

ROW NO	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category)	Policies and procedures Link to business plan Delegations of authority / Fraud checks Risk and control framework Performance Management Project Management reviews	PREVIOUS RESIDUAL RISK RATING		CURRENT RESIDUAL RISK RATING		RAG RATING /CHANGE IN RISK RATING	ACTION PLAN / FUTURE MITIGATION / ASSURANCE PLAN	DIRECTOR / ASSISTANT DIRECTOR	
			Mar-21		Jun-21					
			P	I	P	I				
		First Line of Defence (Operational management activity)								
7	<p>The Council having insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities</p> <p>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.</p> <p>Risk Category: SERVICE DELIVERY / REPUTATION</p>	<p>Workforce Bureau in place</p> <p>Volunteering</p> <p>Review working patterns ensure staff leave is taken</p> <p>Review posts prior to recruitment</p> <p>Workforce data</p> <p>Employee Assistance Programme in place.</p> <p>Organisational Restructure toolkit in place.</p> <p>Agile HR policies and procedures available on staffroom.</p> <p>Sickness absence and staff turnover monitored</p> <p>Annual Performance Reviews and objective setting</p> <p>Admin review</p> <p>Core hours paused and flexi limits extended</p>	5	3	15	5	3	15	<p>Develop online training programmes</p> <p>Implementation of 'The Way We Work' programme (technology, information management, accommodation) to enable the right conditions for success.</p> <p>Review of senior structure</p> <p>Review of business plans</p> <p>Possible remodelling of services</p> <p>Ongoing 1:1s</p> <p>Working towards Silver Wellbeing at Work Award</p> <p>Increase in number of Wellbeing Champions to 60 (from 44)</p> <p>Implement New Ways of working and deliver Accommodation Strategy</p>	Andy Ralphs
8	<p>The Council not meeting its obligation to keep data secure by failing to adhere to Data Protection Act 2018 Regulations results in loss of trust in the Council and/or financial penalty from the Information Commissioner's Office (ICO)</p> <p>Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING</p>	<p>Staff awareness training has been rolled out.</p> <p>Incident reporting and management in place.</p> <p>Escalation of breaches to Senior Information Risk Owner (SIRO).</p> <p>Annual IT Health Check</p> <p>Regular vulnerability scans carried out</p> <p>IT Infrastructure patching policy in place</p> <p>Pro-active monitoring by Babcock.</p> <p>ICO Action Plan.</p> <p>Information Audit completed for all departments</p> <p>Staff workshops completed re: GDPR</p>	5	3	15	5	3	15	<p>Continued roll out staff awareness training to all staff.</p> <p>Implement greater reporting consistency within directorates.</p> <p>Implement improved incident analysis within the Service Desk.</p> <p>Improved contract management with partners.</p> <p>Improve Privacy notice templates and ensure all gaps are addressed</p> <p>Standardised breach management processes distributed to key staff.</p> <p>Reviewed policies to be communicated to all staff</p>	Andy Ralphs
9	<p>The Council is unable to fulfil its legal obligations regarding the safety of its citizens and service recipients</p> <p>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</p> <p>Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING</p>	<p>Safe Systems of Work Programme</p> <p>Performance Data</p> <p>Contract Management</p> <p>Weekly review of risk assessments, management oversight and audit</p>	3	4	12	3	4	12	<p>Statutory Post holders</p> <p>Commissioning and service Improvement plans</p> <p>Budgetary Management</p> <p>Revision of business plans</p>	Alison Botham / Craig McArdle
10	<p>The Council not meeting its legal obligations regarding the health, safety and wellbeing of its workforce.</p> <p>Significant challenges presented by the scope of service activities, range of workforce environments, clarity of guidelines/legislation and unpredictability of the rate of COVID-19.</p> <p>Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING</p>	<p>Safe Systems of Work Programme</p> <p>Display Screen Equipment (DSE) guidance in place</p> <p>COVID-19 Homeworking checklist implemented to ensure employees working from home have all standard DSE equipment, and specialist assessment where required</p> <p>Delivery service instigated following COVID-19 infection control guidelines</p> <p>COVID-19 wellbeing pages has DSE advice and support cited</p> <p>Access to ergonomist assessment via medigold available</p> <p>Daily workforce returns require status of DSE assessments to be recorded</p> <p>Pulse survey undertaken</p> <p>Risk assessments of vulnerable staff</p> <p>Protective personal equipment requirements scoped</p> <p>PPE Policy in place with ordering and supply process operational</p>	3	5	15	3	5	15	<p>Agree substantive future working arrangements according to worker type</p> <p>Follow up survey</p> <p>Delivery of 20/21 HS&W action plan</p> <p>Taking action on future Government guidelines in relation to COVID-19</p>	Andy Ralphs
11	<p>Departure from EU single market with The Trade and Cooperation Agreement could further decrease city economic output.</p> <p>Trading standards impacts may be significant when full border operations commence in October.</p> <p>There could be impacts on service demand when the EU Settlement Scheme closes to new applicants in July. Predicted labour market shortage is now starting to show.</p> <p>Risk of business failure is still high due to the economic impact of the Trade and Cooperation Agreement although this may be difficult to disaggregate from COVID-19 impact.</p> <p>Ferry services have recommenced and we are monitoring phase 1 and 2 of the Border Operating Model.</p> <p>Macro economic affects so far muted but need to continue to monitor as UK export figures have fallen by 40% nationally, imports also down but balance of trade deficit will increase and Treasury need to balance UK PLC books - this could mean an increased tax burden.</p> <p>Unilateral UK changes in regulations could worsen export situation.