

APPENDIX A - RISK MANAGEMENT MONITORING REPORT

March 2022



1.0 Introduction

- 1.1 The position with regard to the strategic and operational risk registers are presented within this report.
- 1.2 Risk Champions have reviewed the strategic and operational risks to identify those that could impact the work directed towards the delivery of council services, including ensuring safe systems of work for staff and customers. Risk owners have been asked to update current mitigation and action plans.
- 1.3 The next formal review of the strategic risk and opportunity register will take place in May 2022, and of the operational risk register in July 2022. Risk registers are however a live document and will be regularly discussed at Directorate Management Teams.

2.0 Strategic Risk and Opportunity Register – Monitoring Summary

- 2.1 Attached to this report at Appendix A is the updated strategic risk register. The Appendix offers additional information including detail on Key Controls and Sources of Assurance and how progress against mitigation will be measured.

3.0 Strategic Risk Register

- 3.1 There have been three new risks added to the strategic risk register bringing the total risks managed to 120. The three new risks relate to cyber-attacks (number 3 in table one), staff resilience to causative factors of stress (number 17 in table one) and the additional upfront contributions to offset the Council's pension fund deficit, made in 2019/20 (number 18 in table one). Three risks have a rating of Red; these relate to responding to the growing volume and complexity of demand on the Children, Young People and Families Service and Adult Social Care Service and the new risk regarding cyber-attacks. All other risks have seen no change in the risk rating score. The 'red risks' are shown below:

Risk number one relates to the 'hidden harm' consequences of COVID-19 infection control measures and safe systems of work that are adding to existing pressures on the Children, Young People and Families service. The service is continuing to see a rise in children coming into care.

Risk number two relates to workforce concerns and the growing fragility of the Adult Social Care Market that might lead to the inability of the Local Authority to meet statutory duties and meet eligible need.


Risk number three relates to the potential for a cyber-attack to render all of the Council's IT inaccessible for an extended period of time therefore impacting on the Council's ability to deliver services.


3.2 Strategic Risk update table


Table one provides an update on mitigation in place for all of the 20 risks on the strategic risk register.

Table one – Strategic Risk Register Updates

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
1	<p>Failure to meet statutory duties due to growing volume and complexity of demand for children's social care services.</p> <p>Hidden harm consequences of infection control measures and safe systems of work limitations add to existing pressures on service.</p> <p>Risk of continued rising demand for children to come into care since the pandemic in March 2020.</p>	<ul style="list-style-type: none"> - Additional social work capacity agreed to support effective delivery of casework - Fostering Project Delivery Plan in place - High cost placement review supported by named Service Manager - Adolescent Support Team reunification and edge of care service supporting over 60 young people at any one time - Ongoing rigour in decision making to manage demand via Placement Panel, which takes place weekly and is overseen by a dedicated service manager with responsibility for reducing costs of individual placements and ensuring timely step down - Ensuring action plan milestones are reached via monthly monitoring at Programme Board/Finance Directorate Management Team meetings - All delivery plans have been reviewed and progress is being achieved to mitigate delays caused by COVID-19 response. 	20	<p>Red</p> <p>Red since Jul 2020</p>	Alison Botham
2	<p>Lack of adult social care workforce and growing fragility of Adult Social Care Market leading to inability of Authority to meet statutory duties and meet eligible need.</p>	<ul style="list-style-type: none"> - Establishment of Community Capacity Command Centre to provide greater oversight of market and capacity - Local Authority has set up a Care Company to ensure continuity of provision in the event of market failure - Care Home liaison work being undertaken by Livewell Southwest, to increase levels of support to Residential and Nursing care market - Risk to be continued to be monitored through contract monitoring and market intelligence - Supporting market wide workforce recruitment / retention across residential and domiciliary sector - Remodelled bed bureau launched to support Care Homes to manage complex discharge cases - Incentive payments to workforce - Managing risk through winter strategy for the domiciliary care market. 	20	<p>Red</p> <p>Red since Oct 2021</p>	Craig McArdle

