



**Oversight and Governance**

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Published 23 July 2020

**AUDIT AND GOVERNANCE COMMITTEE – SUPPLEMENT PACK**

Monday 27 July 2020  
3.00 pm  
MS Teams meeting

**Members:**

Councillor Parker-Delaz-Ajete, Chair  
Councillor Carson, Vice Chair  
Councillors Jordan, P Smith, Stevens.

**Co-opted Representatives:** Mr Shipperley and Mr Stewart.

Members are invited to attend the above meeting to consider the items of business overleaf.

Please find enclosed additional information relating to agenda item 15.

**Tracey Lee**  
Chief Executive

**Audit and Governance Committee – Supplement Pack**

**15. Strategic Risk Register**

**(Pages 1 - 10)**

# Audit and Governance Committee



Date of meeting:	27 July 2020
Title of Report:	<b>Strategic Risk &amp; Opportunity Management Update Report</b>
Lead Member:	Councillor Mark Lowry (Cabinet Member for Finance)
Lead Strategic Director:	Giles Perritt (Assistant Chief Executive)
Author:	Julie Hosking, Corporate Risk Advisor
Contact Email:	<a href="mailto:Julie.hosking@plymouth.gov.uk">Julie.hosking@plymouth.gov.uk</a>
Your Reference:	AL/JKH
Key Decision:	No
Confidentiality:	Part I - Official

## Purpose of Report

This report provides a summary of the latest review exercise completed for the Strategic Risk and Opportunity Register.

Appendix B to the report provides the revised Strategic Risk and Opportunity Register showing the current status of each risk and the movement in risk score, together with four new risks identified as a result of Covid-19.

## Recommendations and Reasons

The Audit and Governance Committee is recommended to:

Approve the current position with regard to the Strategic Risk and Opportunity Register. Reason: As part of the Committee's responsibility for monitoring the implementation and ongoing processes for identifying and managing key risks of the authority.

## Alternative options considered and rejected

Effective risk management processes are an essential element of internal control and as such are an important element of good corporate governance. For this reason alternative options are not applicable.

## Relevance to the Corporate Plan and/or the Plymouth Plan

The Strategic Risk and Opportunity Register includes links to the Corporate Plan priorities – monitoring of control action for strategic risks therefore contributes to the delivery of the council's core objectives

## Implications for the Medium Term Financial Plan and Resource Implications:

None arising specifically from this report but control measures identified in risk and opportunity registers could have financial or resource implications.

**Carbon Footprint (Environmental) Implications:**

None arising specifically from this report.

**Other Implications: e.g. Health and Safety, Risk Management, Child Poverty:**

\* When considering these proposals members have a responsibility to ensure they give due regard to the Council's duty to promote equality of opportunity, eliminate unlawful discrimination and promote good relations between people who share protected characteristics under the Equalities Act and those who do not.

None arising specifically from this report but community safety and health and safety issues and risks are taken into account in the preparation of risk and opportunity registers.

**Appendices**

\*Add rows as required to box below

Ref.	Title of Appendix	Exemption Paragraph Number (if applicable)						
		If some/all of the information is confidential, you must indicate why it is not for publication by virtue of Part 1 of Schedule 12A of the Local Government Act 1972 by ticking the relevant box.						
		1	2	3	4	5	6	7
A	Strategic Risk Monitoring Briefing							
B	Plymouth City Council's Strategic Risk and Opportunity Register							

**Background papers:**

\*Add rows as required to box below

Please list all unpublished, background papers relevant to the decision in the table below. Background papers are unpublished works, relied on to a material extent in preparing the report, which disclose facts or matters on which the report or an important part of the work is based.

Title of any background paper(s)	Exemption Paragraph Number (if applicable)						
	If some/all of the information is confidential, you must indicate why it is not for publication by virtue of Part 1 of Schedule 12A of the Local Government Act 1972 by ticking the relevant box.						
	1	2	3	4	5	6	7

**Sign off:**

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Originating Senior Leadership Team member: Giles Perritt (Assistant Chief Executive)

Please confirm the Strategic Director(s) has agreed the report? Yes

Date agreed: 22/07/2020

Cabinet Member approval: Councillor Mark Lowry (Cabinet Member for Finance)

Date approved: 20/07/2020

## **Appendix A – Strategic Risk Monitoring Briefing**

### **1.0 Introduction**

1.1 The position with regard to the Strategic Risk and Opportunity Risk Register was last published with the Committee papers for the meeting due to be held on [23 March 2020](#). Unfortunately, due to lockdown measures imposed with the outbreak of Covid-19 the meeting was cancelled. This report provides a summary of the latest review covering the position as at 20 July 2020.

### **2.0 Strategic Risk and Opportunity Register – Monitoring Summary**

2.1 The initial emergency response phase in Plymouth and the UK has focussed since early March 2020 on taking action to deal with the immediate impacts of the pandemic on our communities, infrastructure and economy.

2.2 Cabinet members together with the Corporate Management Team reviewed the strategic risks to identify those that could impact the work directed towards the recovery and reinstatement of council services, including ensuring safe systems of work for staff and customers and the recovery of the economy. Risk owners were then asked to update current mitigation and action plans with the results further discussed by Corporate Management Team on 14 July 2020.