</p> <p>Risk Category: FINANCIAL</p>	<p>Brexit Organisational and City specific risk registers linked to corporate risk registers.</p> <p>Plymouth Brexit Business Group launched in collaboration with Devon and Plymouth Chamber of Commerce.</p> <p>Corporate web page with links to government advice updated with recent information on the EU Settlement Scheme with a comms campaign to promote this.</p> <p>Growth Board on-line advice tool.</p> <p>Officer attendance at local and regional events.</p> <p>Brexit impact scoping within MTFP.</p> <p>Some government funding has been announced including funding for fishing and SME support.</p>	4	3	12	4	3	12	<p>Continued regional engagement to maintain strong influence.</p> <p>Monitor proposed regulatory changes for service impact</p> <p>Continue to act promptly on government guidelines when issued.</p>	Giles Perritt
12	<p>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</p> <p>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</p> <p>Risk Category: DEVELOPMENT & REGENERATION</p> <p>Brexit Risk: Potential impact of rising material costs and shortfall of labour on Plan for Homes and Capital Programme</p>	<p>Driving progress on previous Plan for Homes site releases to seek accelerated construction of new homes, regularly reviewed.</p> <p>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.</p> <p>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.</p> <p>Review of partnerships and partners to manage delivery and ensure capability and maximise capacity, including funding for new homes.</p> <p>On-going strategic relationship management with Homes England to achieve a fair share of the national funding.</p> <p>Review of partnerships and partners to manage delivery and ensure capability and maximise capacity, including funding for new homes.</p> <p>Working with MHCLG & Homes England to develop a Place Based Strategic Partnership to maximise joint working, funding and alignment of housing delivery priorities.</p> <p>Proposal to establish a tripartite partnership between MHCG, HE and PCC/SH/WD with the vision to transform the pace and quality of housing provision to fully meet housing need including the 35% urban uplift.</p>	3	3	9	3	3	9	<p>Strategic Land Review completed and now released 45 housing sites to the market.</p> <p>Established Housing Investment Fund to support interventions to unlock housing delivery.</p> <p>Working with Homes England to develop a Place Based Strategic Partnership to unlock and deliver a pipeline of housing sites, support City Centre renaissance and to help align Government funding with housing site opportunities. Proposal to establish a tripartite partnership between MHCG, HE and PCC/SH/WD with the vision to transform the pace and quality of housing provision to fully meet housing need including the 35% urban uplift. Work with Homes England has led to agreed solutions on legacy sites to unlock delivery. Launched the Plymouth Eco-Homes Programme to deliver over 250 low-carbon and net-zero homes across Plymouth.</p> <p>Embarking on our Direct Delivery of new homes to drive up good design, quality and sustainable living. • Identifying a pipeline of future sites to support our direct delivery ambitions.</p> <p>Developing Housing Partnership Agreements with key Housing Association Partners to maximise their investment and delivery in the city.</p> <p>Considering site acquisitions and provided funding to help unlock stalled JLP sites. Reviews of JLP sites completed and monitored, with delivery strategies being implemented.</p> <p>Bidding to a number of Government funding programmes to support new homes.</p> <p>Ongoing work with Homes England and MHCLG to unlock funding and making the case for a fairer allocation of national funding for homes.</p> <p>Ongoing innovation to improve the proactive and fast track approach to planning to deliver housing.</p> <p>Monitoring development activity in the construction sector to understand the effect of COVID-19 on housebuilding.</p> <p>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.</p> <p>Work with Resurgam programme to develop measures to support and boost housebuilding, supporting Plymouth's economic recovery and other Resurgam activity.</p> <p>Work with the Plymouth Housing Development Partnership to leverage their investment and progress housing projects to stimulate affordable housing delivery, and support SME's to start building again.</p> <p>We will work with MHCLG and Homes England to maximise investment in new homes and infrastructure.</p>	Anthony Payne
13	<p>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.</p> <p>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.</p> <p>Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING</p>	<p>Troubled Families Programme</p> <p>Early Help Assessment Tool</p> <p>The Children and Young People's Commissioning Plan</p> <p>Families with a Future initiative</p>	2	3	6	2	3	6	<p>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.</p>	Alison Botham

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			P	I	16	P	I	16			
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14	Increased and sustained pressure on Adult Social Care budget due to increased numbers of people or increased complexity of need. As this is a statutory service and largest single budget it could have a significant impact on the Authorities overall financial position Risk Category: Financial In light of COVID-19, changes in practice there are currently increased costs in providing services - for example additional PPE and more robust processes around systems of working for providers and infection control. All of these will incur increased cost, for which there is no confirmation of longer term funding. There is uncertainty as to whether the current COVID-19 practices will need to remain long term.		4	4	16	4	4	16	— A	Budget Containment meetings in place Brief providers around risks relating to COVID-19 and infection control and safe system measures. Focus on reviews and reablement to right size packages of care Emergency Plan to cover need to prioritise critical services.	Craig McArdle
