APPENDIX B PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER MAY 2022

V NO RISK RE	SK REF	Directorat e	at Servic	ce DEPT	PT	т	r	Link Dele DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category) Perf	KEY CONTROLS / SOURCES OF ASSURANCE (aligned to three lines of defence) Policies and procedures ink to business plan pletegations of authority / Fraud checks Risk and control framework Performance Management Project Management reviews	PREVIOUS PREVIOUS RISK RATING RISK RATING						RAG RATING /CHANG E IN RISK RATING	G G ACTION PLAN / FUTURE MITIGATION / ASSURANCE PLAN	RESPONSIB OFFICER(S	
O IR	OVID-19	Customer and Corporate Services		ce Finar	s is v	The Council's expenditure exceeds the resources available to meet that expenditure within the medium term financial plan period (2022/23-0025/26). 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 suses at each Scrutiny Committee. In addition the Council has introduced a system of detailed monitoring of they delivery of savings targets so that a few is published monthly in Cabinet reports. The Council also holds an annual review of fees and charges and has annual 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 rigrous system of financial control. In acknowledgement of budget pressures and the choices that leaved on successive basis o balance future budget shortfalls the Council has launched a Budget Consultation process to inform difficult budget choices moving forward.	First Line of Defence (Operational management activity) 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.	P	ct-21 1 4 1	P	eb-22 1 4 12		1	R	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 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.	t	Brendan An		
С	DS	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 Councils ability to leliver 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	R	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 Ralph		
		and	and	and custo servi	omer c	T 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 N	New New	5	4 20	R	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 Honeyw	Andy Ralph		
	HR1 DVID-19	Customer and Corporate Services	HROL	Cust & Corp HRO	orate DD N	The Council having insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities 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	Review working patterns ensure staff leave is taken Review posts prior to recruitment	5	3 1	5 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 Ralpi		
SI	R	Customer and Corporate Services	and Custo	ation	ı r	The Council not meeting its obligation to keep data secure by failing to adhere to Data Protection Act 2018 Regulations esults 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 1	5 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. Improved 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 Honeywe	II Andy Ral		
c	OVID-19	Customer and Corporate Services		& Corp	oorate S	The Council not meeting its legal obligations regarding the health, safety and wellbeing of its workforce. 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 rotering and supply process operational	3	5 1	5 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 22/23 HS&W 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 Ralp		
Pi (S	LACE (PI)	Place	SS		vices E	Risk of financial impact of delivering proposed changes to Waste Services as set out in the Government's Draft Environment Bill. Whilst the Government have stated that Local Authorities will not bear the cost of the changes the implications for Plymouth specifically res 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. Whese policies and strategy will need to be reviewed to ensure compliance and alongside working with residents, communities and businesses to help manage any relanges. A ley 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 cheduled 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.	Increased regional and national collaboration and engagement to improve knowledge sharing across the industry.	3	4 1	2 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 broadl 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.		Anthony P		
	ROD CCS)	CCS	HRO	D HRO	s s	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 taff 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				4	3 12	4	3 12	А	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.		Andy Ralpi		

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						First Line of Defence (Operational management activity)	P	ct-21	Feb-22	May-	-22 I				
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.						SSI		Liaison with legal advisers Consultation with the Auditor Possible Consultation with Government	Brendon Arnold	Brendon Arnold