2.3 Attached to this report at Appendix B is the revised Strategic Risk and Opportunity Register showing the current status of each, together with explanatory commentary on key issues.

### **3.0 Headline Issues**

#### **3.1 Red Risks**

#### **Red Risk SF2 – The Council’s expenditure exceeds the resources available to meet that expenditure within the medium term financial plan period (2020-2022) - (Row No. 1)**

To date the government have provided PCC with an un-ring fenced grant of £18.2m and other ring fenced funding. The government has announced it will provide some support to offset income losses but further detailed guidance will be released imminently. The Spending Review will set out how councils can fund deficits on their collection fund over three years. Longer term and indirect impacts are a greater risk and include:

- Income reduction;
- cost increases;
- addressing the impacts of the pandemic on communities;
- savings plans delayed or offset by the pandemic

Progress reported within monthly finance reporting to Cabinet members. Monthly reports presented to Scrutiny. RAG rating document circulated to members of Scrutiny.

Workforce Modernisation Programme underway looking at the way the council works to operate in a modern and efficient way to meet customer expectations, examining current budget and actual spend; contracts; examine income opportunities in a post-Covid world and any synergies and efficiencies across the whole council.

**Red Risk SCYPF2 – Failure to meet statutory duties due to growing volume and complexity of demand for children’s social care services – (Row No. 2)**

'Hidden harm' consequences of infection control measures and safe systems of work limitations add to existing pressures on service.

A range of operational interventions are in place to monitor, manage and reduce expenditure on placements which represents the significant spend. In-house Fostering redesign and targets set to increase in-house provision to manage care costs for the next three financial years. Dedicated manager role to review all high costs placements weekly linked to significant delivery plans savings. The newly formed Adolescent Support Team is working to support young people to return home to their families from care in order to reduce overall placement costs. Continued work with local 'block' placement providers to keep residential costs down.

**Red Risk SEPSI – Insufficient pupil attainment to achieve economic / quality of life outcomes across secondary cohort – (Row 3)**

Continuing decreased access to and attendance at schools overlays previous challenges in secondary education. Additional challenges of attendance and attainment during Covid-19 pandemic may have an increased impact on those secondary students already disadvantaged.

**Red Risk SEDI - Insufficient economic performance to sustain the City's economy as a result of the recession and lockdown – (Row 4)**

Plymouth Plan and economic growth targets will have to be revisited in the light of the recession. Resurgam strategy being actively pursued. However it is likely that there may be key business failures, the number of universal credit claimants has already increased to 11K (10% of the employment base) and 27% of the city is currently furloughed. When the Furloughing scheme is lifted there is a risk of a secondary redundancy wave. The commercial estate which has been held and grown by the council over many decades is likely to face significant bad debt, and as a result the impact on the ability for the council to pay corporate borrowing.

### 3.2 New Risks

**Amber Risk STS2 - Second peak of COVID-19 cases affects city's recovery / reset plans – (Row No. 5)**

Local Outbreak Management plan co-designed and published.

**Amber Risk SHRI – There is insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities – (Row No. 7)**

New service obligations, such as Caring Plymouth, local outbreak control, PPE provision etc., need to be considered alongside existing obligations, some of which have been made more challenging by COVID-19. Workforce Bureau in place. Working patterns have been reviewed

to ensure staff leave is taken. Employee Assistance Programme in place and sickness absence and staff turnover is monitored. Trade Union engagement takes place.

**Amber Risk SIC1 – The Council is unable to fulfil its legal obligations regarding the safety of its citizens and service recipients – (Row No. 9)**

Similar issues as described above (SHR1), with the added pressures of supply chain management and organisational capacity to deliver. The Safe Systems of Work Programme provides some mitigation, but revision of some business plans will be necessary to mitigate further risks.

**Amber Risk SHR2 – The Council is unable to fulfil its legal obligations regarding the health, safety and wellbeing of its workforce – (Row No. 10)**

Significant challenges presented by the scope of service activities, range of workforce environments, clarity of guidelines/legislation and unpredictability of epidemiology.

Systems of Work programme underway with strong governance through current emergency planning structures.

### 3.3 Removed Risks

The following risks have been removed from the Strategic Risk and Opportunity Register to ensure there is strategic focus on the city's recovery following Covid-19, however, they will continue to be monitored via departmental operational risk registers:-

- Council fails to prepare and deliver combined local and Policy and Crime Commissioner elections
- Non delivery of the plan for waste
- Cladding issues on tall buildings

### 4.0 Summary and Conclusion

- 4.1 The Council's success in dealing with the risks that it faces can have a major impact on achievement of key priorities, objectives and ultimately therefore, the level of service to the community.
- 4.2 The vision, values and priorities set out in the Corporate Plan 2018-22 are at the core of the recovery and renewal framework and will continue to form the basis of renewal and recovery planning.
- 4.3 The Strategic Risk and Opportunity Register will next be brought to this Committee in December 2020.

