

# ANNUAL GOVERNANCE STATEMENT 2020/2021



## Scope of Responsibility and Purpose of the Governance Framework

### Scope

Plymouth City Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for and used economically, efficiently and effectively.

The Council also has a duty under the Local Government Act 2000 to make arrangements to secure continuous improvement in the way its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, Plymouth City Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of the Council's functions which includes arrangements for the management of risk.

This Annual Governance Statement explains how the Council has complied with the Code of Corporate Governance and also how it meets the requirements of Regulation 6(1) of the Local Government, England and Wales Accounts and Audit Regulations 2015, which requires all relevant bodies to prepare an annual governance statement.

### Purpose

The governance framework comprises the systems and processes, and culture and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness.

The system of internal control is based on an on-going process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. The governance framework has been in place at Plymouth City Council for the year ending 31 March 2021 and up to the date of the approval of the Annual Report and Statement of Accounts.

## Statement of Assurance and Certification

We propose over the coming year to take steps to address the matters described at page seven onwards, to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Councillor Nick Kelly  
Leader of Plymouth City Council

Tracey Lee  
Chief Executive

Brendan Arnold  
Service Director for Finance (Section 151 Officer)

Dated:

Dated:

Dated:

# The Corporate Plan

The Plymouth City Council Corporate Plan 2021-2025 sets out our mission to ‘build back better and make Plymouth a great place to live’. It was approved by Council in June 2021.

The Corporate Plan priorities are delivered through specific programmes and projects which are coordinated and resourced through the [Plymouth Plan](#), capital investment, directorate business and delivery plans.

The [Corporate Plan Performance Report](#) is updated on a quarterly basis and presented to Corporate Management Team, Cabinet and Scrutiny committees.

**OUR PLAN**  
YOUR CITY, YOUR COUNCIL

**CITY VISION**  
Britain's Ocean City

One of Europe's most vibrant waterfront cities, where an outstanding quality of life is enjoyed by everyone.

**OUR MISSION** To build back better and make Plymouth a great place to live, work and visit.

**OUR VALUES** we are:

- DEMOCRATIC**  
Plymouth is a place where people can have their say about what is important to them and where they are empowered to make change happen.
- RESPONSIBLE**  
We take responsibility for our actions, we are accountable for their impact on others and the environment and expect others to do the same.
- FAIR**  
We will be honest and open in how we act. We will treat everyone with respect, champion fairness and create opportunities.
- COLLABORATIVE**  
We will provide strong community leadership, working with residents, communities and businesses to deliver our common ambition.

**OUR PRIORITIES**

- UNLOCKING THE CITY'S POTENTIAL**
  - A clean and tidy city
  - A green, sustainable city that cares about the environment
  - Offer a wide range of homes
  - A vibrant economy, developing quality jobs and skills
  - An exciting, cultural and creative place
  - Create a varied, efficient, sustainable transport network
- CARING FOR PEOPLE AND COMMUNITIES**
  - A friendly welcoming city
  - Reduced health inequalities
  - People feel safe in Plymouth
  - Focus on prevention and early intervention
  - Keep children, young people and adults protected
  - Improved schools where pupils achieve better outcomes

**DELIVERING ON OUR COMMITMENTS BY:**

- Empowering our people to deliver
- Providing a quality service to get the basics right first time
- Engaging with and listening to our residents, businesses and communities
- Providing value for money
- Championing Plymouth regionally and nationally

**Plymouth**  
Britain's Ocean City

[www.plymouth.gov.uk/ourplan](http://www.plymouth.gov.uk/ourplan)

## The Assurance Framework - The Three Lines of Defence

The Three Lines of Defence Assurance Model is used as the primary means to demonstrate and structure roles, responsibilities and accountabilities for decision making, risk and control to achieve effective governance and assurance. The diagram below shows the relationship between these functions:-

