

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Appendix B

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
01	<b>Internal Communication</b>	<b>Lack of understanding of objectives, targets and priorities</b>	<b>5</b>	<b>4</b>	<b>20</b>	<b>Cllr Delia Ford, Corporate Communications Manager, Richard Longford</b>	<b>Internal Comms. Task &amp; Finish Group Staff Newsletter. Team Briefings. Team Plymouth Management Conferences. Corporate Management Forum. Staff Room page on Intranet Chief Exec &amp; Leader bulletins</b>	<b>2</b>	<b>3</b>	<b>6</b>
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>			
<b>Corporate Objective – Improving our capacity to deliver together</b>										
Risk Ref	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>Staff survey to gauge staff motivation/knowledge of vision &amp; objectives and how well the organisation is communicating. Monthly magazine to be re-launched in Dec 2006.</b>  <b>Internal communications framework/Communications strategy.</b>						<b>Est. cost if done externally – £8 – £10K Not enough budget to provide printed copy to staff without pcs.</b>			

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
06	Procurement Practice	<p>Failure of Partner/Contractor</p> <ul style="list-style-type: none"> <li>• Financial</li> <li>• Performance</li> <li>• Compliance</li> </ul> <p>Schemes not delivered on time or over budget. Damage to reputation. Failure of PFI contracts.</p>	3	5	15	Cllr Delia Ford, Head of Strategic Procurement – John Cremins	<p>Best Value Review – procurement. Revised Procurement Strategy. Financial Regulations / Standing Orders. Appointment of Head of Strategic Procurement. New framework Contracts covering the municipal &amp; school estate established. 85% of top 100 suppliers influenced by Strategic Procurement Unit. Standard terms &amp; conditions adopted by council on website. Monthly monitoring of suppliers established. Project Boards established for 10 major projects. Contract Standing Orders</p>	2	3	6	
<p><i>Links to Corporate Plan:</i></p> <p><b>Corporate Objective – Improving our capacity to deliver together</b></p>							<p><i>Link to Service Plan Objectives:</i></p>				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	

	<p><b>Procurement training programme – 70 staff trained, schools module to be delivered April 2007. Contract Management training to be delivered in Autumn 2007. Audit on procurement projects to be undertaken Autumn 2007.</b></p>				
--	--	--	--	--	--

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>	
08	<b>Business continuity planning.</b>	<b>In event of denial of access to key premises, major disruption to service. Financial impact – increased cost of working. Damage to reputation.</b>	<b>5</b>	<b>5</b>	<b>25</b>	<b>CLlr Delia Ford Head of Continuous Improvement, Giles Perritt Civil Protection Manager, Scott Senior</b>	<b>Mainframe software &amp; data backed up &amp; stored off-site. Civic Centre Disaster Recovery Plan in draft. Prince Rock Disaster Recovery Plan in place. Appointment of BC champion and project team. All critical services identified and approved. Strategic BC plan &amp; 6 dept. plans 60/70% complete.</b>	<b>4</b>	<b>5</b>	<b>20</b>	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
<b>Strategic Objective – Maintaining a clean and sustainable environment Corporate Objective – Improving our capacity to deliver together</b>											
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	
	<b>New project team to be formed with a view to appointing support consultants.</b>							<b>3</b>	<b>3</b>	<b>9</b>	

