

OFFICIAL  
APPENDIX B PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER MAY 2022

ROW NO	RISK REF	Directorate	Service	DEPT	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category)	KEY CONTROLS / SOURCES OF ASSURANCE (aligned to three lines of defence)												RAG RATING / CHANG E IN RISK RATING	ACTION PLAN / FUTURE MITIGATION / ASSURANCE PLAN	RESPONSIBLE OFFICER(S)	DIRECTOR / ASSISTANT DIRECTOR
						Policies and procedures Link to business plan Delegations of authority / Fraud checks Risk and control framework Performance Management Project Management reviews			PREVIOUS RISK RATING			PREVIOUS RISK RATING			CURRENT RISK RATING						
						Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22					
1	COVID-19 ORR (OF2) IRR BREXIT	Customer and Corporate Services	Finance	Finance	The Council's expenditure exceeds the resources available to meet that expenditure within the medium term financial plan period (2022/23-2025/26). The Council has taken the following steps (1) to adopt a 5 year MTFP moving forward rather than a 1 year or 3 year model (2) to adopt a system of monthly financial reporting to DMT's, CMT, and Cabinet and Quarterly to Full Council, with monthly consideration of directorate level financial issues at each Scrutiny Committee. 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.	These are rehearsed in the panel to the left and include all aspects of the rigorous reporting framework that is described from directorate DMT's through to the monthly report at Scrutiny Committees of financial expenditure and attainment of savings taken into the budget.	3	4	12	3	4	12	5	5	25	↑	The Council has also taken the following steps (1) to adopt a 5 year MTFP moving forward rather than a 1 year or 3 year model (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 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. It is of critical importance to the Council and City that CMT and Cabinet select means of reducing the costs of the Council to fully mitigate the forecast budget shortfalls in future years. Until this work is completed later in 2022 the risks will remain at the current level.	David Northey/Paul Looby	Brendan Arnold		
2	SCYPF2 ORR (OCYPF1) IRR COVID-19	Children's Services	CYPFS	Children's Social Care	Failure to meet statutory duties due to growing volume and complexity of demand for children's social care services  'Hidden harm' consequences of infection control measures and safe systems of work limitations add to existing pressures on service. Risk of continued rising demand for children to come into care since the pandemic in March 2020.  Risk Category: FINANCIAL	Trend analysis informing projections about the numbers of children coming into care to monitor activity. Regular scrutiny via lead member for children and finance.	4	5	20	4	5	20	4	5	20	→	Additional social work capacity agreed to support effectively 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 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 DMT. All delivery plans have been reviewed and progress is being achieved to mitigate delays caused by COVID-19 response.	Jean Kelly	Sharon Muldoon		
3	CDS	Corporate and customer services	DCS	DCS	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.	IT Security Policy current and adhered to Business Continuity plans tested and fit for purpose IT Infrastructure patched to current levels All IT providers assessed regularly All connected partners / Suppliers assessed and accredited				4	5	20	4	5	20	→	Review of governance and strategy / action planning process underway Delt undertaking a programme of Cyber security improvements. The programme is at the initiation stage, however will produce recommendations for improving aspects such as end point detection and defence, improved identity and asset management It will also improve the annual IT Health Check by looking at repeat issues and introducing process changes to prevent them from reoccurring.	John Finch	Andy Ralphs		
4		Corporate and customer services	Digital and Customer Services	Corporate and customer services	IT supply chain constraints results in increased costs and extended lead times for equipment. This will lead to budget pressures for the Council plus Service delivery pressures as new and replacement IT equipment experiences considerable delays.	Regular IT Budget monitoring Regular Delt engagement Procurement liaison Business Continuity plans tested and fit for purpose ICT Review Group Other project and programme boards Management teams overseeing the purchase of new technical capability			New	New	New	5	4	20	→	PCC to pre plan as far ahead as possible on any purchases of technical goods or services, notifying Delt during the planning phase of such work. Delt engagement with current suppliers and escalation of any changes to current prices / lead times Assessment of alternative suppliers  Budget monitoring IT Service Level Management Monitoring of procurement lead times	John Finch/ Peter Honeywell	Andy Ralphs			