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ROW NO	RISK REF	DEPT	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category)	LINK TO CORPORATE PLAN	KEY CONTROLS / SOURCES OF ASSURANCE (aligned to three lines of defence)			PREVIOUS RESIDUAL RISK RATING	CURRENT RESIDUAL RISK RATING	RAG RATING / CHANGE IN RISK RATING	ACTION PLAN / FUTURE MITIGATION / ASSURANCE PLAN	HOW WILL PROGRESS BE MEASURED (LIST MEASURABLE BENEFITS AND NON-QUANTIFIABLE BENEFITS)	TARGET DATES (or review date if target unknown)	RESPONSIBLE OFFICER(S)	DIRECTOR / ASSISTANT DIRECTOR	RISK CHAMPION				
					Polices and procedures Link to business plan Delegations of authority / Fraud checks Risk and control frameworks Performance Management Project Management reviews	Programme Boards Functional compliance reviews Working Groups	Audit Reports Regulatory Reviews Senior Executive Committees Scrutiny Committees Portfolio Boards Peer Reviews													
					First Line of Defence (Operational management activity)	Second Line of Defence (Strategy/Policy oversight and support)	Third Line of Defence & Framework Oversight (Audit / Member, Senior Executive and External oversight/Validation)													
1	SF2 COVID ORR (ORZ) IRR BREXIT	Finance	<b>The Council's expenditure exceeds the resources available to meet that expenditure within the medium term financial plan period (2020-2022)</b> To date the government have provided PCC with an unringfenced grant of £18.2m and other ring fenced funding. The government has announced it will provide some support to offset income losses but further detailed guidance will be released imminently. The Spending Review will set out how councils can fund deficits on their collection fund over three years. Longer term and indirect impacts are a greater risk and include: -Income reduction; -cost increases; -addressing the impacts of the pandemic on communities; -savings plans delayed or offset by the pandemic  Risk Category: FINANCIAL  Risks linked to UK leaving the EU: EU/E101 Financial impacts of preparation and response on the Council given current financial constraints EU/E102 Economic impact creates financial impacts on the Council (given current financial constraints) - enhanced financial instability should the UK enter a recession post-leaving EU that impacts on local economy, ability of residents to pay council tax, increases the number eligible for council tax support and negatively impact investments and affect the MTFP.	Spending money wisely	Higher profile of Council's finances at both Corporate Management Team (CMT) and Cabinet.  Budget presented to senior officers and members in scoreboard format, delivering greater transparency and challenge.  Workforce Modernisation Programme underway looking at the way the council works to operate in a modern and efficient way to meet customers expectations, examining current budget and actual spend, contracts, income opportunities and any synergies and efficiencies across the whole council.  Departmental Reps assessing the potential impact of leaving the EU upon services. Regular reports are reported to CMT and Scrutiny.  Reporting impact of COVID19 to MHCLG	Regular Finance Management meetings to review the current financial position. The Cabinet have been briefed and plans are continually reviewed and developed to close the affordability gap.  Finance and Assurance Review Group (FARG) monitor integrated commissioning risks.  Treasury Management Board assessing impact upon council's borrowings and investments.	Progress reported within monthly finance reporting to Cabinet members. Monthly reports presented to Scrutiny. RAG rating document circulated to members of Scrutiny.  Continued Member engagement in Budget process and MTFP setting process by having regular Member briefings.  CMT have the MTFP as a standing agenda item.  Audit & Governance Committee oversee the financial reporting process.  The Chief Internal Auditor supports the Audit & Governance Committee and reviews its effectiveness annually.	5	5	25	5	5	25	R	Examine all opportunities to maximise areas of potential income. Ambitious capital programme and strategic investments from income earning assets to support the council in coming out of lockdown.  Cross department strategy on grant maximisation.  Deep dive review of all budgets to review current projected pressures. Implementation of strict recruitment controls with a CMT Panel created to authorise new posts. Established Programme Board with key Delivery Savings plans are in place.	Better return across all areas of investment wherever possible on the investment portfolio.  Income generation monitored via revenue budget.  Improved efficiency and reduced costs.  Increase in successful bids.  Reduced contract costs.  Financial results.	Ongoing Qly MTFP updates Ongoing Qly reviews Ongoing Ongoing	Paul Looby	Andrew Harding am	Katie Harris
2	SCYPF2 ORR (OCYF1) IRR COVID	Children's Social Care	<b>Failure to meet statutory duties due to growing volume and complexity of demand for children's social care services</b>  'Hidden harm' consequences of infection control measures and safe systems of work limitations add to existing pressures on service  Risk Category: FINANCIAL	Spending money wisely	A range of operational interventions are in place to monitor, manage and reduce expenditure on placements which represents the significant spend. In-house Fostering redesign and targets set to increase in-house provision to manage care costs for the next 3 financial years. Dedicated Manager role to review all high costs placements weekly linked to significant delivery plans savings. The newly formed Adolescent Support Team is working to support young people to return home to their families from care in order to reduce overall placement costs. Continued work with local 'block' placement providers to keep residential costs down.	Finance and Assurance Review Group (FARG) Programme Board/DMT with Delivery Savings Plan targets. Federated Leadership Scrutiny.	Independent fostering review. Regular scrutiny via lead member for children and finance.	4	5	20	4	5	20	R	Urgent work is underway Council-wide to find additional savings across the organisation which is being supported by a budget management group. Fostering Project Delivery Plan in place Placement Review Project Delivery plan. Front door Project includes Adolescent Support Team Savings Delivery plan. Ongoing rigour in decision making to manage demand via Placement Panel which takes place weekly and overseen by a dedicated service manager with responsibility for reducing costs of individual placements and ensuring timely step down. Ensuring action plan milestones are reached via monthly monitoring at Programme Board/Finance DMT. All delivery plans have been reviewed and progress is being achieved to mitigate delays caused by Covid response.	Delivery Performance evidenced monthly	Ongoing monitoring	Jean Kelly	Alison Botham	Sandy Magee