### First Line of Defence – Management Controls and Internal Control Measures

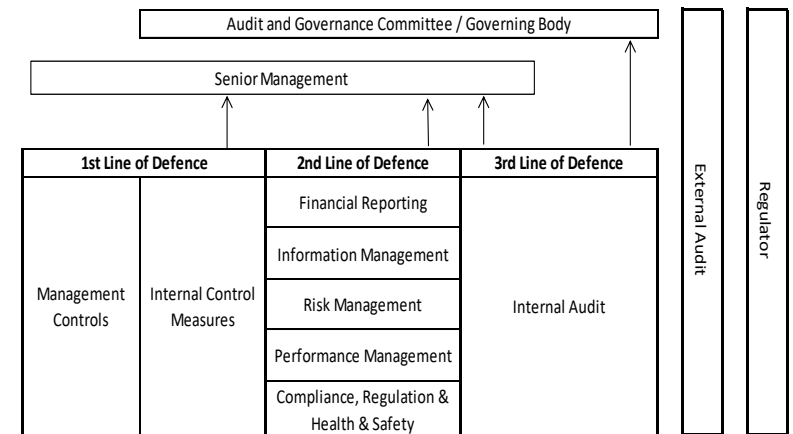
Line management are responsible for ensuring that a risk and control environment is established as part of day to day operations. Line management should be adequately skilled to create risk definitions and make risk assessments. The risk profile needs to be proactively reviewed, updated and modified for changes to the business environment and emerging risk changes. Active risk management and periodic reporting on risk is crucial to quick identification and response. The first line of defence provides management assurance by identifying risks and business improvement actions, implementing controls and reporting on progress.

### Second Line of Defence – Oversight Functions

The second line of defence consists of activities covered by several components of internal governance. This line of defence monitors and facilitates the implementation of effective risk management practices by operational management and assists the risk owners in reporting adequate risk related information up and down the organisation. These are usually management functions that may have some degree of objectivity, but are not entirely independent from the first line.

### Third Line of Defence

Internal audit forms the third line of defence. An independent internal audit function will, through a risk-based approach to its work, provide assurance to the organisation’s senior management. This assurance will cover how effectively the organisation assesses and manages its risks and will include assurance on the effectiveness of the first and second lines of defence. It encompasses all elements of the Council’s risk management framework (from risk identification, risk assessment and response, to communication of risk related information) and all categories of organisational objectives.