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
10	Civil Emergencies.	Incidents such as flooding, storms, fire in nightclub, terrorist attack/nuclear fall-out.	3	5	15	Cllr Delia Ford Head of Continuous Improvement, Giles Perritt Civil Protection Manager, Scott Senior	Emergency Planning Unit. Suspicious packages advice. Staff awareness training. Chevron Ltd off-site plan complete and in operation. ConocoPhillips Ltd off-site plan complete. Training for CMT & Key Respondants. Devonport off-site emergency plan.	3	3	9	
<p><i>Links to Corporate Plan:</i></p> <p><b>Strategic Objectives - Improving health and well-being</b></p> <ul style="list-style-type: none"> <li>- Promoting Community Safety</li> <li>- Maintaining a clean and sustainable environment</li> </ul>							<p><i>Link to Service Plan Objectives:</i></p>				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
13	<b>Asbestos Management Arrangements</b>	<b>Prosecution under asbestos legislation – HSE. Direct action via public or other organisations. Failure in duty of care to employees. Damage to reputation.</b>	<b>5</b>	<b>5</b>	<b>25</b>	<b>Cllr Ian Bowyer, Director of Corporate Resources, Adam Broome Head of Asset Management, Nalin Seneviratne</b>	<b>Officer expertise. New Policy written &amp; presented to Corporate Health &amp; Safety Committee/CMT – and now being implemented. Technical Training of surveyors completed. Asbestos surveys of PCC Corporate properties complete.</b>	<b>3</b>	<b>5</b>	<b>15</b>	
<i>Links to Corporate Plan:</i>  <b>Strategic Objectives –</b> <ul style="list-style-type: none"> <li>- Improving health and well-being</li> <li>- Promoting Community Safety</li> <li>- Maintaining a clean and sustainable environment</li> </ul>							<i>Link to Service Plan Objectives:</i> <b>Statement for Asset Management in place.</b>				
Risk Ref	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	
	<b>PIC (Duty Holder) Training being organised. Roll out awareness sessions to Team Plymouth/CMF.</b>										

**PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE**

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>	
<b>14</b>	<b>Fraud</b>	<b>Misappropriation of Council Resources. (not always financial).</b>	<b>5</b>	<b>5</b>	<b>25</b>	<b>Cllr Ian Bowyer, Director for Corporate Resources – Adam Broome, Chief Auditor – Sue Watts</b>	<b>Financial Regulations. Standing Orders. Prosecution deterrent. Internal Checks/controls. Scheme of delegation. Internal Audit. External Auditors. Whistle-blowing Code. Fraud/Corruption Response Plan. National Fraud Initiative. Bank reconciliation. IT Firewall. IT security/passwords. IA Fraud Manual HB Fraud Team</b>	<b>2</b>	<b>5</b>	<b>10</b>	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
<b>Corporate Objective – Providing excellent and efficient services</b>											
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
16	<b>Decision making process</b>	<b>Financial cost. Judicial reviews/Legal challenges. Demands on legal and service department time. Loss of reputation.</b>	4	3	12	<b>Cllr Vivien Pengelly, Head of Legal Services – David Shepperd &amp; appropriate Head of Service</b>	<b>Complaints procedures. Ombudsman. Legal process. Mediation. Council policy of open and honest response to complaints. Constitutional Rules &amp; Procedures in relation to decision making.</b>	2	3	6
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>			
<b>Corporate Objectives – Improving our capacity to deliver together</b>										
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>New Financial Regulations &amp; Contract Standing Orders to be adopted. Delegation Scheme to be reviewed. Portfolio Holders delegated powers clarified. Review Officer delegated decision making procedures.</b>									



## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>	
19	<b>Waste Treatment &amp; Disposal</b>	<b>Substantial increased financial costs of waste disposal. Potential fines.</b>	5	5	25	<b>Cllr Michael Leaves, Director of Development, Nigel Pitt</b>	<b>Consultancy on future treatment &amp; disposal options. Waste transfer station. Extension to Chelson Meadow secured with Environment Agency Approval to March 2008. Alternative landfill disposal contract due to commence in Feb 2008 for 7 years.</b>	2	5	10	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
<b>Strategic Objective – Maintaining a clean and sustainable environment</b>											
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	
	<b>Contingency arrangements being considered re: alternative disposal options. Potential waste sites reviewed &amp; identified in LDF document – potential treatment options being considered.</b>						<b>Significant capital and/or revenue costs.</b>				