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
3	<p>A Cyber-attack renders all of the Council's IT inaccessible for an extended period of time therefore impacting on the Council's ability to deliver services.</p>	<p>Conduct Business continuity exercise to test resilience against a number of scenarios to enable learning for development of improved business continuity plan. Working alongside DELT to implement regular testing and reporting of cyber-attacks and vulnerabilities.</p>	20	RED (New in January 2022)	Andy Ralphs
4	<p>Insufficient economic performance to sustain the City's economy and growth plans.</p> <p>The risk to economic performance is a combination of the ongoing impacts of the coronavirus, Brexit, labour shortages, infrastructure challenges relating to material supply and general uncertainty in many sectors.</p> <p>Some of the long-term effects (especially without effective policy instruments) are likely to carry over in 2022 and beyond.</p>	<p>The impact of COVID-19 on the economy has been sharp and has affected different sectors of the economy in different ways. We are focussing, through Resurgam, on six areas to help our economy to recover, to protect local jobs and to support our communities. These are:</p> <ul style="list-style-type: none"> - Spend 4 Plymouth – A massive focus on local procurement for local jobs - Build 4 Plymouth – An ambitious capital programme and economic stimulus to support construction jobs, building a better and greener Plymouth - Skills 4 Plymouth – Extensive new support for young people and retraining our workforce for future jobs through our skills launch pad - City Centre Renaissance programme – support for our city centre and a regeneration plan - Resurgam Beacons – A focus on our future. We will seek to create new jobs in the blue and green economy. That is our amazing marine sector and a new green deal for jobs - Sector Action Plans – a bespoke package of interventions led by the private sector for our 11 key sectors, building on our Resurgam plans and innovating and collaborating together through our newly established Sector Hub. <p>Supporting our sectors whether they are in critical shock, stable, or capable of high growth. These sectors are:</p> <ul style="list-style-type: none"> - Construction and the Built Environment - Creative Industries 	16	Amber 	Anthony Payne

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
		<ul style="list-style-type: none"> - Digital - Defence - Health and Care - Fishing - Manufacturing - Marine - Retail - Tourism and Hospitality - Transport and Distribution. <p>We have also established the cross cutting theme of inclusive growth. Our aim is to 'build back better', growing a prosperous economy that reduces inequality, is sustainable and truly serves the wellbeing of all of the people of Plymouth.</p>			
5	<p>Ongoing COVID-19 rates (with potential for further peaks) affect city's recovery / reset plans. It is not yet clear what mitigations will be needed for us to live with COVID-19. There remains a high risk of further waves but the timing is not certain. Rates remain high and as expected have increased over the Winter period. The greatest risk remains from new infectious variants that are both more severe in terms of their effects and are vaccine resistant.</p>	<ul style="list-style-type: none"> - The key mitigation of vaccination has now reached around 85% (one or more doses) of those eligible. The roll out to younger children is likely to start soon. - However there are likely to be reductions in the mitigations currently in place (reduced testing, support payments and legal need for self isolation) and this creates uncertainty around case rates and the risk of delayed detection of new variants. 	16	<p>Amber</p> 	Ruth Harrell

