

ROW NO	Directorate	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category)	PREVIOUS RISK RATING			CURRENT RISK RATING			CURRENT RISK RATING			RAG RATING / CHANGE IN RISK RATING	ACTION PLAN / FUTURE MITIGATION / ASSURANCE PLAN	RESPONSIBLE OFFICER(S)	DIRECTOR / ASSISTANT DIRECTOR
			Feb-22			May-22			Aug-22						
			P	I	12	P	I	25	P	I	25				
1	Customer and Corporate Services	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 they 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.	3	4	12	5	5	25	5	5	25	↑ 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 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. This will also include any significant issues which emerge from the cost of living crisis. 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. 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. This is underway but until this work is completed later in 2022 the risks will remain at the current level. The Deputy leader/PFH for Finance is meeting each week with S151 Officer and Strategic Director for Customer & Corporate Services to review the 2022/23 Monitoring position. There are also Member & Officer Budget Working Subgroup meetings every 2 weeks to monitor progress on 2023/24 budget.	David Northey/Paul Looby	David Northey
2	Children's Services	Failure to meet statutory duties due to growing volume and complexity of demand for children's social care services Pressures are building around the rate of inflation and cost of living incurred costs which Local Authority Foster Carers and Independent Providers are experiencing; this will have an additional impact on our sufficiency. We are likely to feel continue to feel the effects of further increases in the 2022/23 financial year as we renew our annual contracts in April 2023. Predictions are that the 2023/24 financial year will also see increased impacts therefore a 3% inflation is being built in on all fees for 2023/24. Risk Category: FINANCIAL, COMPLIANCE, REGULATION & SAFEGUARDING	4	5	20	4	5	20	4	5	20	— R	Additional social work capacity agreed to support effectively delivery of casework. Recruitment is ongoing to some of these posts on a permanent basis. Fostering Project Delivery Plan in place to increase foster carer resource to reduce costs. High cost placement review takes place on a frequent basis each month to ensure all costs closely monitored and reduced. 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. Service redesign is occurring to ensure an operating model that supports much earlier intervention and prevention of children coming into care wherever possible. To include: > Early help needs to be stronger > Our response needs to be more collaborative and supportive - Relationship based > Focus on reunification and other family based solutions i.e. guardianship / kinship care	Jean Kelly	Sharon Muldoon
3	Corporate and customer services	A Cyber-attack renders all of the Council's IT inaccessible for an extended period of time therefore impacting on the Councils ability to deliver services.	4	5	20	4	5	20	4	5	20	— R	Cyber Governance board implemented 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 Programme report and plan developed in September required reworking, now expected in November 22 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	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.	New	New	New	5	4	20	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 have been provided with the Capital plan for 2022/23 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	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	4	5	20	4	5	20	4	5	20	— R	Health & ASC Winter Plan which will bring in additional elements of contingency planning 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 marker 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	Place	Insufficient economic performance to sustain the City's economy and growth plans. Increasing risk of economic down turn. The risk to economic performance is a combination of the ongoing impacts of the long term impacts of Covid 19, inflation (including materials), the war in Ukraine, cost of living crisis on both individuals and businesses, general uncertainty in many sectors. The impact of interest rates rises will disproportionate effect Plymouth, which are well trailed to increase by another 1-2% by Christmas. 70% of households in Plymouth have borrowing. This is significantly higher than the rest of the SW. This coupled with energy price increases and difficulty in securing key manufacturing components mean the manufacturing sector, particularly businesses with tight margins are particularly vulnerable. 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	5	4	20	— R	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 though 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	David Draffan	Anthony Payne
7	ODPH	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	4	4	16	4	4	16	4	4	16	— A	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	ODPH	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.	4	4	16	4	4	16	4	4	16	—	A	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	Sarah Lees / Rob Nelder	Ruth Harrell