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>	
21	MTFP	Failure of Budget Forecasting/targeting of budget to service priorities. Budget variance. Failure to deliver corporate objectives. Ineffective service planning.	4	5	20	Cllr Ian Bowyer, Director of Corporate Resources, Adam Broome	Budget monitoring process. Medium Term Financial Plan Project. Capital Strategy. Asset Management Plan. Capital & Procurement Board to meet monthly. 18 priority workstreams being monitored by CMT Monitoring reports presented to Cabinet and Scrutiny every two months.	4	5	20	
<i>Links to Corporate Plan:</i>  Corporate Objective – Providing excellent and efficient services							<i>Link to Service Plan Objectives:</i>				
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	
	Link to Strategic & Operational Risk Registers. 18 Priority Workstreams to be monitored by CMT.						Contained within existing budget. Unknown at this stage.	3	3	9	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/ Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
22	<b>Absence management</b>	<b>Lack of productivity. Poor morale. Impact on service delivery. Financial cost.</b>	4	3	12	<b>Cllr Delia Ford, Head of Human Resources, Gill Martin</b>	<b>Managing absence procedures. New Managing Attendance Policy. Monthly monitoring of absence levels. Training Strategy. Muscular-skeletal Project Plan Implementation of new HR IT System Intro. Of “Manager Self-Service” (access to absence stats.) Counselling service in place. New Occupational Health provide in place and contract monitoring set up.</b>	2	3	6
<i>Links to Corporate Plan:</i>  <b>Corporate Objective – Improving our capacity to deliver together</b>							<i>Link to Service Plan Objectives:</i>			
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>Review of Managing attendance policy due in 2007 to ensure relevance. Enhanced sickness statistic reporting from new E.H.R system to be implemented – project team required.</b>									

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
23	<b>Pay &amp; Reward Strategy (Job evaluation, equal pay, workforce capacity, recruitment &amp; retention).</b>	Impact on service delivery. Impact on achievement of corporate objectives. Failure to modernise. Ineffective use of human resources. Inappropriate deployment of staff - Surplus capacity in one area and shortage in others. Impairment of service delivery. Financial cost. Lack of workforce briefings. Failure to comply with legislation. Impact on service delivery. Loss of reputation. Increased stress/absence. Impacts on staff morale & retention.	5	5	25	Cllr Delia Ford, Head of Human Resources – Gill Martin	People Strategy & Action Plan. Introduction of Competency Framework for Social Workers. Use of agency staff in some areas. Outsourcing of work and recruitment overseas in some cases. South West Peninsula Working Party developing proposals for recruitment & retention of Social Workers. CMT Objectives. Experienced Manager Programme. HR Restructure to provide capacity for New People Strategy. Introduction of Corporate Appraisal System. Job Evaluation Scheme Equal Pay Organisational Development Strategy. Progress mapped at head officer group, CMT and Cabinet.	5	4	20	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
<b>Corporate Objective – Improving our capacity to deliver together</b>											
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	

	<b>Action plan focused on national pay and workforce strategy requirements.</b>				
--	---	--	--	--	--

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
24	Violence to staff / lone working.	EL Claims. Injuries to staff. Higher absence levels.	5	5	25	Cllr Delia Ford, Assistant Head of Human Resources, Louise Turner	Violence & Aggression policy. Revised H & S Policy to be implemented. H & S Project Plans. Risk Assessments. Corporate Health, Safety & Welfare Committee. Quarterly information exchange days with trade unions. 133 employees trained for period 1/10/05 – 30/09/06.	3	5	15
Links to Corporate Plan:  <b>Strategic Objective – Improving health and well-being</b>							Link to Service Plan Objectives:			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	<b>Conflict resolution, physical intervention and risk assessment training programmed for 2007/08. (159 employees trained for period 1<sup>st</sup> Oct 06 – 30<sup>th</sup> June 07)</b>						<b>To be delivered “in house” by Health &amp; Safety team</b>			

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
25	<b>Management of independent sector residential market.</b>	<b>Residents become homeless. Social &amp; Housing Services will have responsibility to re-locate. Hospital discharge delays will result in increased costs re: reimbursement to NHS.</b>	4	4	16	<b>CLlr David Salter, Director of Community Services, Clive Turner</b>	<b>Monitoring of closures via Care Standards Commission. Regular meetings with representatives of Trade Associations. Regular review of contractual arrangements &amp; payment levels which must be linked to medium term Financial plan. Expansion of domiciliary care market. "Managing the Market" Group re-instated.</b>	3	3	9
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>			
<b>Strategic Objective – Improving health and well-being</b>										
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>Scrutiny looking at options for in-house homes. Negotiations being re-opened on Fair Charging.</b>									

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
26	Service to children at risk as assessed by Social Services Inspectorate.	Risk of harm to vulnerable children	5	5	25	Cllr Grant Monahan, Director of Children's Services, Bronwen Lacey	Performance Management. Action Plan (Social Services Inspectorate). Action Plan following Self Assessment (Victoria Climbié Inquiry). Improvement Board. JAR improvements implemented. CSCI Action Plans implemented. Safeguarding Board and Manager appointed.	2	5	10
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>			
Strategic Objective – Improving health and well-being										
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	Research Best Practice and continue to revise policies. Ongoing monthly reporting for Children & Families Management Meeting.									



## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
28	Looked after children service.	Inability to control placements. Budgetary overspend. Loss of reputation. Poor outcome for children.	3	5	15	Cllr Grant Monahan, Director of Children's Services, Bronwen Lacey	Reconfiguration of Foster Care Service to ensure adequate in-house placements. Placement Panel Working Group operating effectively.	2	3	6
<i>Links to Corporate Plan:</i>  Strategic Objective – Improving health and well-being							<i>Link to Service Plan Objectives:</i>			
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
30	Overall IT strategy/resources/ Current systems.	Disruption to Business Continuity. Failure of Key Systems. Failure to implement appropriate responses ie. Egovernment. Damage to reputation.	5	5	25	Cllr Delia Ford, Head of ICT, Neville Cannon	Neville Cannon reviewing ICT Strategy. Procurement Board. Introduction of new hardware procurement arrangements. Business resilience a requirement of all IT projects. Upgrade of LAN/WAN improving comms & replacement of older switch equipment - COMPLETED. Completion of data migration to SAN will reduce risk of failure of servers - COMPLETED. Senior appointments into new structure applying to better monitoring of service - COMPLETED. PC replacement project will reduce risk of desktop failure. Implementation of ITIL standards & availability & capacity management.	3	3	9

<i>Links to Corporate Plan:</i>		<i>Link to Service Plan Objectives:</i>			
<b>Corporate Objectives – Providing excellent and efficient services - Improving our capacity to deliver together</b>					
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>	<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>Slow speed storage area hardware being installed &amp; configured completion due Q3 2007. Development of disaster recovery plans business case to be produced.</b>	<b>Significant costs could be required if business continuity requirements from business units exceed current resilience levels.</b>			

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
31	Replacement of HR / Payroll System.	Not paying staff. Extra resources required for paper-chasing. Ineffective budget monitoring. Poor Management information. Financial implication of failure to integrate with financial systems.	4	4	16	Cllr Delia Ford, Director of Corporate Resources, Adam Broome, Head of Human Resources, Gill Martin	External Project Manager and Project Team. Project Board Prince 2 Project Management Payroll module implemented of new SAP software. Additional work being undertaken to improve input for schools.	3	5	15	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
Corporate Objective – Providing excellent and efficient services											
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	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 n. This will delay Phase 2. Project Plan being reworked to reflect this.										

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
32	Replacement of Benefits / Council Tax System.	Incorrect Billing Benefits not paid Reputational damage	4	4	16	Cllr Ian Bowyer, Director of Corporate Resources, Adam Broome	External Project Manager and Project Team appointed. Project Board. Prince 2 Project Management. Data Cleansing complete. Installation of core system completed early August 06.	3	3	9
<p><i>Links to Corporate Plan:</i></p> <p><b>Corporate Objective – Providing excellent and efficient services</b></p>							<p><i>Link to Service Plan Objectives:</i></p>			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	Upgrade to latest version of DIPS system delayed until Oct 2007. Contingency plan for dealing with any backlog of work associated with conversion to new system.						Overtime working if required to maintain work situation. Budget earmarked if required.	2	3	6

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
33	Schools Re-organisation.	Increase in surplus places Ineffective use of budget Loss of confidence in service	5	4	20	Cllr Grant Monahan, Director of Children's Services, Bronwen Lacey	10 Year Plan "Ideas for Change". Strategy launched July 04. Schools Liaison Meetings. PFI Project. "Building Schools for the Future" project. DFES monitoring. CPAG in place.	3	3	9
<i>Links to Corporate Plan:</i>  <b>Strategic Objective – Raising educational achievement</b>							<i>Link to Service Plan Objectives:</i>			
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>Building Schools for the Future – Plymouth's inclusion not anticipated before 2015.</b>						<b>Unknown at this stage.</b>	<b>3</b>	<b>3</b>	<b>9</b>