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
6	<p>Failure to reduce Health Inequalities will mean our poorest residents continue to live shorter lives as well as more years in ill health. Mounting evidence that COVID-19 is having differential health impacts across communities, adding to existing health inequalities. This is through either the disease itself or the mitigations put in place. There is an ongoing impact of this due to the economic downturn. The primary role of the ODPH and the Public Health Team in particular is now to try to manage COVID-19 in the city, therefore protecting most deprived communities from further negative impacts.</p>	<p>Persistent action across the Council is required at many levels to tackle inequalities by addressing the wider detriments of health. The public health team and partners continue to work with employers (year one focus) and schools (year two focus) to influence healthier lifestyles. The team continues to embed and promote the national One You campaign across the city. The 'five ways to wellbeing' has been adopted across the city as the single approach to improving mental wellbeing. The work that started in year five on 'people connecting through food' is ongoing with a number of new initiatives developed. The focus on arts, culture, heritage and health (using the Mayflower 400 commemorations) continued throughout 2020 and 2021. The Thrive Plymouth Network will re-start and continue to meet on a quarterly basis to ensure delivery of the programme. Discussions are ongoing about Year Seven of the Programme, which is likely to focus on Trauma Informed. Evidence has been provided to the Health and Wellbeing Board on the risk of widening health inequalities and partners are working together to try to mitigate. The local Care Partnership priorities are being refreshed and include tackling inequalities. Both of these routes bring partners together to understand the issues and the steps needed to tackle health inequalities in the city.</p> <p>In addition to this, to support the work of the Council's cross-party Child Poverty Working Group, a high level review of the evidence of the impacts of the pandemic on the mental wellbeing of children and young people has been carried out. As already stated, the primary role of the ODPH and the Public Health Team in particular is now to minimise the impact of COVID-19 in the city, therefore protecting most deprived communities from further negative impacts.</p>	16	<p>Amber</p> 	Ruth Harrell


No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
7	<p>Increased and sustained pressure on Adult Social Care budget due to increased costs of providing care, growing numbers of people and increased complexity of need. As this is a statutory service and largest single budget it could have a significant impact on the Authorities overall financial position.</p>	<ul style="list-style-type: none"> - Real time management information - Strong Reablement Offer - Established Review Programme - Commissioning Intentions and Commissioning Activity to develop new models of care - Budget containment meetings in place - Brief providers around risks relating to COVID-19 and infection control and safe system measures - Focus on reviews and reablement to right size packages of care including focused work on 18 to 64's - Emergency Plan to cover need to prioritise critical services 	16	<p>Amber</p> <p>█</p>	Craig McArdle
8	<p>Insufficient pupil attainment to achieve economic / quality of life outcomes across secondary cohort.</p>	<ul style="list-style-type: none"> - Plymouth Education Board (PEB) (and sub groups) is being reviewed to strengthen education partnership - Strengthen School Causing Concern procedure - School improvement work will create a partnership of distinct interventions to drive improvement and raise achievement - Cause for concern meetings. Inclusion Strategy Board as an added strand of PEB work - Proposed Inclusion Mark for the city to celebrate inclusion. <p>The Plymouth Standards Partnership Recovery & Improvement Plan: A key priority is work to support disadvantaged pupils. The work of the Plymouth Commission has been extended to focus on attainment for secondary aged pupils and school improvement. This has also focussed on the impact of the COVID-19 response arrangements, and a survey of all secondary schools has been undertaken to inform priorities for re-engaging pupils in September. Schools are expected to have the capacity to offer immediate remote education for classes or groups who are required to self-isolate for a short period of time, or where there are local restrictions requiring pupils to remain</p>	15	<p>Amber</p> <p>█</p>	Alison Botham


No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
		at home. Schools are being offered a catch up premium of £80 per pupil for most schools, to assist with programmes of learning to support pupils who require additional support.			
9	The Council having insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities.	<ul style="list-style-type: none"> - Develop online training programmes - Implementation of 'The Way We Work' programme (technology, information management, accommodation) to enable the right conditions for success - Review of senior structure - Review of business plans - Possible remodelling of services - Ongoing 1:1 supervision meetings - Working towards Gold Wellbeing at Work Award - Increase in number of Wellbeing Champions to 60 (from 44) - Implement New Ways of working and deliver Accommodation Strategy. 	15	Amber ██████	Andy Ralphs
10	The Council not meeting its obligation to keep data secure by failing to adhere to Data Protection Act 2018 Regulations.	<ul style="list-style-type: none"> - Continued roll out staff awareness training to all staff - Implement greater reporting consistency within directorates - Implement improved incident analysis within the Service Desk - Improved contract management with partners - Improve Privacy notice templates and ensure all gaps are addressed - Standardised breach management processes distributed to key staff - Reviewed policies to be communicated to all staff. 	15	Amber ██████	Andy Ralphs
11	The Council not meeting its legal obligations regarding the health, safety and wellbeing of its workforce.	<ul style="list-style-type: none"> - Agree substantive future working arrangements according to worker type - The Big Listen November 2021 - Delivery of 21/22 HS&W action plan - Taking action on future Government guidelines in relation to COVID-19. 	15	Amber ██████	Andy Ralphs