5	PEOPLE (IC) COVID-19 IRR	People	SC	Strategic Commissioning	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.  Risk Category: Compliance, Regulation, Safeguarding and Financial	Real time management information Provider Contingency Plans and Mutual Aid Protocol Established Review Programme to release hours Activity Dialogue with Care Market Enhanced risk management process around individual client list.	4	5	20	4	5	20	4	5	20	→	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 risks for the domiciliary care market	Anna Coles/ Gary Walbridge	Craig McArdle		
6	SED1 COVID-19 BREXIT	Place	ED	Economic Development	Insufficient economic performance to sustain the City's economy and growth plans.  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.  Some of the long-term effects (especially without effective policy instruments) are likely to carry into later in 2022 and beyond.  Risk Category: DEVELOPMENT & REGENERATION		4	4	16	4	4	16	4	4	16	→	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 6 areas to help our economy to recover, to protect local jobs and to support our communities. These are: • 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 lead 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. Supporting our sectors whether they are in critical shock, stable, or capable of high growth. These sectors are: o Construction and The Built Environment o Creative Industries o Digital o Defence o Health and Care o Fishing o Manufacturing o Marine o Retail o Tourism and Hospitality o Transport and Distribution 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 the people of Plymouth. Please note: Construction inflation will have an impact on projects and is predicted to rise by 26% by 2026 (3% per quarter).	David Draffan	Anthony Payne		
7	STS2 COVID-19 IRR ORR	ODPH	OPPH	Office of the Director of Public Health	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 are likely to increase over the Winter period.  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	Local Outbreak Management Plan co-designed and published. Multi-agency Health Protection Board meets monthly to discuss management of the pandemic locally. Incident Management Group established and meets fortnightly to discuss issues related to COVID-19 and other infectious diseases.	4	4	16	4	4	16	4	4	16	→	The key mitigation of vaccination has now reached around 85% (one or more doses) of those eligible. There have been reductions in the mitigations (reduced testing, support payments and legal need for self-isolation) and this has created uncertainty around case rates and the risk of delayed detection of new variants. The longstanding advice to the general public remains in place and is re-emphasised at regular intervals.	Sarah Lees / Rob Nelder	Ruth Harrell		
8	STS1 IRR COVID-19	ODPH	OPPH	Office of the Director of Public Health	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.  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	The Thrive Plymouth framework was adopted by full Council in 2014 and links directly to the Plymouth Plan and Integrated Commissioning Strategies. It provides a good foundation to achieve prevention in all services and decision making processes. The focus of Thrive Plymouth in year one was on workplace health and wellbeing, in year two it was on schools and young people, in year three it was on localising the national 'One You' health improvement campaign. In year four was on mental wellbeing (focussing on the five ways to wellbeing) and in year five was on people connecting through food. The intention was that the year six focus would be arts, culture, heritage and health (using the Mayflower 400 commemorations as the vehicle for delivery). However, this year was curtailed as a result of the pandemic and a two year pause was put on the programme. Thrive Plymouth year seven was launched in May 2022 with a focus on Listening and Reconnecting. In addition to the Thrive Plymouth-related work, the Public Health Team has worked with an extensive network of internal and external partners to secure the opening of a number of Wellbeing Hubs across the city.	4	4	16	4	4	16	4	4	16	→	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 intention was that the year six focus would be arts, culture, heritage and health (using the Mayflower 400 commemorations as the vehicle for delivery). However, this year was curtailed as a result of the pandemic and a two year pause was put on the programme. Subsequently, Thrive Plymouth Year seven was launched in May 2022 with a focus on Listening and Reconnecting. There is a need to reflect on our experiences and acknowledge what we have been through. Though there has been much trauma, we believe that there have also been some positives which we want to help the city to build on and apply to the wider challenges of inequality. Evidence has been provided to the Health and Wellbeing Board on the risk of widening health inequalities which partners are working together to try to mitigate. The Local Care Partnership priorities are being refreshed and includes tackling inequalities. Both of these routes bring partners together to understand the issues and the steps needed to tackle health inequalities in the City. In addition to this, to support the work of the Council's cross-party Child Poverty Action Plan 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.	Sarah Lees / Rob Nelder	Ruth Harrell		