3	SEPS1 COVID IRR	Education, Participation & Skills	<b>Insufficient pupil attainment to achieve economic / quality of life outcomes across secondary cohort</b>  Continuing decreased access to and attendance at schools overlays previous challenges in secondary education. Additional challenges of attendance and attainment during Covid-19 pandemic may have an increased impact on those secondary students already disadvantaged.  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	A caring council - Improved schools where pupils achieve better outcomes	Ofsted inspection outcome tracking. Data analysis. Plymouth Education Board Policy for Intervention, Challenge and Support for Schools makes clear the relationship with schools.	Trust development to secure school improvement. LA oversight of Maintained Schools	Education & Children's Social Care Overview & Scrutiny Committee. Standards Partnership and LA work across system	4	5	20	4	5	20	R	Plymouth Education Board (PEB) (and sub groups) will increasingly hold all schools to account. Development of an accountability and support model involving a number of partners. School improvement work will create a partnership of distinct interventions to drive improvement and raise achievement. Cause for concern meetings. Inclusion strand of PEB work. Proposed Inclusion Mark for the City to celebrate inclusion. A task group has been established with schools to prepare for September school re-opening safely. A key priority is work to support disadvantaged pupils. The work of the Plymouth Commission has been extended to focus on attainment for secondary aged pupils and school improvement. This has also focussed on the impact of the COVID response arrangements, and a survey of all secondary schools has been undertaken to inform priorities for re-engaging pupils in September.	Ofsted Inspection results. Over 50% secondary schools good or better. Attainment levels and data analysis. Evidence of innovative solutions based programmes that are evaluated against outcomes. Attainment levels will be difficult to analyse due to Covid-19 disruption.	Review Oct 20	Judith Harwood	Alison Botham	Julie Reed
4	SED1 COVID BREXIT	Economic Development	<b>Insufficient economic performance to sustain the City's economy as a result of the recession and lockdown</b>  Plymouth Plan and economic growth targets will have to be revisited in the light of the recession. Resurgam strategy being actively pursued. However it is likely that there may be key business failures, the number of universal credit claimants has already increased to 11K (10% of the employment base) and 27% of the city is currently furloughed. When the Furloughing scheme is lifted there is a risk of a secondary redundancy wave. The commercial estate which has been held and grown by the Council over many decades is likely to face significant bad debt, and as a result the impact on the ability for the council to pay corporate borrowing  Risk Category: DEVELOPMENT & REGENERATION  Risks linked to the UK leaving the EU: EU/E104 A reduction in EU student numbers and difficulties in accessing EU grants. UK and/or Plymouth not considered an attractive place to study causes a loss of student economy. EU/E105 Economic impact on the city due to loss of direct support from the EU. EU/E103 Loss of Foreign Direct Investment (FDI) into the city. Manufacturers no longer consider the region an attractive place to operate from due to negative perception of the UK, the implementation of import tariffs or inability to recruit sufficient staff results in loss of jobs, loss of business rate income and stalls our growth ambition.	A growing city - Economic growth that benefits as many people as possible	A cross department team has been pulled together harnessing the resources across the city to look at recovery and economic shock. This is underpinned by evidence and partnership working This plan (Resurgam) is still being developed and builds on existing projects making sure they are still relevant and can be delivered. We are also harnessing national and regional support, so we can minimise impact and recovering quicker. The resurgam approach is to build on the bedrock sectors (Medical and defence) support the sectors in critical shock to adapt and change (retail hospitality and leisure and manufacturing). It is understood that different sector of society will be more impacted than others. Initial research shows that young people and unskilled men over 50 are more likely to be more severely impacted. Solutions need to think about people as well as places and how they are interlinked to have most impact. Future projects are still emerging but include flagships/pillars around • Skills – includes careers advice and guidance, building Plymouth • Marine and defence – includes future oceans institute • Inclusive Growth and Spend for Plymouth – includes revised approach to procurement, harnessing the voluntary and community groups, social investment • Sector plans	Resurgam Boards City Centre Restart Board	Growth Board.	3	3	9	4	5	20	R	The impact of Covid on the economy has been sharp and has affected different sectors of the economy in different ways.  The approach has been to ensure all Plymouth businesses know and can benefit from the support packages which central government have announced. This has included redeploying staff and administering over £47 million of funding: • Small Rate Business Rate Grants • Tourism and Hospitality Grants • Business Rate relief for Nurseries • Discretionary Business grants  Submitted grant applications for Get Building Fund which includes, Train Station, City Business Park and Science Park. If successful this will secure and additional 6-7 million for the City  Set up and produced an approach to major redundancies so we can quickly respond. (note, there is an issue with DWP resources to respond)  Creative and cultural • Funding support to help arts and creative businesses access Arts Council Grants • Account management for the Theatre Royal  Tourism Retail and Hospitality  • Future High street fund has been requested to be accelerated to do the Civic Centre and Guildhall. This is a major piece of reimagining the City Centre • Administering the 230K reopening the high street funding • Reimagining Mayflower 400 to extend to 2021 Fishing • Launched and supported call for fish • Lobbying for additional support for fishing, grants for fishing fleet. • Targeted support for the key businesses PTA, Western Maritime Training and Interfish Future projects are still emerging but include flagships/pillars around • Skills – includes careers advice and guidance, building Plymouth • Marine and defence – includes future oceans institute • Inclusive Growth and Spend for Plymouth – includes revised approach to procurement, harnessing the voluntary and community groups, social investment • Sector plans This is in addition to the projects which were underway and are due to be completed in the next 12 months. These include • Opening the Box (46 million investment) • Oceansgate phase 2 • Derriford District Centre • Feasibility studies on Mountbatten Centre – nearly completed and key for Horizons bid to National Marine park • Feasibility studies of the Fish Market • Submission direct to government phase three Oceansgate • Redevelopment of the Naval base – key for construction sector and major job creation opportunity • New Hospital - key for construction sector and major job creation opportunity	Monitor- Weekly wage rates, Gross Value Added per hour worked, Universal Credit claimants, Business births, Business Failures, Employee numbers, Visitor numbers, Growth in jobs	Ongoing	David Draffan	Anthony Payne	Andy Sharp