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
34	Schools PFI.	Financial costs Effect on quality of educational standards Loss of reputation	5	5	25	Cllr Grant Monahan, Head of Strategic Procurement, John Cremins	Appointment of consultants PFI Board appointed DFES monitoring Project Risk Register in place. Preferred bidder appointed. Full business case submitted to Treasury.	3	4	12
<i>Links to Corporate Plan:</i>  <b>Strategic Objective – Raising educational achievement</b>							<i>Link to Service Plan Objectives:</i>			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	<b>Council owned risk regarding discovery of additional asbestos has been realised, with a contractual claim submitted by the Contractor at the end of April 2007. The extent of the claim is currently being determined.</b>									

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
35	Housing stock transfer options.	Damage to Reputation. ODPM/Government Office South West intervention.	5	5	25	Cllr Peter Brookshaw, Clive Turner, Director of Community Services	Stock Options. Steering Group (monthly) Regular liaison with ODPM / Government SW. Advice & support from experienced Housing Consultants. Widening housing choice. Independent tenant advisor appointed. Members group established.	4	5	20
<i>Links to Corporate Plan:</i>  <b>Corporate Objective – Building Plymouth’s future</b>							<i>Link to Service Plan Objectives:</i>			
Risk Ref	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>Options appraisal “Signed Off” by GOSW Aug 2005. Transfer to an RSL projected for Sept 2009. Lead and other Consultants under review. Independent tenant advisor for phase 1 completed task in July 05 – Phase 2 arrangements being negotiated with tenants. Project Team drafting Change Management Plans. Briefings to Housing staff commenced.</b>									



## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
36	<b>Management of Employee Stress</b>	<b>Poor morale. Cost of absence. Impact on service levels. Potential compensation claims.</b>	<b>3</b>	<b>5</b>	<b>15</b>	<b>Cllr Delia Ford, Assistant Head of Human Resources, Louise Turner</b>	<b>Absence management procedures Counselling service Stress Policy Stress Risk Assessment tool developed &amp; implemented.</b>	<b>3</b>	<b>5</b>	<b>15</b>	
<b>Links to Corporate Plan:</b>							<b>Link to Service Plan Objectives:</b>				
<b>Corporate Objective – Improving our capacity to deliver together</b>											
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	<b>Stress risk assessment and wellbeing training programme in place for 2007/08. All service areas to identify health &amp; safety learning needs. Revision of stress policy included in Health Safety &amp; Wellbeing Action Plan.</b>						<b>Training to be carried out in-house.</b>	<b>2</b>	<b>5</b>	<b>10</b>	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk ref.</i>	<i>Risk title / description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual risk rating</i>
40	Failure to deliver LDF programme and to satisfy “test of soundness”.	<p>1. Failure to meet BVPI 200 and 205 and have in place strategic planning framework for the city.</p> <p>2. Failure to achieve ODPM Target PSA 6 leading to possible intervention.</p> <p>3. Failure to deliver Vision for Plymouth.</p> <p>4. Failure to deliver capital receipts programme to support Capital Programme.</p> <p>5. Reduction and removal of Planning Delivery Grant.</p> <p>6. Likely knock on consequences for planning application performance and failure to meet BVPI 109.</p>	4	4	16	Cllr Ted Fry, Jonathan Bell, Head of Strategy	<p>Project management approach to LDF documents.</p> <p>Weekly monitoring at management meetings.</p> <p>Robust work prioritisation.</p> <p>Regular meetings with Portfolio Holder and Head of Service scheduled.</p> <p>Proactive staff development.</p> <p>New structure for Planning &amp; Regeneration Service agreed – with additional staff resources for LDF.</p> <p>Partnering consultants appointed to assist with workload.</p> <p>Partnership working used where possible to</p>	2	4	8

							<p><b>add value to available resources. Work programme reappraised in light of Inspector's decisions on Lichfield and Stafford Core Strategies regarding the "test of soundness". Plymouth first major urban area to have core strategy accepted as "sound".</b></p>			
--	--	--	--	--	--	--	--	--	--	--