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							Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22										
						<b>First Line of Defence (Operational management activity)</b>																
9	PEOPLE (IC) COVID-19 IRR	People	SC	Strategic Commissioning	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.  Risk Category: Financial	Real time management information Strong Reablement Offer Established Review Programme Commissioning Intentions and Commissioning Activity to develop new models of care.	4	4	16	4	4	16	4	4	16	—	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 - 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	Anna Coles/ Gary Walbridge	Craig McArdle			
10		People	SC	Strategic Commissioning	Adult Social Care (ASC) Reforms - There are a number of reforms to ASC that will create financial uncertainty in terms of being able to accurately understand the cost and resources impact once reforms have been implemented. It is not clear whether any additional monies will be sufficient to meet these changes and at this time it is not possible to accurately forecast this risk.  Examples of reforms include: Fair cost of care Charging reforms Local Protection Safeguards Care Quality Commission Assurance programme	National and regional groups including Local Government Association and ADASS ASC reform programmes established Fair cost of care exercise to better understand position Departmental and directorate management teams				New	New	New	4	4	16	—	Seeking to understand impact through reform programmes Potential use of Offers and Asks due to cost of new burdens on the service	Anna Coles/ Gary Walbridge	Craig McArdle			
11	SHR1 COVID-19	Customer and Corporate Services	HROD	Customer & Corporate HROD	<b>The Council having insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities</b>  New service obligations, such as Caring Plymouth, local outbreak control, PPE provision etc. in addition to Operation Lillypad need to be considered alongside existing obligations, some of which have been made more challenging by COVID-19.  Risk Category: SERVICE DELIVERY / REPUTATION	Volunteering Review working patterns ensure staff leave is taken Review posts prior to recruitment Workforce data Employee Assistance Programme in place. Organisational Restructure toolkit in place. Agile HR policies and procedures available on staffroom. Sickness absence and staff turnover monitored Annual Performance Reviews and objective setting Admin review Core hours paused and flexi limits extended Additional capacity brought into Children, Young People and Families	5	3	15	5	3	15	5	3	15	—	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 1:1s 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	Kim Brown	Andy Ralphs			
12	SF5 IRR	Customer and Corporate Services	Digital and Customer Services	Transformation	<b>The Council not meeting its obligation to keep data secure by failing to adhere to Data Protection Act 2018 Regulations</b> results in loss of trust in the Council and/or financial penalty from the Information Commissioner's Office (ICO)  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	Staff awareness training has been rolled out. Incident reporting and management in place. Escalation of breaches to Senior Information Risk Owner (SIRO). Annual IT Health Check Regular vulnerability scans carried out IT Infrastructure patching policy in place Pro-active monitoring by Babcock. ICO Action Plan. Information Audit completed for all departments Staff workshops completed re: GDPR	5	3	15	5	3	15	5	3	15	—	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	Pete Honeywell	Andy Ralphs			
13	SEPS1 COVID-19 IRR	Children's Services	EPS	Education, Participation & Skills	Despite the green shoots of improvement in education outcomes in 2021/22, the school improvement partnership needs to be made sustainable supported by continuous resources for next stage of work to stabilise the system and to continue improve after Place-based funding ceased in March 2022.	Ofsted inspection outcome tracking. Data analysis. Plymouth Education Board Policy for Intervention, Challenge and Support for Schools makes clear the relationship with schools. Inclusion Strategy Board and Inclusion Plan, revised SEND Strategy for Plymouth	3	5	15	3	5	15	3	5	15	—	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. 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 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. At this time, it is intended that subject to some adjustments to content and activity, in the summer 2021 for GCSE, AS and A level are all teacher assessed.	Ming Zhang	Sharon Muldoon			