ROW NO	RISK REF	DEPT	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category)	LINK TO CORPORATE PLAN	Policies and procedures Link to business plan Delegations of authority / Fraud checks Risk and control framework Performance Management Project Management reviews	Programme Boards Functional compliance reviews Working Groups	Audit Reports Regulatory Reviews Snr Executive Committees Scrutiny Committees Portfolio Boards Peer Reviews	PREVIOUS RESIDUAL RISK RATING				CURRENT RESIDUAL RISK RATING				RAG RATING / CHANGE IN RISK RATING	ACTION PLAN / FUTURE MITIGATION / ASSURANCE PLAN	HOW WILL PROGRESS BE MEASURED (LIST MEASURABLE BENEFITS AND NON-QUANTIFIABLE BENEFITS)	TARGET DATES (or review date if target unknown)	RESPONSIBLE OFFICER(S)	DIRECTOR / ASSISTANT DIRECTOR	RISK CHAMPION
								Feb-20		Jun-20		Feb-20		Jun-20								
								P	I	P	I	P	I	P	I							
5	STS2 COVID IRR ORR	Office of the Director of Public Health	<b>Second peak of COVID-19 cases</b> affects city's recovery / reset plans.  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	Focus on prevention and early intervention	Local Outbreak Management plan co-designed and published	Local Outbreak Engagement Board Plymouth Health Improvement Board	Cabinet / Reset Board oversight Corporate Emergency Management Team	New			4	4	16	A	Enhance data quality and analysis. Local Outbreak Management Plan	Daily and weekly data analysis	Weekly	Sarah Lees / Rob Nelder	Ruth Harrell	Katharine O'Connor		
6	STS1 IRR COVID	Office of the Director of Public Health	<b>Failure to reduce Health Inequalities</b> will mean our poorest residents continue to live shorter lives as well as more years in ill health.  Mounting evidence that COVID-19 is having differential health impacts across communities, adding to existing health inequalities. This is through either the disease itself or the mitigations put in place. There is an ongoing impact of this due to the economic downturn. The primary role of the ODPH and the Public Health Team in particular is now to try to prevent a resurgence of Covid-19 in the city therefore protecting most deprived communities from further negative impacts.  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	A caring city - Reduced health inequalities	The Thrive Plymouth framework was adopted by full council in 2014 and links directly to the Plymouth Plan and Integrated Commissioning Strategies. It provides a good foundation to achieve prevention in all services and decision making processes. The focus of Thrive Plymouth in year one was on workplace health and wellbeing, in year two it was on schools and young people, in year three it was on localising the national 'One You' health improvement campaign. In year four was on mental wellbeing (focusing on the five ways to wellbeing) and in year five was on people connecting through food. The current year six focus is arts, culture, heritage and health and is using the Mayflower 400 commemorations as the vehicle for delivery. This was launched on 29 November 2019. It was intended that the focus of year seven (starting in November 2020) would be trauma informed. However the impact of the Covid-19 pandemic has meant that the Public Health Team does not have the capacity to develop and deliver year seven as originally planned. Year seven of Thrive Plymouth will continue the focus on arts, culture, heritage and health and will be using the continue to use the Mayflower 400 commemorations (in 2021) as the focus for this. In addition to the Thrive Plymouth-related work, the Public Health Team has worked with an extensive network of internal and external partners to secure the opening of a number of Wellbeing Hubs across the city	Finance and Assurance Review Group review Joint Integrated Commissioning Risk Register quarterly.	The Health & Wellbeing Board.  Thrive Plymouth integral to the original Plymouth Plan and updated information included in the refreshed version (monitored via CMT/Cabinet/Full Council.)  The Director of Public Health's (DPH) annual report focusses on the previous year of Thrive Plymouth (highlighting successes and challenges)	3	4	12	4	4	16	A	Persistent action across the Council is required at many levels to tackle inequalities by addressing the wider determinants of health. The public health team and partners continue to work with employers (year one focus) and schools (year two focus) to influence healthier lifestyles. The team continues to embed and promote the national 'One You' campaign across the city. The 'five ways to wellbeing' has been adopted across the city as the single approach to improving mental wellbeing. The work that started in year five on 'people connecting through food' is ongoing with a number of new initiatives developed. The focus on arts, culture, heritage and health (using the Mayflower 400 commemorations) will continue throughout 2020 and 2021. The Thrive Plymouth Network will continue to meet on a quarterly basis to ensure delivery of the programme. As a result of the Covid-19 pandemic, the Public Health Team is developing a framework which provides an approach to assessing the broad health and wellbeing impacts and resulting inequalities on the population of Plymouth as a result of Covid-19. The work will aim to bring partners together via the Health and Wellbeing Board to contribute to a discussion on how these impacts can be mitigated. In addition to this, to support the work of the Council's cross-party Child Poverty Working Group, a high level review of the evidence of the impacts of the pandemic on the mental wellbeing of children and young people will be carried out. As already stated, the primary role of the ODPH and the Public Health Team in particular is now to try to prevent a resurgence of Covid-19 in the city therefore protecting most deprived communities from further negative impacts	At the highest level health inequalities can be measured in changes in life expectancy. ODPH produces a report each year to monitor this, along with a Thrive Plymouth Performance Framework providing more detail at a local level. Each year of the Thrive Plymouth campaign is evaluated and reported upon in the subsequent DPH annual report.	Nov-20	Sarah Lees / Rob Nelder	Ruth Harrell	Katharine O'Connor		