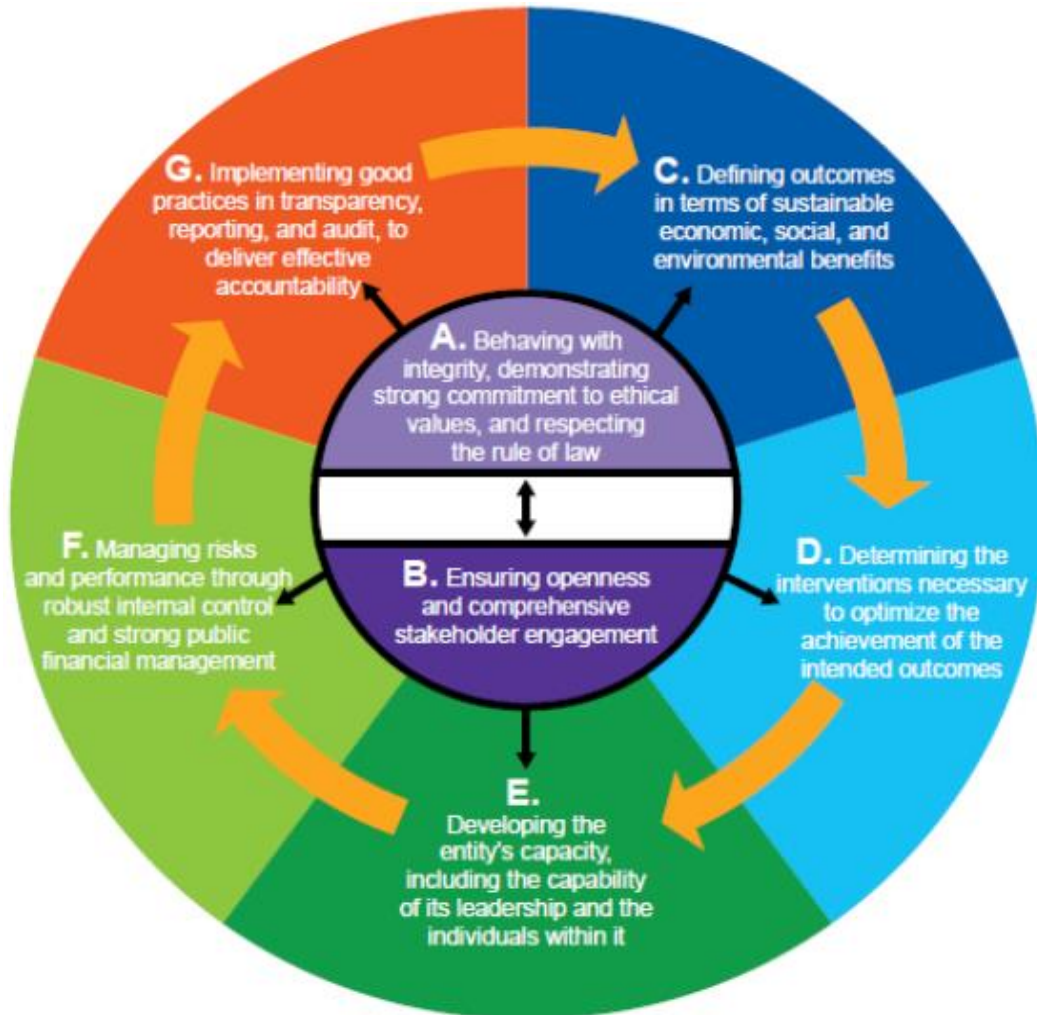
### External Auditors and Regulators

External auditors and regulators reside outside the council structure but have an important role in the overall governance and control structure by providing an independent and objective function to assess the whole, or some part of the first, second or third line of defence.

### Audit and Governance Committee’s Role

All three lines of defence have specific tasks in the internal control governance framework. It is the Audit and Governance Committee’s role to maintain oversight and to monitor the effectiveness of internal controls and risk management processes, as well as internal audit activities.

## The Governance Framework



The Council's Code of Corporate Governance is consistent with the principles of the CIPFA/SOLACE 2016 Framework Delivering Good Governance in Local Government.

This diagram illustrates how the various principles for good governance in the public sector relate to each other. To achieve good governance the Council should achieve their intended outcomes while acting in the public interest at all times.

As overarching requirements for acting in the public interest, principles A and B apply across all other principles (C - G).

A high-level summary of the Council's local arrangements in place for 2020/21 to comply with each of the principles is set out within the Code.

Details within the Code and The Annual Governance Statement aim to provide assurance that:-

- the Authority's policies have been complied with in practice;
- high quality services are delivered efficiently and effectively;
- ethical standards are met;
- laws and regulations are complied with;
- processes are adhered to;
- Performance statements are accurate.

Principle A – Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law

- Council's [Constitution](#)
- Committee [Structure](#)
- Corporate [Plan](#)
- Code of Corporate Governance
- Codes of Conduct
- Anti-Fraud, Bribery and Corruption Policy
- Whistle Blowing Policy
- S151 Officer
- Head of paid service
- Monitoring Officer
- Executive arrangements
- Ward-based governance
- Register of Interests/Hospitality

- The Council's organisational values are underpinned by its system of internal control and governance arrangements to ensure compliance with its Code of Corporate Governance.
- The Council's Local Code of Corporate Governance as described in this Governance Statement has been reviewed in line with Cipfa/Solace Delivering Good Governance in Local Government Framework 2016 and the core principles contained in this Framework.
- Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law is acknowledged as key to the delivery of good governance and underpins the delivery of council priorities and services for the community.
- The standards of conduct and personal behaviour expected of Members and Officers, its partners and the community are defined and communicated through Codes of Conduct and Protocols within the Council's Constitution. Arrangements are in place to ensure that Members and Officers are aware of their responsibilities under these Codes and Protocols. The Monitoring Officer is responsible for ensuring that decisions are made in accordance with the Constitution.
- Elected Members are collectively responsible for the governance of the Council. Decision making and scrutiny of decisions has been separated through the executive arrangements introduced by the Local Government Act 2003.
- Ward-based governance and engagement arrangements for Councillors, multi-agency problem solving arrangements, reliable casework handling and feedback and customer insight to inform decision-making are all elements of our plans, equipping Councillors to do their job. The Councillor's toolkit can be accessed [here](#).
- The Head of Devon Audit Partnership has overall responsibility for the maintenance and operation of the whistleblowing policy. This includes monitoring the policy and maintaining a record of the concerns raised and outcomes, which will be reported to the Audit Committee in an anonymised format.
- Arrangements are in place for Members and Officers to declare gifts and hospitality and to register interest and manage conflicts of interest.