14	SHR2 COVID-19 HSW	Customer and Corporate Services	HROD	Customer & Corporate HROD	<b>The Council not meeting its legal obligations regarding the health, safety and wellbeing of its workforce.</b>  Significant challenges presented by the scope of service activities, range of workforce environments, clarity of guidelines/legislation and unpredictability of the rate of COVID-19.  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	Generic Risk Assessment, Safe Systems of Work and Tool Box talks updated with change of Government Guidance and reviewed at local level to ensure consistency across services re infection control Safe Systems of Work Programme Display Screen Equipment (DSE) guidance in place COVID-19 Homeworking checklist implemented to ensure employees working from home have all standard DSE equipment, and specialist assessment where required Delivery service instigated following COVID-19 infection control guidelines COVID-19 wellbeing pages has DSE advice and support cited Access to ergonomist assessment via medigold available Wellbeing Pulse survey repeated at regular intervals Risk assessments of vulnerable staff PPE Policy in place with ordering and supply process operational	3	5	15	3	5	15	3	5	15	—	Agree substantive future working arrangements according to worker type The Big Listen - employee engagement survey in progress. Delivery of 2223 H&SW action plan Focus on mandatory training compliance July 2022 Introduction of new KPI's for incident management Audit programme to commence in quarter two.	Kim Brown	Andy Ralphs			
15	SIC1 COVID-19 HSW	People	SC	People (Commissioning & Children's Services)	<b>The Council is unable to fulfil its legal obligations regarding the safety of its citizens and service recipients</b>  Significant challenges presented by the scope of service activities, range of workforce environments, clarity of guidelines/legislation and unpredictability of epidemiology, with the added pressures of supply chain management and organisational capacity to deliver  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	Safe Systems of Work Programme Performance Data Contract Management Weekly review of risk assessments, management oversight and audit	3	4	12	3	4	12	3	4	12	—	Statutory Post holders Commissioning and service Improvement plans Budgetary Management Revision of business plans	Sharon Muldoon / Craig McArdle	Sharon Muldoon / Craig McArdle			
16	SCEO3 ORR (OCEO12) IRR BREXIT COVID-19	CEX	CEX	CEX	Departure from EU single market with The Trade and Cooperation Agreement could further decrease city economic output. Trading standards impacts may be significant when full border operations commence - not currently evident as ferry service is suspended. EU Settlement Scheme closed to new applicants in July predicted labour market shortage is now starting to show and are acute in some sectors including health and social care. No new business failures recorded locally since August may be difficult to disaggregate the impact of the Trade and Cooperation Agreement from COVID-19 impact. Ferry services have recommenced no operational problems arising from phase 1 and 2 of the Border Operating Model delivery of BCP delayed until November but ferry services will be suspended from October until March. Macro economic effects now starting to ramp up inflationary pressure are rising e.g. wage increases fuel to labour market supply problems and supply shortages leading to prices rises especially on fuel which feeds wider price increases, likely the MPC will react with interest rate increases and could also impact on currency rates. Unilateral UK changes in regulations could add additional unfunded burdens to LAs of radically impact on service delivery e.g. planning reforms.	Brexit Organisational and City specific risk registers linked to corporate risk registers are no longer being updated. Economic and consequential financial risks impacts may be traced back to Brexit but there is limited political will to do so and they are largely now viewed simply as the new economic reality. As such they are probably best dealt with through mainstream council financial risk management. One exception sits in relation to labour market shortages which are likely to have direct impact on Council finances in staff recruitment and associated wage pressures especially in health and social care and indirect impact through potential business relocation where labour requirements cannot be met locally. Operational readiness needs to be maintained in relation to the evolving UK post brexit regulatory framework and in particular in relation to the border control issues that are likely to arise when the UK finally implements the proposed border control model as this is likely to create a new set of supply chain related issues as well as an increased administrative burden at our port.	4	3	12	4	3	12	4	3	12	4	3	12	—	Continued regional engagement to maintain strong influence. Monitor proposed regulatory changes for service impact Continue to act promptly on government guidelines when issued.	Kevin McKenzie	Giles Perritt