7	SHR1 COVID	Customer & Corporate HR/CO	<b>There is insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities</b>  New service obligations, such as Caring Plymouth, local outbreak control, PPE provision etc. need to be considered alongside existing obligations, some of which have been made more challenging by COVID-19  Risk Category: SERVICE DELIVERY / REPUTATION	Providing quality public services	Workforce Bureau in place Volunteering Review working patterns ensure staff leave is taken Review posts prior to recruitment Workforce data Employee Assistance Programme in place. Organisational Restructure toolkit in place. Agile HR policies and procedures available on staffroom. Sickness absence and staff turnover monitored Annual Performance Reviews and objective setting Admin review	We develop our succession plans as part of the Workforce Modernisation Board HSW Steering Group Chief Officer Appointment Panel (COAP) have agreed total reward scheme for senior leaders. Team Plymouth Corporate Management Team / Senior Leadership Team Portfolio Holder Trade Union engagement Resurgam Program	Organisational Design proposals approved by Council.  Cabinet	New		5	3	15	A	Develop online training programmes  Implementation of 'The Way We Work' programme (technology, information management, accommodation) to enable the right conditions for success.  Review of senior structure  Review of business plans  Possible remodelling of services  Ongoing 1:1s	Sickness absence monitoring Staff survey results Staff turnover, exit interviews	Ongoing	Kim Brown	Andy Ralphs	Clare Cotter			
8	SF5 IRR	Finance	<b>The Council not meeting its obligation to keep data secure by failing to adhere to Data Protection Act 2018 Regulations</b> results in loss of trust in the Council and/or financial penalty from the Information Commissioner's Office (ICO)  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	Providing quality public services	Staff awareness training has been rolled out.  Incident reporting and management in place.  Escalation of breaches to Senior Information Risk Owner (SIRO).  Annual IT Health Check Regular vulnerability scans carried out IT Infrastructure patching policy in place Pro-active monitoring by Babcock.  ICO Action Plan. Information Audit completed for all departments Staff workshops completed re: GDPR	Devon Information Security Partnership (DISP)  Information Lead Officer Group (ILOG) raise awareness within department  Completion of mandatory eLearning being tracked through Balanced Scorecards	Senior Information Risk Owner (SIRO) in place.  Annual Information Governance report to Audit and Governance Committee  External Compliance assessment.  CMT regularly briefed.	5	3	15	5	3	15	A	Roll out staff awareness training to all staff. Implement greater reporting consistency within directorates. Implement improved incident analysis within the Service Desk. Improved contract management with partners. Implement greater reporting consistency within directorates. Implement improved incident analysis within the Service Desk. Standardised breach management processes distributed to key staff. Implement compliance requirements into Delt business as usual - This is a workstream of the information management project. Corporate Privacy Notice complete, service specific Notices being finalised.	Reports from HR training detailing completion statistics  Improved breach reports distributed to directorates  Detailed breach reports for partners and escalation at contract management meetings  Monitor action plan through ILOG	Ongoing  Ongoing  Ongoing	Pete Honeywell	Andy Ralphs	John Finch		
9	SIC1 COVID HSW	People (Commissioning & Children's Services)	<b>The Council is unable to fulfil its legal obligations regarding the safety of its citizens and service recipients</b>  Significant challenges presented by the scope of service activities, range of workforce environments, clarity of guidelines/legislation and unpredictability of epidemiology, with the added pressures of supply chain management and organisational capacity to deliver  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	A caring council - Keep children, young people and adults protected	Safe Systems of Work Programme Performance Data Contract Management Weekly review of risk assessments, management oversight and audit	Bronze Command COVID-19 Directorate Response Teams Workforce and SSOW Cells PPE Cell Safeguarding Board Plymouth Safeguarding Children's Partnership Safer Plymouth Departmental Management Teams	Emergency Operations Centre CEMT Silver Command  Resurgam Management Boards Plymouth Strategic Infrastructure Board City Centre restart Board Health and Wellbeing Board	New		3	4	12	A	Statutory Post holders Commissioning and service Improvement plans Budgetary Management Revision of business plans	Statutory Returns Complaints (Ombudsman)	Ongoing	Alison Botham / Craig McArdle	Alison Botham / Craig McArdle	Sandy Magee / Gary Walbridge			
10	SHR2 COVID HSW	Customer & Corporate HR/CO	<b>The Council is unable to fulfil its legal obligations regarding the health, safety and wellbeing of its workforce.</b>  Significant challenges presented by the scope of service activities, range of workforce environments, clarity of guidelines/legislation and unpredictability of epidemiology  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	A caring council - Keep children, young people and adults protected	Safe Systems of Work Programme Display Screen Equipment (DSE) guidance in place COVID-19 Homeworking checklist implemented to ensure employees working from home have all standard DSE equipment, and specialist assessment where required Delivery service instigated following COVID-19 infection control guidelines COVID-19 wellbeing pages has DSE advice and support cited Access to ergonomist assessment via medigold available Pulse survey undertaken Risk assessments of vulnerable staff Protective personal equipment requirements scoped	Health, Safety & Wellbeing (HSW) Steering Group  Safe Systems of Work Cell  HROD COVID-Response Team  Trade Union meetings take place as appropriate  Silver Corporate Emergency Management Team (CEMT) Compliance Structure  Portfolio Holder meetings	HSW Annual Report 2020/21 will give account of safe systems working arrangements  Audit and Governance Committee	New		3	4	12	A	Stabilising the workforce to continue to work from home.  Identifying employees who are unable to work from home and provide right amount of support and location in the building  Undertake risk assessments for staff to ensure reasonable adjustments take place (targeted support)  Follow up survey	Outcome of pulse surveys to assess wellbeing in relation to DSE and wider wellbeing at home - one to ones for staff wellbeing and follow up survey  Monitor sickness absence and ensure appropriate support is in place  Referrals to Medigold for ergonomic assessment for staff who need specific equipment at home  Reviewing safe systems of work	Ongoing	Kim Brown	Andy Ralphs	Clare Cotter			