Principle B – Ensuring openness and comprehensive stakeholder engagement

- Thrive [Plymouth](#)
- Administration [Commitments](#)
- Customer complaints
- Committee meetings [webcast](#) and [agendas](#) published
- Open data information available on [website](#)
- [Plymouth City Survey](#)
- Annual Reports
- Partnerships
- Social media pages

- Ensuring openness and comprehensive stakeholder engagement is considered essential in meeting the Council's corporate ambitions and framework of values and regarded as key to effective service delivery. Communication supports the decision-making process and helps to improve service quality and foster good relationships between staff, Members and stakeholders.
- The Statement of Community Involvement provides consistent standards for involvement in decision making in the city. It sets a minimum standard for engagement and is for everybody who wants to get involved in shaping Plymouth's future.
- The Councillor-led Democratic and Community Engagement programme undertaken by the Constitutional Review Group, a cross-party group of Councillors, sets out a vision, guiding values and priorities for democratic and community engagement within wards from the perspective of the front-line Councillor.  
Partnerships including; [Safer Plymouth](#), [Safeguarding Adults partnership](#), [Plymouth Safeguarding Children's Partnership](#) continue to review its representation and broadened this to include greater community and voluntary sector representation.
- Thrive Plymouth was launched in 2014 and is our local 10 year programme to address health inequalities in the city. 'One You' campaign launched to help adults to assess the lifestyle choices they are making, to consider how those choices might impact on their health now and in the future, and to consider the steps they can take to make their lifestyles healthier. The campaign was supported locally in Plymouth, including a 12 page supplement dedicated to the campaign in the Plymouth Herald, and features through other local media outlets including local BBC television.
- The Council has a system for recording Customer Feedback which enables learning from feedback and complaints to facilitate effective monitoring of information provided by customers to review future service delivery. There is a formal process for corporate complaints as well as for Children's and Adults Statutory complaints.
- Committee meetings, including Full Council and Cabinet are webcast live and archived as part of our drive to make our decision making more open and transparent.
- As part of our commitment to be accountable and transparent we have put together a range of open data information (Data Plymouth) on the Council's website.

Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits

- The Plymouth [Plan](#)
- Plymouth Plan Annual Report
- Plymouth Plan Annual Report
- [Statement](#) of Accounts
- The Plymouth Local Care Partnership System Plan
- The Plymouth and South West Devon Joint Local [Plan](#)
- Treasury Management and Capital Strategy

- Our Corporate Plan is focused on our vision to be ‘one of Europe’s most vibrant waterfront cities, where an outstanding quality of life is enjoyed by everyone’. That means everyone working together towards our shared ambition to be a democratic, responsible, fair and collaborative city.
- The Plymouth Plan provides the strategic direction for decision making in the city. It brings together all statutory and non-statutory plans forming a holistic strategy for people and place.
- The annual report summarises how priorities have been delivered for Plymouth over the last year and details future plans for 2021/22.
- The Council uses its blue print operating model to develop more appropriate outcomes for people and more effective service delivery, standardising, simplifying and sharing wherever possible, through the Plymouth Family or wider partnerships.
- The Plymouth Local Care Partnership System Plan sets out ambitious plans to improve health and care services for people across Devon in a way that is clinically and financially sustainable.
- The Plymouth and South West Devon Joint Local Plan looks at the big issues, including where to build homes, where roads should go and how to ensure economic growth and prosperity for Plymouth residents and those living in the towns and villages of West Devon and the South Hams. We carried out a major consultation asking people where land should be set aside for homes and work and what should be protected as green space. The Joint Local Plan was submitted to the Planning Inspectorate for examination on 31 July 2017.
- Thousands of hectares of green space will enjoy protection from development through the Joint Local Plan in response to community voices which have strongly influenced what appears in the final version of the Plan.



Principle D – Determining the interventions necessary to optimize the achievement of the intended outcomes

- Medium Term Financial [Strategy](#)
- Business Planning
- [Cabinet](#)
- Overview and Scrutiny [Committees](#)
- Performance and Accountability Framework
- Corporate Plan Performance [Reports](#)
- Key Performance Indicators
- Service Standards
- Portfolio Holder meetings
- [Complaints](#) procedure
- Audit [reports](#)

- The Medium Term Financial Strategy (MTFS) sets out how the Council will finance the priorities for the Council, having regard to the Plymouth & South West Devon Joint Local Plan and the Corporate Plan. The MTFS is updated each year, includes a risk assessment of budget option and is agreed by Full Council.
- The system of internal financial control is based upon a framework of regular management information, financial regulations, Contract Standing Orders, administrative procedure and a structure of delegation and accountability.
- The Section 151 officer, as documented in the Constitution, has responsibility for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts and maintaining an effective system of internal financial control.
- Cabinet is our main decision making body, made up of the Leader of the Council and a number of Councillors.
- The scrutiny function is delivered through the Overview and Scrutiny Committees. Scrutiny provides an important check and balance within the governance system on the decisions of Cabinet and the Leader and acts as a 'critical friend' to the Cabinet and other decision makers in order to promote better services, policies and decisions.
- The Corporate Fraud Team fulfils the Council's statutory obligation to ensure the protection of public funds and to have an effective system of prevention and detection of fraud and corruption.
- Key performance indicators are used to track performance of the Council's priorities as outlined in the Corporate Plan.
- Service Standards have been implemented across the Council to improve the way we listen and respond to our customers.
- Internal Audit partners undertake an annual review of audits to identify key themes, themes that are considered for action by Corporate Management Team. This is considered good practice.

