

**Pioneering Care Partnership
2018-19 Organisational Risk Register**

Key: Assessment
1 - 3
4 - 6
7 and above



Category	Risk	Likelihood		Impact		Mitigation	Risk Assessment	Risk Owner	Review Q1	Review Q2	Review Q3	Review Q4
Compliance	Acting in breach of trust	1	1 - Remote	3	3 - Moderate	Segregation of duties Disqualification checking system DBS & references Membership of regulatory institutes Chief Executive and Chair relationship – supervisions etc	3	Chief Exec (CG)				
Compliance	Poor knowledge of legal responsibilities as an employer	1	1 - Remote	3	3 - Moderate	Governance Reviews Chief Executive training & development CIPD monthly updates HSE updates Quality standards ISO9001 & 140001 Specialist HR & H&S Advice Business Excellence training & development via NECC membership (to commence 2019) Legal advice and legal insurance cover	3	Business Excellence (CT)				
Compliance	Poor knowledge of fundraising regulations	3	3 - Possible	2	2 - Minor	Member of Institute of Fundraising Member of AVECO Member of VONNE NCVO Briefings	6	Customer Experience (LT)				
External	Poor public perception	2	2 - Unlikely	3	3 - Moderate	Increased external PR presence Corporate marketing focusing on public perception, projects and service marketing emphasis on activities and engagement.	6	Customer Experience (LT)				
External	Poor strategic reputation	2	2 - Unlikely	3	3 - Moderate	Strong strategic connections of Executive Leadership Team. Delivery of projects and services – commissioned outcomes Impact monitoring and annual reporting processes.	6	Chief Exec (CG)				
External	Poor strategic connections	2	2 - Unlikely	2	2 - Minor	Strong strategic connections of Executive Leadership Team. Senior Management Team beginning to develop strategic awareness and connections.	4	Chief Exec (CG)				

External	Change in demographic	1	1 - Remote	2	2 - Minor	PESTLE and SWOT exercises to determine changes annually. Good connections and strategic knowledge to anticipate changes. Business Planning every 4 years and periodic reviews	2	Projects (NB)				
External	Change in projects	4	4 - Probable	2	2 - Minor	Sound change management processes facilitate rapid response. Tried and tested approaches Good knowledge and process around project mobilisation and exit.	8	Projects (NB)				
External	Turbulent economic environment	2	3 - Possible	2	2 - Minor	Less contracts therefore less opportunities and less infrastructure is a significant risk. More work to emphasis PCP as a charity and build charitable giving and donations. This is a long term strategy.	4	Chief Exec (CG)				
External	Turbulent political environment	3	3 - Possible	2	2 - Minor	Strong relationships with all local councillors and with current Labour MP's. New relationships would be forged if the local political landscape changed.	6	Chief Exec (CG)				
External	Change in government policy	3	3 - Possible	2	2 - Minor	Policy around Health and Social Care and prevention is presently strong than policy drivers for education and learning. PESTLE and SWOT exercises to determine changes annually. Business Planning every 4 years and periodic reviews.	6	Chief Exec (CG)				
Financial	Inaccurate financial information	2	2 - Unlikely	3	3 - Moderate	Fully reviewed financial policies and procedures. Robust checking process within Finance and with cost centre holders. Budget setting process is robust and led by Finance Manager.	6	Business Excellence (CT)				
Financial	Insufficient financial information	2	2 - Unlikely	2	2 - Minor	Financial Information flows are good, volume of information is appropriate at different levels.	4	Business Excellence (CT)				
Financial	Poor level of reserves	1	1 - Remote	1	1 - Insignificant	Reserves position is strong. Investment in place. Annual Review process in operation.	1	Chief Exec (CG)				
Financial	Poor cash flow	2	2 - Unlikely	2	2 - Minor	PCP's cash flow requirements are understood and monitored. Quarterly reporting to SMT and the Board.	4	Business Excellence (CT)				
Financial	Limited income sources	2	2 - Unlikely	2	2 - Minor	Income sources are varied, although there is still a reliance on local authority funding.	4	Chief Exec (CG)				
Financial	Inadequate investment policies	1	1 - Remote	1	1 - Insignificant	Investment Policy in place and operational. Reviewed annually. Investments reviewed bi-annually with broker.	1	Business Excellence (CT)				