ROW NO	RISK REF	DEPT	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category)	LINK TO CORPORATE PLAN	Policies and procedures Link to business plan Delegations of authority / Fraud checks Risk and control framework Performance Management Project Management reviews	Programme Boards Functional compliance reviews Working Groups	Audit Reports Regulatory Reviews Snr Executive Committees Scrutiny Committees Portfolio Boards Peer Reviews	PREVIOUS RESIDUAL RISK RATING		CURRENT RESIDUAL RISK RATING		RAG RATING / CHANGE IN RISK RATING	ACTION PLAN / FUTURE MITIGATION / ASSURANCE PLAN	HOW WILL PROGRESS BE MEASURED (LIST MEASURABLE BENEFITS AND NON-QUANTIFIABLE BENEFITS)	TARGET DATES (or review date if target unknown)	RESPONSIBLE OFFICER(S)	DIRECTOR / ASSISTANT DIRECTOR	RISK CHAMPION		
								Feb-20		Jun-20										
								P	I	P	I									
11	SCEO3 ORR (CEO12) IRR BREXIT COVID	DEX	<b>Departure from EU single market without a trade deal further decreases city economic output</b>  A 'no-deal' exit from the EU in addition to COVID-19 economic impacts at the end of 2020 will magnify previous Brexit risks  Risk Category: FINANCIAL	Providing quality public services	Brexit Organisational and City specific risk registers linked to corporate risk registers. Department Brexit lead officers in place. Port Liaison Group established with key stakeholders. Plymouth Brexit Business Group launched in collaboration with Devon and Plymouth Chamber of Commerce. All departments have reviewed business continuity plans. Corporate web page with links to government advice. Growth Board on-line advice tool. Officer attendance at local and regional events. Brexit impact scoping within MTFP. Government funding announced. Scenario planning has been undertaken. We will keep no deal plans under review until December 2020 to ensure readiness is maintained during the transition period.	Brexit Officer Group in place. Established groups with our business community and Port stakeholders. Plymouth Growth Board. Local Enterprise Partnership.	Brexit, Infrastructure & Legislative Change Overview & Scrutiny and Select Committee. Overview and Scrutiny and Select Committee. Brexit Resilience and Opportunities Group (HotSW LEP). CMT - quarterly update.	4	3	12	4	3	12	— A	Continued regional engagement to maintain strong influence. Continue to act promptly on government guidelines when issued. Continue to bid for additional funding from Central Government particularly around Port responsibilities. Keep no deal plans under review to ensure readiness is maintained until Dec 2020. Brexit Officer Group action plan shows programme of work identified leading up to Dec 2020.	Reports to Brexit, Infrastructure & Legislative Change Overview & Scrutiny Group	Ongoing monitoring	Kevin McKenzie	Giles Perritt	Maddie Halifax
12	SSPI2 COVID BREXIT	Strategic Planning & Infrastructure (Housing & Infrastructure)	<b>Risk of failing to deliver the range of housing to meet Plymouth's need via the Joint Local Plan (JLP) and the Homes for Plymouth Programme</b>  Housing supply is close to the core of Joint Local Plan delivery and a number of COVID-19 related factors will impact our ability to deliver to previously agreed levels  Risk Category: DEVELOPMENT & REGENERATION  Brexit Risk: Potential impact of rising material costs and shortfall of labour on Plan for Homes and Capital Programme	A growing city - A broad range of homes	Driving progress on previous Plan for Homes site releases to seek accelerated construction of new homes, regularly reviewed.  Sites identified in the JLP 5 year land supply regularly reviewed to consider what actions might bring forward sites currently in years 6 and 7 into 5 year supply.  Each JLP site now has a Delivery Strategy, with various forms of proposed intervention based upon the identification of resources. Data base established to allow for more effective review of actions and progress.  Review of partnerships and partners to manage delivery and ensure capability and maximise capacity, including funding for new homes.  