17	PLACE (SPI)	Place	SPI	Strategic Planning & Infrastructure	Risk of failing to meet carbon reduction targets to reach net zero by 2030.  Plymouth City Council declared a climate emergency in March 2019. The Plymouth Plan was revised in January 2021 to update the strategic objectives and policies to achieve this outcome.  The activities of Plymouth City Council only contribute 1% of the total carbon emissions of the city. The environmental consequences of failing to meet the target are difficult to quantify, but a failure to address and minimise our carbon emissions would contribute to some extent to changes in our climate, which include, among others, increased risk of coastal flooding and changes to the weather patterns. Changes to the weather could in turn have financial consequences for the Council as we mitigate against increased flooding, and more frequent storms. Failure to meet corporate targets would impact our reputation and our ability to exercise leadership on this agenda, with, in turn, possibly more consequences on carbon emissions citywide.	A governance structure is in place to ensure that the city and council climate emergency objectives are led, managed and delivered. Led by the Cabinet member for Climate Change, all key decisions are made by Cabinet and Full Council. The Strategic Director for Place leads the Climate Emergency Board with oversight of the corporate objectives. Management and deliverables are led by the service director for strategic planning and infrastructure. Progress updates on the delivery of the plans are provided 6 monthly. Interim policies and performance monitoring arrangements are in place whilst we tackle the complex task of developing a methodology that will enable us to accurately measure and monitor carbon emissions. In future, the methodology being developed will help to identify any potential risks to achieving the target. There are 3 key plans in place to deliver objectives. * The Plymouth Plan specifically Policy GRO7 "Reducing carbon emissions and adapting to climate change", annual Climate Emergency Action Plans (CEAP) and Corporate Carbon Reduction Plans (CCRP)	3	4	12	3	4	12	3	4	12	3	4	12	—	Process of annual CEAP and CCRP action plans in place, with six monthly performance updates to scrutiny committee Climate Emergency Board meets four times / year to keep programme under review Review of governance and strategy / action planning process underway	Paul Barnard	Anthony Payne

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							Oct-21		Feb-22		May-22								
							P	I	P	I	P	I							
First Line of Defence (Operational management activity)																			
18	PLACE (SPI)	Place	SS	Street Services	<b>Risk of financial impact of delivering proposed changes to Waste Services as set out in the Government's Draft Environment Bill.</b>  Whilst the Government have stated that Local Authorities will not bear the cost of the changes the implications for Plymouth specifically are significant with likely changes to collection frequencies; plant, vehicle and machinery requirements; a weekly food waste collection and likely impacts upon existing waste disposal contracts including the Energy from Waste PFI contract. Waste policies and strategy will need to be reviewed to ensure compliance and alongside working with residents, communities and businesses to help manage any changes. A key requirement will also be understanding any resulting waste infrastructure requirements and where possible including appropriate provisions alongside evidence as part of the next iteration of the Plymouth and South West Devon Joint Local Plan scheduled for mid 2022. The Government are required to set out Statutory Instruments detailing the Environmental Bill requirements by Autumn 2022 with an indicative timescale for implementation of requirements by 2023/24.	Joint working group between Street Services & SPI Service Management Teams  Increased regional and national collaboration and engagement to improve knowledge sharing across the industry.	3	4	12	3	4	12	3	4	12	A	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 Act. The funding for this work has been wholly met by DEFRA. The initial report was completed with broadly inconclusive findings. The scope of ongoing work is as follows: - 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.	Philip Robinson	Anthony Payne
19	HROD (CCS)	CCS	HROD	HROD	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 morale, loss of productivity with impact on delivery; financial loss due to need to engage agency staff to cover and legal requirement to assess risk and make reasonable adjustments / remedial actions  Health and Safety at Work Act 1974 and Management of Health and Safety at Work Regulations (1999)  Risk Category: Compliance, Regulation and Safeguarding	Corporate wellbeing and resilience survey undertaken in Aug 2018 and results triangulated with other relevant data; priorities for action identified from analysis and all service areas required to have action plans in place to deliver as part of their business plans for 2019/20.  Individual stress and resilience risk assessments part of BAU Wellbeing and resilience training available as part of scheduled programme of HSW training. Contract for PAM Assist EAP renegotiated to all-inclusive to protect anonymity of staff accessing service. ERS advice and support in individual cases where other HR processes have been applied. 31 Wellbeing Champions across the organisation as 1st line of support to colleagues and driving a program of PH initiatives.			4	3	12	4	3	12	A	Individual stress and resilience risk assessments part of business as usual. Wellbeing and resilience training available as part of scheduled programme of HSW training. ERS advice and support in individual cases where other HR processes have been applied. 39 Wellbeing Champions across the organisation as 1st line of support to colleagues and driving a program of PH initiatives. Action taken at local level to secure resources to meet rising demands.	Kim Brown	Andy Ralphs	
