

## IWCRMS - Risks Under Service Area

### Technical Finance - Technical Finance (Pension Fund)

## - Open Risks

Date Added	Service Area	Risk Type	For	ID	Risk	Owner	Assigned To	Score	Review Date
09/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 196	Key person risk (G3)	Joanna Thistlewood	Joanna Thistlewood	15	31/05/2022
09/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 195	Knowledge and understanding (G2)	Joanna Thistlewood	Joanna Thistlewood	14	06/04/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 210	changes to national pension arrangements (A4)	Joanna Thistlewood	Joanna Thistlewood	14	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 217	administration system integrity (A10)	Joanna Thistlewood	Matthew Collier	13	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 219	Cyber risk (A12)	Joanna Thistlewood	Joanna Thistlewood	13	25/05/2022
09/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 194	Governance arrangements (G1)	Joanna Thistlewood	Joanna Thistlewood	12	06/04/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 220	Sufficient resources (A13)	Joanna Thistlewood	Joanna Thistlewood	12	25/05/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 234	Climate change - funding implications (F4)	Joanna Thistlewood	Joanna Thistlewood	12	31/03/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 243	pandemic (all)	Joanna Thistlewood	Joanna Thistlewood	12	31/03/2022
22/03/2022	Technical Finance (Pension Fund)	Service	Service Area	ID 1265	Responsible investment (I12)	Joanna Thistlewood	Joanna Thistlewood	12	31/03/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 224	Investment manager failure (I4)	Joanna Thistlewood	Joanna Thistlewood	10	07/04/2022
09/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 198	Professional advice (G5)	Joanna Thistlewood	Joanna Thistlewood	9	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 202	Internal controls failure (G6)	Joanna Thistlewood	Joanna Thistlewood	9	30/03/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 203	mismatch between investment and funding strategies (G7)	Joanna Thistlewood	Joanna Thistlewood	9	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 205	Pension Fund accounts (G9)	Joanna Thistlewood	Joanna Thistlewood	9	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 206	policy and decisions (G10)	Joanna Thistlewood	Joanna Thistlewood	9	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 211	employer participation in LGPS (A5)	Joanna Thistlewood	Joanna Thistlewood	9	25/05/2022

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20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 232	Pay and price inflation (F1)	Joanna Thistlewood	Joanna Thistlewood	9	30/06/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 233	External employers (F2)	Joanna Thistlewood	Joanna Thistlewood	9	07/04/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 207	Communications (A1)	Joanna Thistlewood	Joanna Thistlewood	8	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 209	Employer fails to pay contributions (A3)	Joanna Thistlewood	Joanna Thistlewood	8	28/04/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 212	Significant changes to an employer (A6)	Joanna Thistlewood	Joanna Thistlewood	8	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 213	compliance with legislation (A7)	Joanna Thistlewood	Joanna Thistlewood	8	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 214	Employer fails to provide data (A8)	Joanna Thistlewood	Joanna Thistlewood	8	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 218	Assessment of benefit entitlements (A11)	Joanna Thistlewood	Matthew Collier	8	25/05/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 238	Longevity (F5)	Joanna Thistlewood	Joanna Thistlewood	8	31/03/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 239	Maturing fund (F6)	Joanna Thistlewood	Joanna Thistlewood	8	31/03/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 241	employer exits without funding (F10)	Joanna Thistlewood	Joanna Thistlewood	8	31/03/2022
09/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 197	Section 13 analysis impact (G4)	Joanna Thistlewood	Joanna Thistlewood	5	31/03/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 204	disclosure of information legislation (G8)	Joanna Thistlewood	Joanna Thistlewood	5	31/03/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 208	Data quality (A2)	Joanna Thistlewood	Joanna Thistlewood	5	25/05/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 221	insufficient investment returns (I1)	Joanna Thistlewood	Joanna Thistlewood	5	07/04/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 222	Inappropriate long term investment strategy (I2)	Joanna Thistlewood	Joanna Thistlewood	5	07/04/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 223	Gilt rates fall (I3)	Joanna Thistlewood	Joanna Thistlewood	5	07/04/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 225	Active manager underperformance (I5)	Joanna Thistlewood	Joanna Thistlewood	5	04/04/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 226	multiple asset class failure (I6)	Joanna Thistlewood	Joanna Thistlewood	5	07/04/2022

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20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 227	single asset class failure (I7)	Joanna Thistlewood	Joanna Thistlewood	5	07/04/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 228	liquidity risk (I8)	Joanna Thistlewood	Joanna Thistlewood	5	07/04/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 229	Environmental, Social and Governance factors (I9)	Joanna Thistlewood	Joanna Thistlewood	5	25/05/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 230	Other provider risks (I10)	Joanna Thistlewood	Joanna Thistlewood	5	07/04/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 231	Investment pooling (I11)	Joanna Thistlewood	Joanna Thistlewood	5	25/05/2022
15/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 216	Ceasing benefits (A9)	Joanna Thistlewood	Matthew Collier	4	25/05/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 235	increasing early retirements (F7)	Joanna Thistlewood	Joanna Thistlewood	4	31/03/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 236	Freedom and Choice (F8)	Joanna Thistlewood	Joanna Thistlewood	4	25/05/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 237	Orphaned employers (F3)	Joanna Thistlewood	Joanna Thistlewood	4	31/03/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 242	exit credit payable (F11)	Joanna Thistlewood	Joanna Thistlewood	4	31/03/2022
20/12/2021	Technical Finance (Pension Fund)	Service	Service Area	ID 240	failure to commission cessation valuation (F9)	Joanna Thistlewood	Joanna Thistlewood	2	31/03/2022