9	People	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	4	4	16	4	4	16	4	4	16	—	A	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	Adult Social Care (ASC) Reforms - There are a number of reforms to ASC that have created significant financial uncertainty in terms of being able to accurately understand the cost, volume and funding that will be made available to deliver these reforms. It is therefore not clear whether any additional monies will be sufficient to meet these changes. These reforms are; Fair cost of care Charging reforms Local Protection Safeguards Care Quality Commission Assurance programme	New	New	New	4	4	16	4	4	16	—	A	This risk will continue to be monitored closely as the reform programme progresses. We will assess the impact of Charging reforms on 'trailblazer' local authorities who are early adopters of these reforms. We will continue cost of care exercises locally, including working with our local care market to better understand impact on finance and resources. We will continue engagement with Local Government Agency and regional and national groups (such as ADASS) to determine approach to managing all reforms. We will continue to seek to understand impacts of all reforms through our established reform programmes, and will consider potential use of Offers and Asks due to cost of new burdens on the service.	Anna Coles/ Gary Walbridge	Craig McArdle
11	Customer and Corporate Services	The Council having insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities	5	3	15	5	3	15	5	3	15	—	A	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	Customer and Corporate Services	The Council not meeting its obligation to keep data secure by failing to adhere to Data Protection Act 2018 Regulations results in loss of trust in the Council and/or financial penalty from the Information Commissioner's Office (ICO) Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	5	3	15	5	3	15	5	3	15	—	A	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	Children's Services	Insufficient pupil attainment to achieve economic / quality of life outcomes across the secondary cohort Plymouth's Secondary cohort has experienced many years of poor attainment outcomes. This affects future economic and quality of life outcomes. Despite the 'provisional' indication of improvement in educational outcomes this year (2021/22), improved outcomes needs to be embedded, consistent and sustainable over forthcoming years. Placed-based funding ceased in March 2022, so the Secondary School Improvement Partnership needs to ensure sustainability around stabilising the system through the provision for continuous resources. RISK CATEGORY - FINANCE, REPUTATIONAL and DEVELOPMENT AND REGENERATION	3	5	15	3	5	15	3	5	15	—	A	Plymouth Education Board (PEB) (and sub groups) has been reviewed with the new Board started, strengthening education partnership. School 'Causing Concern' procedure has been reviewed and strengthened. These have lead to a partnership of distinct interventions to drive improvement and raise achievement. Cause for concern meetings, Early Years Board, Primary and Special School Partnership, Inclusion Strategy Board have added strength to the work governed by PEB. 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. Schools have been offered a catch up premium of £80 per pupils for most schools, to assist with programmes of learning to support pupils who require additional support following Covid. Schools have been sent a survey to confirm how this has been spent and the effectiveness of any programmes introduced. Summer 2021 GCSE, AS and A level were teacher assessed with the reintroduction of exams in 2022. Initial provisional indications are that 2022 examination outcomes are positive and show an improving Plymouth picture against national benchmarks.	Ming Zhang	Sharon Muldoon
14	Customer and Corporate Services	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	3	5	15	3	5	15	3	5	15	—	A	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 Ralphs

15	Place	<p>Risk of failing to meet carbon reduction targets to reach net zero by 2030.</p> <p>Plymouth City Council declared a climate emergency in March 2019. The activities of Plymouth City Council only contribute 1% of the total carbon emissions of the city. Failure to address and minimise our own carbon emissions would mean that the City Council was not playing its part in addressing the global problem of climate change. The wide-reaching consequences of climate change are well documented, affecting environmental, social and economic well-being and with a disproportionate impact on the most disadvantaged communities. 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.</p>	3	4	12	3	4	12	3	4	12	A	<p>Year 1, 2 and 3 CCRPs and CEAPs have been prepared to date, covering the period 2020-2022. The focus of the CCRP is on the things in the direct control of the City Council; the focus of the CEAP is on the wider things the Council is able to influence as well as some of the climate actions of City partners. The Climate Emergency strategy and action plan process is currently under review, with a view to making revisions from 2023, providing a more strategic approach. Growth and Infrastructure Overview and Scrutiny Committee receive 6 monthly performance updates</p>	Paul Barnard	Anthony Payne