<b>Options for additional/replacement control procedures</b>	<b>Cost/Resources</b>	<b>Probability (5=high, 1=low)</b>	<b>Severity (5=high, 1=low)</b>	<b>Potential Residual Risk Rating</b>
<p>Develop “grow your own planner” approach in response to national shortage of town planners. This is however a long term solution.            Improve skills transference to current staff in order to reduce dependency on key staff – through mentoring programme to be developed once team fully staffed, and proactive staff development.</p>	<p>Dependant on agreement of resources for staff development;            Service wide assessment of Learning Needs for 2006/07 has been developed.</p> <p>Failure to meet “test of soundness” could set back LDF programme 2 years, at significant cost. Programme amendments can be delivered within current budgetary provision.</p>			

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
41	<b>Local Area Agreement development and delivery.</b>	<b>Adverse CPA opinion; potential loss of funding opportunities; potential 'engagement' with GOSW.</b>	<b>3</b>	<b>4</b>	<b>12</b>	<b>Cllr Ted Fry, Head of Corporate Planning, Karen Kay</b>	<b>Project Manager in post. Regular Project Management meetings. GOSW satisfied with progress to date.</b>	<b>3</b>	<b>4</b>	<b>12</b>
<i>Links to Corporate Plan:</i> <b>Strategic Objective – Developing a prosperous economy Corporate Objective – Improving our capacity to deliver together</b>							<i>Link to Service Plan Objectives:</i> <b>Key objective for Policy and Performance unit and for LSP team.</b>			
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>Obtain feedback from GOSW; need to pro-actively engage Lead Officers.</b>						<b>Within planned resources.</b>	<b>1</b>	<b>4</b>	<b>4</b>

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
42	<b>Health &amp; Safety Management.</b>	<b>Increased risk of prosecution (civil and criminal). Increased risk of employer conceding employer liability (EL) claims. Fines &amp; financial losses. Absenteeism associated with occupational ill health &amp; accidents will increase. Failure to comply with legislation.</b>	<b>5</b>	<b>5</b>	<b>25</b>	<b>Cllr Delia Ford, Louise Turner</b>	<b>Health &amp; Safety crosscutting issues and PI's included in business planning across organisation – 2007/08. Corporate HSW action plan in place that addresses key health &amp; safety organisational risks and includes prioritised actions to reduce risks. Corporate Health &amp; Safety Policy (&amp; supporting performance standards) implemented.</b>	<b>3</b>	<b>5</b>	<b>15</b>
<b>Links to Corporate Plan: A Healthy place to live and work, A safe and strong city (visionary goals). Improving health &amp; wellbeing, promoting community safety (shared strategic objectives). Improving our capacity to deliver together (corporate objective). Have a safe and healthy environment in which to work (corporate values).</b>							<b>Link to Service Plan Objectives: HR Service Priority 5 – Improving the Health, Safety &amp; Wellbeing of the workforce and wider community – actions to be undertaken to reduce risk outlined in HR Appendix 5 of HR Service Plan.</b>			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	<b>Additional HR Advisor to be recruited to increase HSW capacity.</b>						<b>Additional staffing – Approx. £50K</b>	<b>3</b>	<b>3</b>	<b>9</b>

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
43	<b>Risk of exceeding allocated Landfill Allowances</b>	<b>Financial Penalties from Central Government which based on current projections may result in potential fines each year from 2009/10 (fines estimated at £2.6m in 2009/10 rising to £6.1m in fines by 2012/13 and £8.9m in fines by 2019/20).</b>	<b>5</b>	<b>5</b>	<b>25</b>	<b>Cllr Michael Leaves, Director of Development, Nigel Pitt, Mark Turner, Waste Products &amp; Commercial Developments Manager</b>	<b>1.Reduce amount of waste to landfill by increasing overall percentage of household waste recycled and composted 2. Reduce the amount of residual waste collected for landfill disposal 3. Provide long-term disposal/treatment solution other than landfill 4. Purchase landfill credits to cover shortfall 5. Establish high level monitoring and increase service capacity to deliver solutions</b>	<b>4</b>	<b>5</b>	<b>20</b>	
<i>Links to Corporate Plan:</i>  <b>Corporate Objective: Providing Excellent and Efficient Services – mitigating the above risk links to Best Value principles and providing an efficient service</b> <b>Strategic Objective 7: Maintaining a clean and sustainable environment – mitigating the above risk also links to providing a sustainable service</b>							<i>Link to Service Plan Objectives:</i>				
Risk Ref	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	