20	SSPI2 COVID-19 BREXIT	Place	SPI	Strategic Planning & Infrastructure (Housing & Infrastructure)	<b>Risk of failing to deliver the range of housing to meet Plymouth's need via the Joint Local Plan (JLP) and the Plan for Homes Programme</b>  Housing supply is close to the core of Joint Local Plan delivery and a number of COVID-19 related factors will impact our ability to deliver to previously agreed levels  Covid risk: reduced demand for homes in Plymouth urban area, as well as reducing labour force, increasing cost of materials, viability and logistics as Brexit.  Risk Category: DEVELOPMENT & REGENERATION  Brexit Risk: Potential impact of rising material costs and shortfall of labour on Plan for Homes and Capital Programme	Driving progress on previous Plan for Homes site releases to seek accelerated construction of new homes, progress regularly reviewed with Portfolio Holder.  Sites identified in the JLP 5 year land supply regularly reviewed to consider what actions might bring forward sites currently in years 6 and 7 into 5 year supply.  Each JLP site now has a Delivery Strategy, with options identified for potential intervention based upon the identification barriers and resources. Data base established to allow for more effective review of actions and progress.  Review of partnerships and partners to manage delivery and ensure capability and maximise capacity, including funding for new homes.  Working with DLUHC & Homes England to develop a Place Based Strategic Partnership to maximise joint working, funding and alignment of housing delivery priorities. Proposal to establish a tripartite partnership between DLUHC, HE and PCC/SH&WD with the vision to transform the pace and quality of housing provision to fully meet housing need.	3	3	9	3	3	9	3	3	9	G	1. The results of the annual Plymouth Housing Survey of all new home completions for 2022/23 are due to be available by end of June 22, and we are due to publish the Housing Position Statement / 5 Year Land Supply by November 22 at the earliest. Overall completions will see a significant reduction due to the many issues associated with the pandemic including supply chain issues, cost price and build cost inflation, impacts on contractor capacity, particularly SME house builders, and general housing market uncertainty. 2. We continue our engagement with Homes England and DLUHC to identify priority sites for intervention, including potential funding, to help unlock and accelerate housing delivery on a number of key strategic city centre sites. 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 Place Based Strategic Partnership to unlock and deliver a pipeline of housing sites, support City Centre renaissance and to help align Government funding with housing site opportunities. Proposal to establish a tripartite partnership between DLUHC, HE and PCC/SH&WD 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 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. Bidding to a number of Government funding programmes to support new homes. Ongoing work with Homes England and MHCLG to support the delivery 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 SME's to start building again.	Paul Barnard	Anthony Payne
21	SCYPF1 COVID-19 IRR	Children's Services	CYPFS	Children's Social Care	<b>Risk to vulnerable children and young people in the care system, by not delivering early intervention and prevention and responding as soon as possible to their needs and promote better long term life outcomes.</b>  Early intervention aims to promote better long term life outcomes for families, and in doing so, also prevent them needing more intensive and higher cost services in the future, such as children's social care or the criminal justice system.  Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	Troubled Families Programme Early Help Assessment Tool The Children and Young People's Commissioning Plan Families with a Future initiative	2	3	6	2	3	6	2	3	6	G	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.	Siobhan Wallace	Sharon Muldoon
22	Finance	Customer and Corporate Services	Finance	Finance	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 lawful way of accounting for the transaction; consideration of this advice continues at the present time. The risk is that if a lawful way of accounting for the transaction cannot be agreed with the External Auditor and advising counsel then the Council may need to explore with Government alternative means of achieving a solution which sits within the appropriate legal parameters.									0	TBC - subject to ongoing legal advice	Liaison with legal advisers Consultation with the Auditor Possible Consultation with Government	Brendon Arnold	Brendon Arnold	