

Row No.	RISK REF	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING		RESIDUAL RISK RATING		RESIDUAL RISK RATING		RESIDUAL RISK RATING		CHANGE IN RISK SCORE	COMMENTS	LEAD OFFICER				
			March 05		April 06		Dec-06		Jul-07								
			*P	*I	*P	*I	*P	*I	*P	*I							
1	50	Structural condition of properties on North Prospect Estate					New		5	5	25	Red	Solution required to the significant structural problems identified on the estate. Strategic Urban Futures appointed to work with residents on the estate. Estimated £20m to deal with structural issues on council owned properties.	Clive Turner / Andrew Cobb			
2	47	Concessionary Fares					New		4	5	20	Red	Significant budget pressure point due to projected overspend due to reimbursement rates to operators. Legal challenges to the Council's Concessionary Fares Scheme may further exacerbate the financial implications.	Nigel Pitt/Chris Sane			
3	35	Housing stock transfer options.	3	5	15	3	5	15	4	5	20	4	5	20	Red	Housing stock transfer has been identified as the most realistic means of meeting decent homes standard within a realistic timescale. Project Director, Manager and Group identified. Project plan and risk register in place & regularly reviewed.	Clive Turner / Gary French / Frances Turner
4	43	Risk of exceeding Landfill Allowances				New			4	5	20	4	5	20	Red	The risk of exceeding our LATS allocation from 2009/10 onwards remains although the scale of exposure has been reduced by good recycling and waste minimisation performance and some LATS credit purchase.	Nigel Pitt / Mark Turner
5	23	Pay & Reward Strategy (Job evaluation, equal pay, workforce capacity, recruitment & retention).	5	4	20	5	4	20	5	4	20	5	4	20	Red	In excess of 1400 analyst interviews now completed. Pay negotiations have commenced in a changing legal climate and extended discussions with trade unions have meant a delay in implementation of JE project until February 2008 - therefore no change to score.	Gill Martin
6	08	Business continuity planning in line with Civil Contingencies Act 2004 statutory responsibilities.	4	5	20	4	5	20	4	5	20	4	5	20	Red	Specialist BCP consultant appointed to assist Steering Group with gap analysis by end of September. Business Impact Analysis to be carried out in November with target date of March 08 for production of plans.	Giles Perritt / Scott Senior
7	49	Listing of Civic Centre							New			4	5	20	Red	Potentially significant cost implications for refurbishment/disposal options which are being reviewed with support of QC and specialist advisers.	Nalin Seneviratne / Andrew Jarrold
8	21	MTPF issues.	4	5	20	4	5	20	4	5	20	4	5	20	Red	Gershon savings on target. Budget monitoring in place. Budgetary Control Project Phase 1 implemented and Phase 2 planned. Business planning for next 3 years commenced. Internal Service Review Programme - planned focus on VFM issues.	Adam Broome
9	45	Financial and liability implications of significant partnership arrangements				New			4	5	20	4	5	20	Red	Agreements for significant partnerships subject to regular on-going review, eg. LSP Delivery Plan, DRCP Accountable Body Review, Risk Registers in place for Local Area Agreements, NRF and SSCF. Internal control systems reviewed as part of Group Accounts process.	Adam Broome and relevant Director
10	48	Taxi Licensing							New			4	4	16	Orange	Proposed fees increase report going to Licensing Committee to introduce new fees from Nov 07. Annual review of fees thereafter to bring account back into balance within 3 years.	Nigel Pitt / Robin Carton
12	46	Information Governance - compliance with statutory requirements, information sharing Internal & External				New			4	4	16	4	4	16	Orange	There is scope for change over the next 12 months as ICT has allocated funds for temp staff to undertake an audit of our information asset as a springboard for whole system development (although this is on hold due to the JE process.)	Neville Cannon / Richard Woodfield
11	42	Health & Safety Management.				New			4	4	16	3	5	15	Orange	H & S cross-cutting issue for 2007/08 Service Planning. New corporate H & S policy implemented. Corporate Health, Safety & Wellbeing Action Plan in place. Nominated Director for H & S appointed.	Louise Turner