Principle E – Developing the entity’s capacity, including the capability of its leadership and the individuals within it

- Organisational Design
- Smart working
- People Strategy
- Annual staff survey
- Annual Staff ‘Star Awards’
- eLearning
- Councillor Development Programme
- Apprenticeship Programme
- Management Driving Licence eLearning Package
- Staff performance discussions
- Staff Wellbeing and Resilience Survey

- An Organisational Design process is being followed to shape the organisational structure and ensure its alignment to the purpose of the Council and the context in which it operates.
- The Smart Working project is defining opportunities for smarter ways of working for various roles within the Council. This will define the organisations future accommodation and ICT infrastructure needs.
- An organisation wide transformation project has been mobilised to deliver the outcome to ‘create new ways of working’, this project is called ‘The Way We Work’.
- Digital Services is now fully owned and operated from within the Customer and Corporate Directorate and is continuing to improve digital activities for customers and staff through website improvements, digital processes and workflows created and improved reporting mechanisms being used.
- The Commercial Finance team are developing proposals to allow the Council to operate in a more commercial way.
- Opportunities for new income streams are reviewed regularly by all services. Additional income has been generated through the Asset Investment Fund and by generation of new revenue rental streams.
- The Capital Programme is actively seeking to increase its property portfolio.
- Our People Strategy is our high level medium term plan for how we will provide a motivated, engaged and skilled workforce focused on meeting the needs of the citizens of Plymouth.
  - Annual staff survey
  - Management Fundamentals Training Programme
  - Annual Staff ‘Star Awards’
  - Induction training carried out for new Members and employees
  - E-Learning utilized
  - Councillor Training Programme
  - Apprenticeship Programme
  - Management Driving Licence (compulsory E-Learning to be completed by all current managers and available for aspiring managers)

Principle F – Managing risks and performance through robust internal control and strong public financial management

- Performance and Accountability Framework
- Corporate Plan performance report
- Corporate Plan performance report
- Departmental Performance Scorecards
- Risk and Opportunity Strategy
- Strategic Risk Register
- Operational Risk Register

- The Council consider and counter risk across a broad range of areas. An approved Risk Management Strategy and Policy and guidance are available for staff on the Council's website together with E-Learning.
- Risks are formally reviewed and monitored quarterly by the Corporate Management Team and reported to the Audit Committee.
- An Operational Risk Management Group with representation from each directorate meet at least quarterly to oversee and review the risk management process and development of the Council's approach to risk.
- Risks to planned outcomes are considered as part of the business planning process.
- Alignment of risk information with performance management has been improved this year with strategic risk updates now being included within operational performance reports, scrutinised monthly by services.
- A Joint Integrated Commissioning Risk Management Framework has been developed with Devon Clinical Commissioning Group (CCG) to support our joint co-operative commissioning approach.
- Information Lead Officer Group direct work streams within the overall governance of information assets and the Management of Information Security Forum ensure there is clear direction and visible management support for security initiatives.
- Risks that threaten the health, safety and wellbeing of employees and other people using Council premises are monitored by the Health, Safety & Wellbeing Steering Group via HSW risk register.

Principle G – Implementing good practices in transparency, reporting and audit to deliver effective accountability

- The Devon Audit Partnership Internal Audit Plan
- External Audit
- The Audit and Governance Committee
- Overview and Scrutiny Committees

### **Internal and External Audit**

The Devon Audit Partnership (DAP) has been formed under a joint committee arrangement comprising of Plymouth, Torbay and Devon Councils. DAPs Internal Audit Plan is based on the high risks reported within risk registers and is presented to and approved by the Audit Committee in March. The plan is published on the Council's website with the Audit Committee agenda. The Council's arrangements for providing economy, efficiency and effectiveness are reviewed by the external auditors on an annual basis. Their Annual Report provides a summary of the activity undertaken during the year. They also review the Annual Governance Statement.