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
12	The Council's expenditure exceeds the resources available to meet that expenditure within the medium term financial plan period (2022/23-2025/26)	<p>The Council has also taken the following steps</p> <p>(1) to adopt a 5 year MTFP moving forward rather than a 1 year or 3 year model</p> <p>(2) to adopt a system of monthly financial reporting to Directorate Management Teams, Corporate Management Team, and Cabinet and Quarterly to Full Council, with monthly consideration of directorate level financial issues at each Scrutiny Committee</p> <p>In addition the Council has introduced a system of detailed monitoring of the delivery of savings targets so that a view is published monthly in Cabinet reports. The Council also holds an annual review of fees and charges and has annual and ongoing programmes of work to identify and understand potential savings opportunities. The governance system of the Council - as unpacked in the Annual Governance Statement comprise a rigorous system of financial control. In acknowledgement of budget pressures and the choices that lie ahead on a successive basis to balance future budget shortfalls the Council has launched a Budget Consultation process to inform difficult budget choices moving forward.</p>	12	Amber ██████	Brendan Arnold
13	The Council is unable to fulfil its legal obligations regarding the safety of its citizens and service recipients.	<ul style="list-style-type: none"> - Statutory post holders - Commissioning and service Improvement plans - Budgetary management - Revision of business plans. 	12	Amber ██████	Alison Botham/ Craig McArdle
14	Departure from EU single market with The Trade and Cooperation Agreement could further decrease city economic output.	<ul style="list-style-type: none"> - Continued regional engagement to maintain strong influence - Monitor proposed regulatory changes for service impact - Continue to act promptly on government guidelines when issued. 	12	Amber ██████	Giles Perritt
15	Risk of failing to meet carbon reduction targets to reach net zero by 2030.	<ul style="list-style-type: none"> - Year 1 action plans have been completed for both CEAP and CCRP - Year 2 action plans have been completed for both CEAP and CCRP - Brexit, Infrastructure and Legislative Change Overview and Scrutiny Committee have received six monthly performance updates 	12	Amber ██████	Anthony Payne

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
		<ul style="list-style-type: none"> - Year 3 action plans for both CEAP and CCRP agreed Full Council in January 2022. 			
16	Risk of financial impact of delivering proposed changes to Waste Services as set out in the Government's Draft Environment Bill.	<p>The Council have partnered with the Waste Industry body WRAP to jointly commission external support to assess the likely impacts and opportunities of the Environment Bill. The funding for this work has been wholly met by DEFRA. The procurement of this work completed by November 2021 with a final report due in March 2022. The scope of the work is as follows:</p> <ul style="list-style-type: none"> - To understand the implications of, and ensure the Council meets, the government's requirements as proposed in the Resources & Waste Strategy - To help inform the future design of the Council's household waste collection service and understand the implications in terms of reprocessing infrastructure - To understand the likely impact that changes to the current household waste collection service will have on the Council's recycling performance - To consider where operational efficiencies can be achieved whilst still delivering a service that meets the needs of its residents and allows the Council to maintain high levels of customer satisfaction - To appraise whether existing waste management infrastructure and assets in Plymouth, and the surrounding area, are likely to be sufficient for future requirements; and if they are deemed not to be then to provide options to inform the Council's waste strategy and spatial planning. 	12	Amber	Anthony Payne
17	Staff resilience to causative factors of stress variable resulting in the primary reason for short and long term absences being due to stress / psychological factors; reduced	<ul style="list-style-type: none"> - Zero Tolerance to violence and aggression campaign due to launch in Quarter 4; additional resources being sought for CYPF re work demands - Time to talk day - pro-active communications to keep awareness raised of support available - The Big Listen - staff survey to monitor any changes to wellbeing 	12	AMBER (Moved from Operational to Strategic Risk)	Andy Ralphs

