		Likelihood									
Conseque	nce	Certain	Likely	Possible	Unlikely	Rare					
	-	5	4	3	2	1					
Catastrophic	trophic 5		20	15	10	5					
Major	ajor 4		16	12	8	4					
Moderate	3	15	12	9	6	3					
Minor	2	10	8	6	4	2					
Insignificant 1		5	4	3	3	1					

## Risk Log

Risk Level	Suggested Management Action								
Extremely high Urgent action required to introduce further controls to mitigate									
High Introduce controls to mitigate									
Medium	Monitor and maintain strict controls								
Low	Monitor and manage								
Very Low	Monitor								

Ref	Area / Category	Description	Consequence	Mitigation/ Controls	Raised Date	Owner	Likelihood (1-5)	Impact (1-5)	Score	RAG Status	Target Risk Score	Risk Response	Closed Date	Closure Comment
HR			Retirements - Office administrator; Chief Officer. Loss of staff - any post	Communication / work plan jobs. Sharing progress. Ensure someone else capable of covering role/jobs. PDR process.	01/03/16	Chief Officer	3	4	12	High		Office Manager - PDR in place plus additional support.		
		1.3Polices	Lack of approved HR polices /process for review of policies	Proposed process for management & review of polices via new Governance sub- group. Considering HR support to help identify compliance to meet our responsibilities	24/01/17	Chief Officer/Offi ce Manager	5	4	20	Extremely High		Missing policies to be identified. Drafts to be prepared. Consideration of HR support to bring up to minimum standard.		
		1.4												
Ρ	Performance		Skill set within team to manage platform	Training for LPC staff members. SOPs for all services. Template documents for use with commissioners	07/12/16	Office Manager / Treasurer	5	4	20	Extremely High		Identify Pharm outcomes training dates. Identify budget for training. Assign staff to attend. Template documents to be prepared. Discuss support for PharmOutcomes by external provider/consultant.		
		of PGDs	Supply of POMs illegally	List of expiration dates for all PGDs / Diarise 6 months before expiration for review / highlight to commissioner	07/12/16	Office Manager /PDG	3	4	12	High		Preparation of expiry date document. Diarise 6 months / 3 month/ 1 month before expiration.		
		2.4												

F	Finance		salary budget to replace skills/work load		02/02/17	Treasurer	3	4	12	High	Increase reserves to cover unforeseen expenditure or pay from Funding account.
		3.6 PharmOutcomes invoice payments	information. Changes by	SOPs. Monthly checks by LPC administration.	01/10/16	Chief officer/ Office Manager	5	4	20	Extremely High	See 2.1 above
PC	Provider Company	4.1 LPC Ltd - tenders	No staff resource to review tenders	Review LPC staff resources to enable one-off support. Income generation for LPC Ltd	04/01/17	CP Humber Ltd	4	3	12	High	Paul Robinson looking into generation of income.
L	Legal	5.2									
OE			assistance required.	Suggested office requires panic button. Lone worker policy to address risks within the building/attendance at external functions.	25/10/16	Chief Officer/ Office Manager	2	4	8	Medium	Panic button of no value. All staff to ensure family/friend knows they are working alone and when expected home. List of contact numbers for family/friends made available. Attendance external functions - business cards to help ID/contacts in emergencies.
		6.2 Safety 6.3		Review all processes to ensure safety of employees whilst working for LPC and include in handbook	09/01/17	Chief Officer / Office Manager					
		b.3				┨───┤					
		1									

## **Closed Risks**

Ref	Area / Category	Description	Comments / Actions	Mitigation/ Controls	Raised Date	Owner	Likelihood (1-5)	Impact (1-5)	Score	RAG Status	Target Risk Score	Risk Response	Closed Date	Closure Comment
F3.1	Finance	Redundancy	employed for 2 years to	of LPC as representative body. Ensure workforce	01/05/15	Treasurer	3	3	9	Medium		On-going update required as staff reach 2 years employment. Include in LPC reserves.	Mar-16	To be review annually.
F3.2	Finance	Pension	Cost - £15,250.00 includes £7500 for back dating to 2014/15 JMC/EC. For 2015/16 £7750 (10% JMC; 6% EC; 3% SM/CJH/JDC)	pension. Compulsory staging date: July	01/04/14	Treasurer/ Office manager	5	4	20	Extremely High		Compulsory staging date July 2017	31.1.16	3% rate since reviewed and due to regulatory / compulsory pension provisions removed as will be below allowable statutory requirements.
F3.3	Finance	LPC Ltd - liability for office and members		Formation of dormant Ltd company to hold the lease. Payment of 5 years rent in escrow account to cover risk to landlord.	04/05/16	Humber LPC Ltd	5	4	20	Extremely High		Payment of 5 years rent into account held by landlord. Invoice quarterly. Monies transferred directly to landlord. 5 years rent taken from Funding account and transferred back on quarterly basis.	22.6.16	Provided all documentation to Handelsbanken 22.6.16 to enable landlord to manage the fund transfer on a quarterly basis. Agreed with landlord that they will provide us with a running balance of the account.
F3.4	Finance	PSNC additional levy	Cost:£21,782.00 requested 13.12.16. Unbudgeted expenditure	Increase reserves.	13.12.16	Treasurer/ Office manager	3	4	12	High		Increase reserves to cover unforeseen expenditure or pay from Funding account.	4.1.17	To be paid from Funding account and repaid if returned by PSNC. Committee did not want to increase levy at this time.
HR1.2	Human Resources	Polices	Lack of approved HR polices to cover employed staff:- Sickness, Maternity.	Proposed process for management & review of polices via Performance / Governance sub- group	07/12/16	Office Manager	5	4	20	Extremely High		Standardised policies identified. Drafts prepared. All polices in set format. January LPC approval (2017). Review dates / approval dates.		Statutory policies adopted but suggestion may need further review.[See 1.3 above for new risk entry]
P2.3.1	Performance	Service Spec /Contact expiry	Hull NHS Health Checks	Service due to expire 20.9.16 commissioner has been contacted but no response	01/06/16	PDP	3	4	12	High		Highlighted to commissioner and then LPC out of loop until final service specification received	Dec-16	Risks to LPC due to changes to service specification. Work load for LPC as changes required to PharmOutcomes platform not discussed. LPC managed a work around but financial cost proposed by Pinnacle to resolve the new access criteria expensive / who pays?

P2.3.2	Performance	Service Spec /Contact expiry	CHCP Smoking Services	Service due to expire 30.9.16 commissioner has been contacted but no response. Been in contact with commissioner but delayed response	01/09/16	PDP	4	4	16	Extremely High	Highlighted to commissioner. Contract variation received December 2016.	Dec-16	Risks to LPC due to commissioner changes means to need to ensure that the commissioner officially communicates any changes required for the PharmOutcomes platform in advance of any contract variations. Commissioner needs to sign off the remuneration/fee set-up for PharmOutcomes.
L5.1	Legal	Liability Insurance - complaint copyright breach	Litigation / costs to organisation/ committee members. Insurance / version control	Individual Pharmacists to hold Professional Indemnity Insurance paid by LPC; PSNC has Professional liability insurance for LPCs;	01/08/15	Chief officer	2	4	8	Medium	Print off PSNC LPC Liability Insurance annually. LPC to cover cost of Indemnity Insurance for Pharmacists to sign PDGs.	Jul-16	Check insurance policy renewed yearly and printed off - PSNC. Pharmacists have Professional Indemnity Insurance for signing PGDs.