### **Audit and Governance Committee**

An effective Audit Committee is in place whose purpose is to provide independent assurance of the adequacy of the internal control environment, and to oversee the financial reporting process. The Committee has two independent members and a vacancy for one other.

The Audit Committee monitor and review the Council's corporate governance arrangements, financial reporting, internal control system, risk management system and internal and external audit functions. In line with good practice, Audit Committees should assess their effectiveness annually.

### **Overview and Scrutiny Committees**

The scrutiny function is delivered through the Overview and Scrutiny Committees, and is another way to monitor audit reviews and associated recommendations. The Overview and Scrutiny Committees are;

Brexit, Infrastructure and Legislative Change

Education and Children's Social Care

Health and Adult Social Care

Performance, Finance and Customer

Scrutiny Management Board

## Key Governance and Delivery Areas

Overall we can confirm that the Council has the appropriate systems and processes in place to ensure good governance is maintained. Whilst we are satisfied that these work well, reviews have identified the following governance issues and key delivery areas of concern. These are areas of concern that may impact on our governance structures. These are presented alongside an assurance statement on how we will manage the issues raised.

Governance Issue	Lead Officer	Assurance Statement	Reporting Through
<p><b>1) External Auditor Review</b></p> <p>As the Council's external auditors, Grant Thornton have a responsibility to satisfy themselves that 'the authority has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources' [Local Audit and Responsibility Act 2014]. In delivering this responsibility, Grant Thornton identified two transactions that the Council undertook in October 2019 and April 2020 where the governance arrangements were deemed appropriate for review.</p> <p>The transactions identified were the reduction of the Council's pension deficit via the special purpose company transaction, a decision made in October 2019 and an interest rate swap with Santander Bank, a decision made in April 2020.</p> <p>At the highest level, Grant Thornton's findings with respect to the pension deficit transaction are that, whilst some aspects of the governance process did operate appropriately, in overall terms the governance arrangements did not adequately support informed decision making. Grant Thornton do not aim to suggest that innovative and unusual transactions</p>	<p>Service Director for Finance</p>	<p>In the Action Plan contained within the Governance Review, Grant Thornton have made eleven recommendations to the Council to enhance and improve governance arrangements for future transactions of this kind, and which will be of broader benefit to the Council in terms of overall governance of decision making.</p> <p>The Council has carefully considered all of the recommendations in the Action Plan, and has produced a management response to each, where it has set out the actions that will be taken to address the issues raised, and the date by which the actions will be completed. All actions have deadlines for completion by October 2021, i.e. within twelve weeks of the publication of the review.</p>	<p>Cabinet Audit and Governance Committee Corporate Management Team</p>

<p>should not be undertaken, but that in these situations governance arrangements should be strengthened. With respect to the interest rate swap, Grant Thornton's findings are that the decision to engage in the transaction was an innovative and unusual matter and as such should not have been managed solely as part of everyday treasury management activities.</p>			
<p><b>2) Internal Audit Key Themes</b> Plymouth City Council asked its internal auditor Devon Audit Partnership to undertake a review of audits undertaken in 2020/21. The key governance themes identified were Ownership and Responsibilities and the Relationship between the Council and key service providers.</p>	<p>Corporate Management Team</p>	<p>A review of audit findings to identify key themes is done annually. This is to allow the Council to focus on key governance themes identified.</p>	<p>Cabinet Audit and Governance Committee Corporate Management Team</p>
<p><b>Key Delivery Area</b></p>	<p><b>Lead Officer</b></p>	<p><b>Assurance Statement</b></p>	<p><b>Reporting Through</b></p>
<p><b>4) Homelessness</b> Impact of COVID-19 and how this will effect homelessness in the short/medium and long term. Continued implementation of Homelessness Reduction Act leading to demand increases, Changes to Houses of Multiple Occupancy legislation again leading to demand increases and ability to meet statutory timescales</p>	<p>Service Director for Community Connections</p>	<p>Community Connections business plan, delivery plans and the Homelessness Prevention Partnership, which is a multi-agency partnership group look to mitigate risks and help to manage any demand increase.</p>	<p>Cabinet Performance, Finance and Customer Scrutiny Committee People Improvement Board Homelessness Executive Group</p>