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
	morale, loss of productivity with impact on delivery.	<ul style="list-style-type: none"> - Wellbeing Champions across the organisation as 1st line of support to colleagues and driving a program of initiatives. 		Register in January 2022)	
18	<p>In 2019/20 the Council adopted under legal advice a proposal to make additional upfront contributions to offset the Council's pension fund deficit. During the audit of the 2019/20 accounts - which was delayed because of the Pandemic - it became apparent that the External Auditor did not agree that the accounting treatment used was lawful. During 2021 the Council has taken further legal advice to identify a way of accounting for the transaction that is agreed with the External Auditor; consideration of this advice continues at the present time. The risk is that if a mutually acceptable way of accounting for the transaction cannot be agreed with the External Auditor and advising counsel then the Council may need to explore alternative means of achieving a solution which sit within the appropriate legal parameters.</p>	<ul style="list-style-type: none"> - Liaison with legal advisers - Consultation with the Auditor - Possible consultation with Government 	TBC – subject to further legal advice		Brendan Arnold

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
19	Risk of failing to deliver the range of housing to meet Plymouth's need.	<ul style="list-style-type: none"> - Strategic Land Review completed and released 50 housing sites to the market. - Established Housing Investment Fund in Plan for Homes 3 to support interventions to unlock housing delivery. - Working with Homes England to develop a Placed Based Strategic Partnership to unlock and deliver a pipeline of housing sites, support City Centre renaissance and to help align Government funding with housing site opportunities. Proposal to establish a tripartite partnership between The Department for Levelling Up, Housing, Communities and Local Government, Homes England and Plymouth City Council/South Hams/West Devon with the vision to transform the pace and quality of housing provision to fully meet housing need. Work with Homes England has led to agreed solutions and Deeds of Variation on 4 legacy sites to unlock delivery. - Launched the Plymouth Eco-Homes Programme to support building a pipeline deliver over 250 low-carbon and net-zero homes across Plymouth. - Embarking on our Direct Delivery of new homes to drive up good design, quality and sustainable living. Identifying a pipeline of future sites to support our direct delivery ambitions. - Developed 2 Housing Partnership Agreements with key Housing Association Partners to maximise their investment and delivery in the city. - Considering site acquisitions and provided funding to help unlock stalled Joint Local Plan (JLP) sites. Reviews of JLP sites completed and monitored, with delivery strategies being implemented. Site allocations tracker used to monitor delivery and progress throughout the year, working with officers to explore necessary actions to bring sites forward and establish trusted partnership. Facilitate PPAs with developers to encourage delivery and facilitate proactive working arrangements. 	9	Green 	Anthony Payne

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
		<ul style="list-style-type: none"> - Bidding to a number of Government funding programmes to support new homes. - Ongoing work with Homes England and Department for Levelling Up, Housing, Communities and Local Government to unlock funding and making the case for a fairer allocation of national funding for homes. - Ongoing innovation to improve the proactive and fast track approach to planning to deliver housing. - Monitoring development activity in the construction sector to understand the effect of COVID-19 on housebuilding. - We will manage the 5 year land supply position to ensure that decisions on sites are taken using a balanced and objective assessment of market conditions. - Work with Resurgam programme to develop measures to support and boost housebuilding, supporting Plymouth's economic recovery and other Resurgam activity. - Work with the Plymouth Housing Development Partnership to leverage their investment and progress housing projects to stimulate affordable housing delivery, and support Small and Medium Enterprises to start building again - We will work with Department for Levelling Up, Housing, Communities and Local Government and Homes England to maximise investment in new homes and infrastructure. 			
20	Risk to vulnerable children and young people in the care system, by not delivering early intervention and prevention.	Continue to drive forward change across the partnership in relation to whole family working, engagement with the Early Help Assessment Tool process, data exchange and achieving the outcomes required within the Troubled Families Outcomes Plan.	6	Green 	Alison Botham