Financial	Insufficient insurance cover	1	1 - Remote	4	4 - Major	Annually renewed and sufficient for a range of contracts/commissions.	4	Business Excellence (CT)				
Financial	Inability to secure core/centre income through rental and contracts	2	2 - Unlikely	3	3 - Moderate	Infrastructure costs (Management Fee 12.5% and Admin Fee 5%) are currently acceptable to most commissioners. Grant and donors often don't cover these costs.	6	Chief Exec (CG)				
Financial	Budgetary control and financial reporting	2	2 - Unlikely	2	2 - Minor	Sound procedures in place. Accountant/Finance Manager Chief Exec and Head of Business Excellence monthly finance meetings SMT Finance quarterly meetings Finance and Investment Sub Committee Improved Board understanding	4	Business Excellence (CT)				
Financial	Fraud, theft and error	1	1 - Remote	3	3 - Moderate	Systems in place to mitigate cyber fraud Segregation of duties to prevent human fraud, theft and error. Cash collection service from the Centre External and internal audits and spot checks	3	Business Excellence (CT)				
Governance	Inappropriate organisational structure	1	1 - Remote	2	2 - Minor	Organisational structure reviewed in 2017-18. Benchmarked against similar organisations. External HR advice regarding the proposed structure to 'sense check'. Review of impact of structure due in 2019-20.	2	Chief Exec (CG)				
Governance	Trustees lack skills	1	1 - Remote	2	2 - Minor	Skills matrix and gap analysis Targeted recruitment Induction processes, trustee mentoring Policy training with other volunteers and staff Ongoing governance training Opportunities to share learning with managers Ad-hoc training as required.	2	Chief Exec (CG)				
Governance	Trustees lack commitment	1	1 - Remote	3	3 - Moderate	Clear role descriptors. Clarity of expectations in relation to meeting attendance and time. Governance arrangements. Annual review process	3	Chief Exec (CG)				
Governance	Trustees lack business management skills	1	1 - Remote	2	2 - Minor	Skills matrix and gap analysis Targeted recruitment Cross sector of knowledge identified and secured. Good mix of specialisms, sector knowledge and user perspectives. SMT business skills	2	Chief Exec (CG)				
Governance	Number of trustees falls below viable level for management of organisation	2	2 - Unlikely	2	2 - Minor	Recruitment and succession planning. Retirement by rotation system Governance reviews and arrangements Ongoing assessment of needs.	4	Chief Exec (CG)				

Governance	Conflicts of interest	1	1 - Remote	2	2 - Minor	Senior Managers held. Reviewed bi-annually. Declaration of interests at each meeting.	2	Chief Exec (CG)				
Governance	Loss of key long term management staff or long term access	3	3 - Possible	3	3 - Moderate	Good employee rewards Flexible working and WLB Salary review in 2017 Terms and Conditions with 3 months' notice Business continuity plan Disaster recovery for ICT Remote/home working	9	Chief Exec (CG)				
Operational	Beneficiary welfare or safety	2	2 - Unlikely	3	3 - Moderate	Robust and tested health and safety procedures Competent personnel, H&S, Fire Wardens, First Aiders etc. Good Safeguarding procedures Knowledgeable staff and volunteers Policy training and development Charter of Service Standards	6	Business Excellence (CT)				
Operational	Poor contract pricing	1	1 - Remote	2	2 - Minor	Bid writing procedures and budget setting guidelines. Checking procedures include finance. Good working knowledge of the organisations full cost recovery model by managers.	2	Chief Exec (CG)				
Operational	Poor staff recruitment	1	1 - Remote	1	1 - Insignificant	Established Recruitment Processes for both internal and external recruitment Investor in People Equality Gold Standard Organisation Better Health at Work Award Recruitment Equality and Diversity annual review Equal Pay Review Salary Benchmarking HR annual analysis	1	Business Excellence (CT)				
Operational	Poor staff training	3	3 - Possible	2	2 - Minor	Good induction processes Policy training under review Mandatory training – equality, safeguarding etc Company Training plan Fixed Asset register reviewed. Pioneering Care Centre is main 'asset' owned by DCC but responsibility of PCP. ADT Alarm, CCTV internal and external, door control system, insurance in place. Business Continuity Plans in place and tested.	6	Business Excellence (CT)				
Operational	Security of assets	1	1 - Remote	1	1 - Insignificant	Fixed Asset register reviewed. Pioneering Care Centre is main 'asset' owned by DCC but responsibility of PCP. ADT Alarm, CCTV internal and external, door control system, insurance in place. Business Continuity Plans in place and tested.	1	Business Excellence (CT)				

Operational	ICT systems breakdown	4	4 - Probable	2	2 - Minor	External 'cloud' back-up. Disaster recovery in place. Business Continuity Plans in place and tested. ICT Champion provide support to teams External ICT contractor responsible for maintenance, servers, back-ups and higher level support.	8	Business Excellence (CT)				
Operational	Unmanageable workload of management and staff	3	3 - Possible	2	2 - Minor	Appraisal and Supervision procedures (reviewed 2018) Work Life Balance Requests Sickness absence monitoring Monitoring of annual leave utilisation. Monitoring of time off in lieu (TOIL) Team SWOTS	6	Chief Exec (CG)				