16	Place	<p>Risk of financial impact of delivering proposed changes to Waste Services as set out in the Government's Draft Environment Bill.</p> <p>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.</p>	3	4	12	3	4	12	3	4	12	A	<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 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:</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. 	Philip Robinson	Anthony Payne
17	Place	<p>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</p> <p>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</p> <p>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.</p> <p>Risk Category: DEVELOPMENT & REGENERATION</p> <p>Brexit Risk: Potential impact of rising material costs and shortfall of labour on Plan for Homes and Capital Programme</p>	3	3	9	3	3	9	3	3	9	G	<p>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 DLUHC, HE and PCC/S&WD with the vision to transform the pace and quality of housing provision to fully meet housing need including the 35% urban uplift. Work with Homes England has led to agreed solutions and Deeds of Variations on four legacy sites to unlock delivery. Launched the Plymouth Eco-Homes Programme to support building a pipeline of 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, and identifying a pipeline of future sites to support our direct delivery ambitions. Developed two 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. Secured £2.2m Brownfield Land Release Funding to help unlock 325 affordable homes on PCC owned land. 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.</p>	Paul Barnard	Anthony Payne
18	Children's Services	<p>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 in order to promote better long term life outcomes. 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.</p> <p>Risk Category: FINANCE, COMPLIANCE, REGULATION & SAFEGUARDING</p>	2	3	6	2	3	6	2	3	6	G	<p>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.</p>	Jean Kelly	Sharon Muldoon
19	Place	<p>Viability of commercial bus operators with patronage not yet back to pre-Covid levels, the ending of Government Bus Recovery Grant in October, failure to secure any funding through our Bus Service Improvement Plan and increasing operating costs means that a number of unviable bus services are being reduced in frequency, re-routed or cut altogether from 4th September 2022. The fall and demand has particularly affected Park and Ride revenues and Milehouse P&R also now being cut from 4th September and Geiorge P&R service is covered by an augmented 1 to Tavistock Service. Changes in travel behaviour due to increased working from home are likely to continue post pandemic, suppressing work trips. Bus patronage is currently about 80% of 2019/20 levels. Several areas of Plymouth will no longer have a commercial bus service on any day of the week and evening, Saturday and Sunday services will be reduced in other areas.</p>	New	New	New	New	New	New	5	3	15	A	<p>Monitor patronage levels locally both fare paying and concession pass holders. Frequent liaison meetings with bus operators. The Council continues to pay concession fare reimbursement above actual level of travel, although this is reducing in line with Government guidance by 5% every 2 months until such time it is less than reimbursement based on actual trips. To address loss of commercial services from 4th September, a virement from concession fares reimbursement budget to non-commercial services budget of £557K in 23/24 to pay for non-commercial services secured through competitive tender and enable all areas of Plymouth to continue to have a bus service, at least on Mondays to Fridays. To make the budget go as far as possible, routes have been redesigned where possible to be able to use developer contributions to part or wholly fund some non-commercial routes. Enhanced cleaning regime of buses to continue. Ensure clear messaging by transport providers about maximising messages about maintaining safe travel. In March 2021, the Government announced its new National Bus Strategy "Bus Back Better" making a further £3bn of funding available for the 3 years from April 2022 to significantly improve bus services across the country. In the end only £1bn was available and although PCC has not received any additional BSIP funding from the £1bn released, PCC has confirmed that it will introduce an Enhanced Partnership from the 31st October 2022. At the moment it is not possible to deliver Plympton to encourage the take up of bus services. Schemes continue to delivered through the Transport Capital Programme to encourage patronage returning to pre-Pandemic levels as soon as possible. Increased commitment to non-commercial services is</p>	Paul Barnard	Anthony Payne
20	Customer and Corporate Services	<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 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.</p>							0			TBC – subject to ongoing legal advice	<p>Liaison with legal advisers Consultation with the Auditor Possible Consultation with Government Legal Advice now close to reconciliation and CIPFA accounting treatment agreed. Looking for acceptable resolution with all parties before Christmas break</p>	Brendon Arnold	Brendon Arnold