4.0 Operational Risk Register

4.1 There are now 126 risks on the operational risk register. The number of red risks has increased from three in October 2021 to four in February 2022 following the escalation of a risk relating to the loss of confidential/sensitive data. The red risks relate to the following:


- Risk of loss of life, injury or property damage due to tree falling within the city and at Mount Edgumbe
- The management arrangements of Asbestos
- The risk of injury or incident linked to traffic management and segregation at Council depots.
- Risk of loss of confidential/sensitive data

Further details on the 'red risks' are shown in table two below.

Table two – Operational Risk Register Updates – Red Risks only

No.	Description	Mitigation	Risk Score	Current risk rating	Risk Owner
1	<p>Risk of loss of life, injury or property damage due to tree falling within the city and at Mount Edgumbe.</p> <p>Ash dieback is now present in the city and Mt Edgumbe and is affecting large numbers of ash trees, meaning they are more susceptible to shedding limbs. Ash is the third most common species of tree in Devon and represents 1000s of the trees on land in the city. The disease is expected to infect over 90% of ash trees in the city in the coming years and therefore</p>	<ul style="list-style-type: none"> - Works ongoing due to large backlog of work - Initial assessment of Ash dieback and report issued - Tree Risk Management Review completed - Increased partnership working and share - Higher risk rating relates to Mount Edgumbe and requirement for capital funding to deliver tree management plan - Still a case to be raising this at national level to ensure that costs to local authorities are recognised by national government, Department for Environment, Food and Rural Affairs and the Department of Levelling Up, Housing and Communities. 	20	Red Red since Oct 2021	David Draffan / Paul Barnard

	increases the risk to public safety and damage to infrastructure, as well as having a significant impact on biodiversity and decreasing the city's canopy cover.				
2	Inadequate Asbestos Management Arrangements - resulting in closure of buildings/services, legislation breach, potential litigation for health claims, failure of duty of care, poor corporate governance	<ul style="list-style-type: none"> - Completion of the pilot of three buildings - Roll out of the Maximum Acceptable Concentration initiative to all remaining buildings - Management of the buildings, linked to Person in Charge changes and take up within all risk areas. 	20	Red <hr style="border: 1px solid black;"/> Red since Feb 2021	Kim Brown
3	Risk of injury or incident from inadequate traffic management and segregation between pedestrians and vehicles at depots	<ul style="list-style-type: none"> - Project works to address all aspects of site traffic flow and pedestrian segregation - Training programme to ensure that all employees, contractors and businesses operating on site understand the Safety Watch Observation Programme - Project Board to be initiated to ensure that all project works are managed as a coherent whole - Perimeter fencing to be installed around land fill site - Replacement of push walls in Refuse Transfer Station and green waste area - Assurance around environmental agency requirements for the monitoring of gases and leachate. 	20	Red <hr style="border: 1px solid black;"/> Red since Oct 2021	Philip Robinson

4	Risk of loss of confidential/sensitive data and fines by not ensuring there is adequate business continuity processes in place following an information security breach to protect the council's assets	<ul style="list-style-type: none">- Revised eLearning package has been rolled out to all staff with PC access.- Booklet to be produced for staff who do not have access to a pc.- Business Continuity Plans to be updated for loss of information.	20	Red  Red since Jan 2022	Andy Ralphs
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