15	Risk of Market or Provider failure causing service disruption, loss of revenue and adverse publicity Risk Category: Financial		4	3	12	4	4	16	↑ A	Establishment of Community Capacity Command Centre to provide greater oversight of market and capacity Local Authority is taking steps to set up a Care Company to ensure continuity of provision in the event of market failure. Care Home liaison work being undertaken by Livewell Southwest, to increase levels of support to Residential and Nursing care market. Risk to be continued to be monitored through contract monitoring and market intelligence. Supporting market wide workforce recruitment / retention across residential and domiciliary sector.	Craig McArdle
16	Risk of failing to meet carbon reduction targets to reach net zero by 2030. Plymouth City Council declared a climate emergency in March 2019. The Plymouth Plan was revised in January 2021 to update the strategic objectives and policies to achieve this outcome. The corporate plan, when next revised, will do likewise. The activities of Plymouth City Council only contribute 1% of the total carbon emissions of the city. The environmental consequences of failing to meet the target are difficult to quantify, but a failure to address and minimise our carbon emissions would contribute to some extent to changes in our climate, which include, among others, increased risk of coastal flooding and changes to the weather patterns. Changes to the weather could in turn have financial consequences for the Council as we mitigate against increased flooding, and more frequent storms. Failure to meet corporate targets would impact our reputation and our ability to exercise leadership on this agenda, with, in turn, possibly more consequences on carbon emissions citywide.	A governance structure is in place to ensure that the city and council climate emergency objectives are led, managed and delivered. Led by the Cabinet member for Environment and Street Services, all key decisions are made by Cabinet and Full Council. The Strategic Director for Place leads the Climate Emergency Board with oversight of the corporate objectives. Management and deliverables are led by the service director for strategic planning and infrastructure. Progress updates on the delivery of the plans are provided 6 monthly. Interim policies and performance monitoring arrangements are in place whilst we tackle the complex task of developing a methodology that will enable us to accurately measure and monitor carbon emissions. In future, the methodology being developed will help to identify any potential risks to achieving the target There are 3 key plans in place to deliver objectives. * The Plymouth Plan specifically Policy GRO7 "Reducing carbon emissions and adapting to climate change", Climate Emergency Action Plan(s) Year 1 and Year 2 (CEAP), Corporate Carbon Reduction Plan(s) Year 1 and Year 2 (CCRP)	3	4	12	3	4	12	— A	Year 1 action plans have been completed for both CEAP and CCRP. Year 2 action plans for both CEAP and CCRP have been approved by Full Council (January 2021) Brexit, Infrastructure and Legislative Change Overview and Scrutiny Committee have received 6 monthly performance updates (October 2020 and March 2021) Year 3 action plans for both CEAP and CCRP are timetabled in to Full Council in January 2022	Anthony Payne
17	Risk of financial impact of delivering proposed changes to Waste Services as set out in the Government's Draft Environment Bill. Whilst the Government have stated that Local Authorities will not bear the cost of the changes the implications for Plymouth specifically are significant with likely changes to collection frequencies; plant, vehicle and machinery requirements; a weekly food waste collection and likely impacts upon existing waste disposal contracts including the Energy from Waste PFI contract. Waste policies and strategy will need to be reviewed to ensure compliance and alongside working with residents, communities and businesses to help manage any changes. A key requirement will also be understanding any resulting waste infrastructure requirements and where possible including appropriate provisions alongside evidence as part of the next iteration of the Plymouth and South West Devon Joint Local Plan scheduled for mid 2022. The Government are required to set out Statutory Instruments detailing the Environmental Bill requirements by Autumn 2022 with an indicative timescale for implementation of requirements by 2023/24.	Joint working group between Street Services & SPL. Service Management Teams				3	4	12	A (NEW RISK)	One of the earliest tasks will be to flesh out a programme, having regard to these dates. However, it can be anticipated that the work would need to cover the following basic elements: 1. Documentation of the context for a new waste plan – e.g. all legal and policy drivers as well as the local and regional context 2. Review of high level policy aspirations – including the Plymouth Plan policy – to ensure it continues to work for the current context 3. Evidence base review – waste arising forecasts for the period to 2041 4. Review of effectiveness of current approaches and plans for managing these new waste management demands and challenges into the future 5. Identification of strategic alternatives for waste management, including site specific implications of these alternatives and using JLP sustainability framework model to ensure that this is robust and will be found sound when tested at JLP public examination 6. Identification of preferred options/s for waste management – with identification of specific sites where needed 7. Draft plan for waste published 8. Draft waste policies of JLP published 9. Plan for waste approved 10. JLP review tested through its various statutory stages	Anthony Payne