<p><b>5) Health and Social Care System</b></p> <p>COVID-19 has had a significant impact on the whole health and care system and has required services and their attached workforce to manage a new level of demand and risk. The health and care system is now dealing with unprecedented levels of demand as the longer term impacts of multiple lockdowns are being felt. This is being managed with a depleted workforce with high number of staff leaving care roles, sick or being restricted through government guidance</p> <p>Principal risks at this stage are likely to be demand management, health outcomes, expectation management, and financial sustainability of the provider market and increased cost of meeting this new level of demand. This level of risk will increase significantly dependent on the severity of further waves of the COVID-19 pandemic.</p> <p>The lasting impacts of the COVID-19 pandemic have increased the risk of financial viability issues with contracted providers.</p>	<p>Service Director for Strategic Co-operative Commissioning</p>	<p>The Plymouth Local Care Partnership System Plan 2021-24 “Together for Plymouth” reinforces the collective intent for collaborative working to solve some of the deep-rooted challenges we face and to create a step change in system transformation.</p> <p>Comprehensive Budget delivery plans are in place and continue to be reviewed in the light of significant changes across the health and care system.</p> <p>There remains a range of preventative services in place to help manage demand and Caring for Plymouth programme continues to be developed, in line with other Local Care Partnership priorities, to enhance voluntary sector support to release capacity within statutory services.</p> <p>Contract monitoring, joint approaches between commissioners and the Integrated Provider are in place to manage the risk of people waiting for care. Quality Assurance provider forum in place to help manage the market which has developed further to align other partners including University Hospitals Plymouth and Livewell Southwest to deliver a co-ordinated support offer in response to COVID-19.</p> <p>Comprehensive response plans are in place between commissioners and all providers that can be rapidly stood back up to manager further waves of the pandemic.</p> <p>A risks share is in place around pooled budget with the Devon CCG.</p>	<p>Cabinet</p> <p>Health and Adult Social Care Overview and Scrutiny Committee</p> <p>People Improvement Board</p> <p>Local Care Partnership</p>
---	--	---	--

		Re risk to providers – Commissioners across PCC and NHS Devon CCG are working closely with providers identified to be at risk of these issues to understand the level of risk, support them to manage this position and passport through short term investment via the Infection Control Fund from Central Govt.	
<p><b>6) Community Safety</b></p> <p>Delivery of Statutory Community Safety Partnership requirements via Safer Plymouth. Performance management of crime targets. Strategic Crime Assessment and management of demand and priorities.</p>	Service Director for Community Connections	New Governance arrangements are supported by new priorities. A new outcomes framework will give assurance around delivery and give oversight of performance. Refreshed commissioning plan for Safer Plymouth supports delivery across the partnership. Exec group supported by theme leads and delivery plans guide delivery.	<p>Cabinet</p> <p>Performance, Finance and Customer Overview and Scrutiny Committee</p> <p>Safer Plymouth Partnership Board</p> <p>People Improvement Board</p>
<p><b>7) Children’s Social Care</b></p> <p>The Children, Young People and Families Service is facing three main risks to its delivery of services. These are;</p> <ul style="list-style-type: none"> <li>- Difficulties in recruitment and retention of experienced social workers to support complex cases in the service</li> <li>- Ensure sufficient Social Workers to meet additional demand arising since the beginning of the COVID-19 pandemic in 2020</li> <li>- Placement Sufficiency is a challenge relating to children in care in terms of rising costs and scarcity of resource in light of increasing</li> </ul>	Service Director for Children, Young People and Families	Issues raised and mitigation measures are being overseen by a number of Council and Multi-agency groups. These include Departmental and Directorate Management teams, the Corporate Parenting Board, Plymouth Safeguarding Children’s Partnership and a Council Safeguarding Assurance Board, chaired by the leader of the Council.	<p>Cabinet</p> <p>Education and Children’s Social Care Overview and Scrutiny Committee</p>