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13	36	Management of Employee Stress	3	5	15	3	5	15	3	5	15	3	5	15	—	Revised stress policy to be implemented 1st October 2007.	Louise Turner
14	24	Violence to staff/lone working.	4	5	20	3	5	15	3	5	15	3	5	15	—	Revised violence and aggression policy to be implemented 1st October 2007 and new Loneworking Performance Standard to be implemented 1st October 2007.	Louise Turner
15	13	Asbestos management arrangements.	3	5	15	3	5	15	3	5	15	3	5	15	↘	Asbestos Policy requires Corporate implementation. PIC training being organised. Technical training of surveyors completed. Initial awareness sessions completed.	Adam Broome / Nalin Seneviratne / Dave Pollock
16	31	Replacement of HR / Payroll System.	3	4	12	3	5	15	3	5	15	3	5	15	—	Phase 1 delivered - EHR Team now working on preparation of the Payroll aspect of the system to support the introduction of new pay and grading arrangements following Job Evaluation. This will delay Phase 2.	Adam Broome / Gill Martin
17	34	Schools PFI.	3	5	15	3	5	15	3	4	12	3	4	12	—	Project risk register in place with significant risks reported to Project Board. Financial close successfully achieved 27.03.07.	Martin Pollard / John Cremins
19	41	Local Area Agreement development and delivery.	New			3	4	12	3	4	12	3	4	12	—	Score unchanged - awaiting monitoring information.	Karen Kay
18	30	Overall IT strategy/resources/current systems.	3	5	15	3	5	15	3	4	12	3	3	9	↘	Unix hardware installed and first applications migrated. Slow Speed Storage Area installation almost complete. 1200 PCs scheduled for replacement from September 07. Data migration to SAN completed. Service now almost fully operational to ITIL standards.	Neville Cannon
20	14	Fraud	2	5	10	2	5	10	2	5	10	2	5	10	—	Internal Audit Fraud Manual developed for auditors - launched 11/07/07. Whistleblowing Policy currently being reviewed by IA. Fraud Awareness Training for Officers & Members to be developed.	Adam Broome / Sue Watts
21	19	Having no means of waste treatment & disposal.	4	5	20	4	5	20	2	5	10	2	5	10	—	Chelson Meadow will remain open until March 2008 and the interim landfill contract is being mobilised for March 2008 start. The refuse transfer station construction is nearing completion and the long-term treatment solution procurement has commenced.	Nigel Pitt / Steve Moore
22	26	Service to children at risk as assessed by Commission for Social Care Inspection.	4	5	20	4	5	20	4	5	20	2	5	10	↘	CSCI Action Plans all implemented. Improvements identified in JAR inspection implemented.	Bronwen Lacey / Mairead MacNeil / Linda Jones
23	32	Benefits / Council Tax System.	3	4	12	3	4	12	3	3	9	3	3	9	—	Installation of core system completed early August. Upgrade to latest version of DIPS system further delayed until Oct 2007 due to build-up of work over year end.	Adam Broome / Gary Edwards
24	25	Management of independent sector residential market.	4	4	16	3	3	9	3	3	9	3	3	9	—	No significant change - to be reviewed in October 07.	Clive Turner / Pam Marsden
25	10	Civil Emergencies.	3	3	9	3	3	9	3	3	9	3	3	9	—	Training underway for CMT and Key Respondants. Validation of plan commenced. Devonport off-site emergency plan completed.	Giles Perritt / Scott Senior

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26	33	Schools re-organisation.	3	4	12	3	4	12	3	3	9	3	3	9	—	No changes reported.	Bronwen Lacey / Verity Jones / Linda Jones
27	44	Financial & liability implications of Members & Officers serving on Outside Bodies.				New			3	3	9	3	3	9	—	Register of Outside Bodies maintained and updated. Insurance cover in place in line with Local Authorities (Indemnities for Members and Officers) Order 2004.	David Shepperd
28	40	Failure to deliver LDF programme and to satisfy "test of soundness".	New			3	4	12	3	4	12	2	4	8	↘	From 362 planning authorities now working on creating development frameworks only seven area action plans have been approved by the planning inspectors and three belong to Plymouth. Plymouth is also first major urban area to have core strategy accepted as "sound" by inspectors.	Nigel Pitt / Jonathan Bell
29	22	Absence management.	3	3	9	3	3	9	3	3	9	2	3	6	↘	BVPI 1.2 2006/07 recorded absence levels at 8.2 days per fte which was on target. This figure has been reducing over the last three years and demonstrates the organisation is currently managing absence effectively and in line with Council Policy.	Gill Martin
30	06	Procurement practice.	3	4	12	2	4	8	2	3	6	2	3	6	—	Review of Contract Standing Orders and corporate frameworks for works contracting complete. On-going programme of letting Corporate Contracts. Audit procurement projects to be undertaken by Autumn 07.	John Cremins
31	01	Internal communication.	4	3	12	4	2	8	2	3	6	2	3	6	—	Regular newsletters published for past three years plus Staff Room Intranet site re-launched in 2006 and Handbook sent to all managers. Monthly Team Briefings launched in September 2006. Internal Communications Framework launched as part of Organisational Development Strategy. Regular management conferences (Team Plymouth and SMT).	Richard Longford
32	16	Decision making process.	2	3	6	2	3	6	2	3	6	2	3	6	—	Scheme of Delegation to be reviewed.	David Shepperd
33	28	Looked after children service.	3	5	15	3	5	15	2	5	10	2	3	6	↘	Foster Care Service reconfiguration completed. Placement Panel Working Group operating effectively.	Bronwen Lacey / Mairead MacNeil / Linda Jones

* P = Probability Rating (1 = Low, 5 = High)
 * I = Impact Rating (1 = Low, 5 = High)
 Maximum Score 5 x 5 = 25
NB. Risks scored 12 or above will be the subject of priority monitoring