	<p><b>Continue with a range of projects and initiatives including; education and awareness initiatives; and reduce CA site abuse.</b> <b>Take Waste DPD through to adoption; progress background studies on acquired site; complete new waste management strategy action plan; continue procurement of long-term solution.</b></p>				
--	--	--	--	--	--



## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>	
44	<b>Financial and liability implications of Members &amp; Officers serving on outside bodies.</b>	<b>Failure to meet corporate, service &amp; manifesto objectives. Inadequate SLA's and potentially poor performance, service failure &amp; reputational damage. Increased potential for litigation &amp; ultra vires action.</b>	5	5	25	<b>Cllr Ian Bowyer, Head of Legal Services, David Shepperd</b>	<b>Register of Outside Bodies. Member training on roles &amp; responsibilities provided in Feb 04 by Ashfords. Insurance cover in place in line with provisions of Local Authorities (Indemnities for Members and Officers) Order 2004.</b>	3	3	9	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	
	<b>Further Member training required – need to include work programme for Member training schedules. Ashfords possibly to assist with updating guidelines. Consider possibility of Legal Expenses insurance for Members in respect of alleged Code of Conduct breaches.</b>										

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>
45	<b>Financial &amp; Liability implications of significant partnerships.</b>	<p>Failure to meet corporate, service &amp; manifesto objectives. Inadequate SLA's and potentially poor performance, service failure &amp; reputational damage.</p> <p>Inadequate contract conditions/ dispute resolution procedures.</p> <p>Increased potential for litigation &amp; ultra vires action.</p> <p>Failure of partnership arrangement.</p> <p>Conflict with existing in-house services, service provision &amp; existing partnerships.</p> <p>Financial over-commitment by the Council (as Accountable Body or major funder) and potential for clawback of Government funding.</p>	5	5	25	Cllr Ian Bowyer, Director of Corporate Resources, Adam Broome	Risk Registers in place for some major partnerships. Financial monitoring where Plymouth City Council is the accountable body.	4	5	20

<i>Links to Corporate Plan:</i>		<i>Link to Service Plan Objectives:</i>			
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>	<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>
	<b>More consistent approach needed where PCC is accountable body.</b>				

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>	
46	<b>Information Governance – compliance with statutory requirements. Information sharing – Internal &amp; External</b>	<b>Risk of regulatory action due to services not complying with statutory requirements for information. Risk of not supporting partnership working &amp; shared services with external partners. Risk of corporately held information not being used efficiently.</b>	5	4	20	<b>Cllr Delia Ford, Head of ICT, Neville Cannon &amp; Corporate Information Manager, Richard Woodford</b>	<b>Corporate Information Manager in post. SSD have Information Access Officer in post. Directorates have a Freedom of Information representative. IG compliance requirements identified. Compliance incorporated into all Service plans. Privacy &amp; commercial sensitivity issues identified.</b>	4	4	16	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	

<p><b>Information Audit – Central Register to be established &amp; maintained.</b>  <b>Establish central database for Publication Scheme.</b>  <b>Access to Information Policy – policies, procedures &amp; guidance to be prepared.</b>  <b>Internal review process for compliance with information legislation &amp; response to Commissioner investigations.</b>  <b>Implementation of Human Rights Act principles by all teams.</b>  <b>Egov required actions are being progressed – departments need to assign responsibility for records management.</b>  <b>Corporate Citizen Relationship Management system – Egov requirement.</b>  <b>Asset details and staff details and responsibilities to be linked.</b>  <b>Confidentiality and Information Security, sub policies, procedures and guidance to be in place.</b>  <b>Internal Review process for compliance with information legislation and response to Commissioner investigations.</b></p>				
---	--	--	--	--

