Plan and Environmental Impact Assessment.	Port Operations risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Port Operations	Reporting	Low	High	High	Serious health and safety incident within the Port affecting staff, port users or the general public.	Health and Safety procedures and Risk Assessments.	Port Operations risk. Failure to achieve objectives.

Appendix 4 - Quarter One risk register

STRATEGIC RISK SUMMARY

Strategic Risk		Where noted
1.	Pressures lead to increased caseloads and therefore reduced practice quality in children's social care, increasing vulnerability of children and leading to a preventable incident.	Children's quarterly risk register
2.	Challenges in recruiting and retaining key staff and skills into the city, meaning that key services are compromised.	Various directorate registers
3.	Pressures in the local market for care services, including residential and domiciliary care, mean that care of vulnerable adults is compromised, leading to a preventable incident.	Adult's quarterly risk register
4.	Reduction in services for vulnerable people, such as domestic violence and substance misuse service, lead to poorer outcomes and increased demand for other services.	Public health and children's quarterly risk register
5.	Failure to protect the city environment, including in relation to air quality, flood defence and natural and heritage assets.	Regeneration risk register
6.	Exposure to national level political and legislative change (such as welfare reform) including impact on scope of duties, powers, responsibilities and service demand.	Various directorate registers and AGS
7.	Exposure to system failure, including support expiry, single points of failure, cyber-security and system recovery	Various directorate registers and AGS
8.	Failure to ensure the City Council's information is held and protected in line with Information Governance policies and procedures	Various directorate registers and AGS
9.	Failure to fulfil health and safety responsibilities, including in respect of operational and heritage buildings.	Various directorate registers
10.	Increased partnering, alternative delivery models and commercial approaches increase pressure on capacity, challenge governance arrangements, and increase risk of income loss if arrangements cease.	Various directorate registers and AGS
11.	Addressing underlying budget pressures and delivering effective and sustainable services, particularly in children's and adults' services.	Various directorate registers and AGS
12.	Major incident or service disruption (including serious health protection threats) leading to delivery failure that significantly impairs or prevents the Council's ability to deliver key services and/or statutory functions.	Various directorate registers
13.	Failure to deliver strategic improvements for the city, due to wider market factors	Various directorate registers