On-going strategic relationship management with Homes England to achieve a fair share of the national funding.	Plymouth Growth Board. JLP Member Steering Group. JLP Leadership Delivery Group.	3	3	9	3	3	9	— G	Strategic Land Review completed. Plan for Homes 3 has established a Housing Investment Fund that will help fund interventions in the market to unlock more delivery. We will consider acquiring and lending to unlock direct delivery. Reviews of small and stalled sites complete with delivery strategies to be implemented. Development of bids to a number of Government funding programmes to support new homes e.g. Accelerated Construction, Housing Infrastructure Fund, Land Release Fund, Starter Homes and Care and Support Funding. Ongoing work with Homes England and MHCLG to unlock funding and making the case for a fairer allocation of national funding for homes. Ongoing innovation to improve the proactive and fast track approach to planning to deliver housing. Starter Homes Land Fund Partnership Authority to work with Homes England to bring forward a portfolio of stalled, lapsed and brownfield sites to unlock delivery and accelerate new homes. We will monitor closely development activity in the construction sector to understand the effect of Covid-19 on housebuilding. We will manage the 5 year land supply position to ensure that decisions on sites are taken using a balanced and objective assessment of market conditions. We will work with Project Resurgam to develop measures to support and boost housebuilding. We will coordinate LPA's in Devon and Cornwall to write to MHCLG to request measures to protect established local plans from the effects of the recession. We will develop a Housing Recovery Action Plan to get house building back on track, supporting Plymouth's economic recovery and other Resurgam activity. We will look to accelerate development where possible and identify opportunities to intervene in the housing market to build the homes we need. We will work with the Plymouth Housing Development Partnership to leverage their investment and move quickly to restart housing projects to stimulate affordable housing delivery, and support SME's to start building again. We will work with MHCLG and Homes England to maximise investment in new homes and infrastructure.	Regular reports to Portfolio Holders, JLP Member Steering Group and JLP Leadership Group	Annual delivery monitoring year end and on going	Paul Barnard	Anthony Payne	Andy Sharp	
13	SCYPF1 COVID IRR	Children's Social Care	<b>Risk to vulnerable children and young people in the care system, by not delivering early intervention and prevention and responding as soon as possible to their needs and promote better long term life outcomes.</b>  Early intervention aims to promote better long term life outcomes for families, and in doing so, also prevent them needing more intensive and higher cost services in the future, such as children's social care or the criminal justice system.  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	A caring council - Focus on prevention and early intervention	Troubled Families Programme  Early Help Assessment Tool  The Children and Young People's Commissioning Plan  Families with a Future initiative	CYP System Design Group. Performance and Complaints monitoring.	Local Safeguarding of Children Board.  Claims Validation 'spot check' compliance achieved from the Troubled Families Team of the Ministry of Housing, Communities and Local Government	2	3	6	2	3	6	— G	Continue to drive forward change across the partnership in relation to whole family working, engagement with the Early Help Assessment Tool process, data exchange and achieving the outcomes required within the Troubled Families Outcomes Plan.	Reduction in caseloads	Ongoing	Siobhan Wallace	Alison Botham	Sandy Magee

COVID Links to Covid  
IRR Links to Joint Integrated Commissioning Risk Register  
ORR Links to Operational Risk Register  
BREXIT Links to Brexit Risk Register

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