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
47	<b>Concessionary Fares – increased take up of concessionary travel above forecast</b>	<b>Budgetary pressure annually of c. £570k</b>	5	5	25	<b>Cllr Kevin Wigans, Assistant Director of Transportation, Infrastructure &amp; Engineering, Chris Sane</b>	<b>Annual review of reimbursement rate. Recalculation of rate subject data for Member and Head of Finance approval. Submission of evidence regarding scheme and process for determining appropriate rate.</b>	4	5	20	
<b>Links to Corporate Plan:</b> <b>Strategic Objective 6 – Develop an Effective Transport System</b> 6.1 Facilitate convenient transport choices for all.							<b>Link to Service Plan Objectives:</b>				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	<b>Promotion of a national scheme (led by TCAs and the LGA) by the DfT that would set a national rate for reimbursement. This may reduce costs if funds/claims were made centrally.</b>							1	2	2	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>	
48	<b>Taxi Licensing</b>	<b>Income from license fees less than expenditure. 360K predicted overspend – ongoing</b>	5	5	25	<b>Cllr Glenn Jordan, Director of Development, Nigel Pitt &amp; Asst Head of Environmental Services, Robin Carton</b>	<b>Proposed fees increase report going to Licensing Committee to introduce new fees – Nov 07. Annual review of fees to bring account back into balance within 3 years.</b>	4	4	16	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	
							None				

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
49	Listing of Civic Centre	Significant increased capital cost to Council.	5	5	25	Cllr Ian Bowyer, Head of Asset Management, Nalin Seneviratne	Reviewing options with support of QC & specialist advisers.	4	5	20	
<i>Links to Corporate Plan:</i> Making the best use of our land and assets.							<i>Link to Service Plan Objectives:</i> Wealth creation for PCC as per A.M. Plan.				
Risk Ref	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	
	Undertake full repairs and refurbishment.						Financial Cost £45m	5	2	10	



## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIVE

<i>Risk Ref</i>	<i>Risk Title/Description</i>	<i>Consequence</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Raw Risk Rating</i>	<i>Lead Member and Officer</i>	<i>Existing Control Procedures</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Residual Risk Rating</i>	
50	<b>Structural condition of properties on North Prospect Estate</b>	<b>Solution required to the significant structural problems identified on the estate.</b>	5	5	25	<b>Cllr Peter Brookshaw, Director of Community Services, Clive Turner</b>	<b>Strategic urban futures appointed to work with residents on the estate to a) arrive at consensus about need for change in North Prospect – i.e. a shared understanding of the problems of the area; b) to agree upon a set of actions/priorities for change – the solution(s) to the problems of North Prospect c) recommendations for a sustainable delivery mechanism.</b>	5	5	25	
<i>Links to Corporate Plan:</i>							<i>Link to Service Plan Objectives:</i>				
<i>Risk Ref</i>	<i>Options for additional/replacement control procedures</i>						<i>Cost/Resources</i>	<i>Probability (5=high, 1=low)</i>	<i>Severity (5=high, 1=low)</i>	<i>Potential Residual Risk Rating</i>	
	<b>Estimated £20m to deal with structural issues on council owned properties – this does not include any homeloss or demolition costs, nor any work to owner occupied properties. Guesstimate of around £60m to deal with structural issues across the estate. Work with residents and potential funders to identify options and ultimately a solution to the problems. Identify impact on owner occupiers. Identify suitable delivery vehicle. Assess potential impact on whole stock transfer.</b>										

**AMENDMENTS TO PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER**

<b>Amendment Date</b>	<b>Reason</b>	<b>Version Number</b>
25.1.05	Changes approved by CMT on 5.10.04	3
21.3.05	Amendments agreed by CMT/Portfolio holders on 22.03.05	4
02.9.05	Re-assignment of responsible officers following senior management restructure	5
09.11.05	Amendments following Autumn 05 monitoring exercise	Register 3 Version 1
07.03.06	Amendments agreed by CMT/Cabinet Planning	Register 3, Version 2
12.04.06	Risks linked to revised Corporate Plan 2006 - 2009	Register 3, Version 3
30.11.06	Amendments agreed by CMT on 27.11.06	Register 4, Version 1
18.12.06	Amendments agreed by Cabinet Planning & Audit Committee	Register 4, Version 1
30.08.07	Amendments following July 07 monitoring	Register 5, Version 1
04.09.07	Amendments agreed by CMT on 3.9.07	Register 5, Version 2