<p>numbers of children in care. This is exacerbated by the change to the law from September 2021 whereby the placement of children under the age of 16 years of age in unregistered settings will become illegal.</p>			
<p><b>8) Use of Vibration Tools</b></p> <p>Ensuring the Council meets its legal and regulatory health and safety duties under the Control of Vibration at Work Regulations 2005 and the Health and Safety at Work Act 1974 Section 2, following an Improvement Notice served by the Health and Safety Executive (HSE). The HSE Improvement Notice was lifted in April 2019. We await decision on potential action which may be taken by the HSE relating to the exposure of employees to vibrating equipment.</p>	<p>Service Director for Street Services</p>	<p>A review of risk assessments and safe systems of work has provided a system of robust oversight and management controls to ensure that HAV VECS calculations are operational to monitor exposure. To provide assurance that controls are sustained, an audit was conducted and revised performance standards across the service implemented. The Head of Health, Safety and Wellbeing Assurance will continue as a key business partner on the Street Services Working Group.</p>	<p>Health, Safety and Wellbeing Programme Board;</p> <p>Street Services Health, Safety and Wellbeing Board and Working Groups</p>
<p><b>9) Finances</b></p> <p>The Council maintains a medium term financial plan on a rolling basis and this is indicating a potential budget shortfall of £20m in 2022/23 with additional shortfalls in years following.</p> <p>Despite a challenging year due to the Pandemic, in 2021/21, the Council delivered a small overspend of £0.6m on business as usual activities against a gross budget of £514m.</p> <p>Plymouth received Government grants to support expenditure incurred and income lost through the Pandemic which were used to support a range of public health interventions.</p> <p>The Council faces the prospect – along with the Local Government sector in general – of additional costs relating to the Pandemic continuing in financial years 2021/22 and 2022/23.</p>	<p>Service Director for Finance</p>	<p>The Council has an embedded and robust process for compiling its annual budget and – as in previous years – it is expected that this will enable proposals to be brought forward and agreed to offset the expected shortfall.</p> <p>The Council has deployed judiciously available Government grants provided to offset the additional costs of the Pandemic.</p> <p>In addition the Council has paid through the Pandemic over £92m of Government grant in support of businesses with the City.</p> <p>In 2021/22 the Council – alongside with the sector in general – set aside relevant Government grants to offset these additional expenditures. Beyond 2021/22 the reducing levels of such expenditure have been included where needed have been included in the medium term financial plan.</p>	<p>Cabinet</p> <p>Performance and Finance Overview and Scrutiny Committee</p> <p>Corporate Management Team</p>

<p><b>I0) Impact of COVID-19 emergency and new ways of working</b></p>	<p>Corporate Management Team</p>	<p>Regular updates via Local Outbreak Management Plan Corporate Emergency Management Team meeting twice weekly Weekly COVID-19 performance reports Workforce Bureau to manage and maintain workforce capacity</p>	<p>Corporate Management Team</p>
<p><b>I1) Impact on health and wellbeing of workforce from responding to COVID-19 emergency and new ways of working</b></p> <p>The COVID-19 response required rapid implementation of working at home policies and safe systems of working to enable continued delivery of essential services to our residents and communities. The impact on health and wellbeing of the workforce remains a priority as we move towards the renewal and recovery phases.</p>	<p>Service Director Human Resources &amp; Organisational Development</p>	<p>We have prioritised essential services and designed safe systems of work.  Staff Pulse survey.  Wellbeing Champions in place. Regular staff communications.</p>	<p>Health, Safety and Wellbeing Programme Board  Corporate Management Team</p>
<p><b>I2) Information Governance</b></p> <p>The Council processes a lot of sensitive information on behalf of the people in Plymouth who need to be confident that we protect that information appropriately.</p> <p>The largest change to Data Protection legislation in 20 years was introduced to the UK during 2018. The changes introduced additional pressures on the Council as it resulted in reduced timescales for information rights requests, an increase in the volume of requests received and a much wider range of tasks that needed to be completed to ensure compliance with the Data Protection Act under business as usual.</p> <p>The Council is coming under increasing scrutiny from the public over how we handle their data, with an</p>	<p>Senior Information Risk Owner / Information Governance Manager</p>	<p>Detailed data breach management process in place to ensure reduction in breaches and reduced risk of receiving fines from the Information Commissioners Office.</p> <p>Monitoring of all information requests made to the Council, with necessary reprioritisation and escalation.</p> <p>Data Protection Impact Assessments (DPIA) embedded into Council processes, ensuring any risks are reduced or mitigated before data is processed.</p> <p>Appropriate agreements signed with partners who share / receive personal information.</p> <p>Contracts with suppliers assessed to ensure compliance with the Data Protection Act.</p>	<p>Audit and Governance Committee  Corporate Management Team  Information Lead Officers Group</p>

<p>increase in members of the public complaining about any breach of their data both directly to the Council and to the Information Commissioners Office.</p> <p>In addition there is an increased national risk of Cyber-attacks to local authorities, as a result of two being severely disrupted during 2020, as they lost access to the majority of their data.</p>		<p>Annual cyber accreditation for access to government data via the Public Services Network (PSN) and accreditation to The National Cyber Security Centre's Cyber Essentials scheme.</p>	
---	--	--	--