

# RISK MANAGEMENT MONITORING REPORT

July 2023



## 1. Introduction

- 1.1. This report provides the position with regard to the strategic and operational risk registers.
- 1.2. The next formal review of the strategic risk and opportunity register will take place in September 2023, the operational risk register will also be reviewed at this time. Risk registers are however a live document and should be regularly discussed at Directorate Management Teams.

## 2. Strategic Risk Register

- 2.1. There are 23 strategic risks currently being managed. In total there are seven risks with a rating score of high amber / red which are reported in line with the City Council's approved risk tolerance levels and are shown below –
  - **Risk Number one in appendix A** relates to the Council's expenditure exceeding the resources available to meet that expenditure within the medium term financial plan period. The risk score is 25 which means extensive management of the risk is essential.
  - **Risk number 20** concerns Lawful Accounting Treatments in Respect of the Pensions Fund. The risk score is 20 which means considerable management of the risk is required.
  - **Risk number two** relates to possible failure to meet statutory duties due to growing volume and complexity of demand for children's social care services. The risk score is 20 which means considerable management of the risk is required.
  - **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. The risk score is 20 which means considerable management of the risk is required.
  - **Risk number four** relates to 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. The risk score is 20 which means considerable management of the risk is required.
  - **Risk number five** 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. The risk score is 20 which means considerable management of the risk is required.
  - **Risk number 21** relates to Schedule 3 of the Flood and Water Management Act in 2024 and the requirement to put in place a Suds Approval Body (SAB). The risk score is 20 which means considerable management of the risk is required.
  - **Risk number 24** Cater-Ed: PCC still carries pension and redundancy liability for Cater-Ed staff. The risk score is 20 and requires considerable management effort to respond to the risk. This risk was moved from the Operational to Strategic Register.
- 2.2 Five of the 23 risks on the strategic risk register have a risk rating of 16 and above, indicating higher risk and where management effort is required to adequately mitigate the risk. These are –

- **Risk number six** insufficient economic performance to sustain the City's economy and growth plans.
- **Risk number seven** Ongoing COVID-19 rates (with potential for further peaks)
- **Risk number eight** Failure to reduce Health Inequalities will mean our poorest residents continue to live shorter lives as well as more years in ill health.
- **Risk number nine** 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.
- **Risk number ten** 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.

### 3. Operational Risk Register (Appendix B)

3.1. There are currently 119 risks on the operational register. This is a reduction of 11 risks during this reporting period. The main reason for removal of risk that they were no longer relevant as advised by risk owners. (removed risks remain on the register struck out).

3.2. There is a total of seven red risks on the operational register, an increase of two in this reporting period. These relate to -

- Failure to meet statutory duties due to growing volume and complexity of demand for children's social care services. The overall risk score has been increased due to an increase in the probability score from three to four. (Children and Young People Directorate)
- Risk of loss of life, injury or property damage due to tree falling within the city and at Mount Edgcumbe. (Place Directorate)
- 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 (Resources Directorate)
- 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 (Resources Directorate)
- Failure to ensure staff retention, maintain resourcing requirements and recruit quality employees (Resources Directorate)
- Home Working - Increasing risk of detrimental impact on staff wellbeing with increased pressure within role and reduced customer service, could see an increase in wellbeing/stress absence type moving forward (Resources Directorate)
- Overall Department Budget and School Transport Budget impacting on capacity to plan and deliver services. The overall risk score has been increased due to an increase in the probability score from four to five. (Children and Young People Directorate)

## Appendix A - Strategic Risk Register

Risk No.	Directorate	Description	Key Controls	Previous Probability	Previous Impact	Previous Rating	Mitigation	Current Probability	Current Impact	Current Rating	Responsible Officer
1	Resources Directorate	The Council's expenditure exceeds the resources available to meet that expenditure within the medium term financial plan period (2022/23-2025/26).	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.	5	5	25	As reported to CMT 18 April 2023 the Council has a balanced Outturn for financial year 2022/23. Although general reserves have been used in the sum of £9m there has been no drawdown on the Working Balance. A balanced budget and Council tax was agreed at the February 2023 Full Council meeting. These are major pieces of the MTFP update to cover the 5 year period to 2017/18. A revised MTFP is currently being updated with continued input to be given by SLT ahead of the September 2023 Council sign off. Revisions will also be implemented to the monthly monitoring reports to focus on savings delivery, given the £23m target. For Capital, a revised capital governance is being proposed to tighten the reporting and understanding of the programme, with additional information included in each monitoring report.	5	5	25	David Northey
20		Lawful Accounting Treatments in Respect of the Pensions Fund		5	5	25	Options appraisal undertaken with Chief Executive and Assistant Chief Executive with a view to finding an acceptable closure. Risks still remain until resolved; resultant risks will be evaluated once a way forward is agreed	5	5	25	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	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	New approach on reviewing unregistered, use of residential care Enhanced oversight of the Improvement Plan for Fostering and increasing in-house foster care sufficiency. New model of intervention children at risk of care. Ongoing rigour in decision making to manage demand via a new Children's Resource Panel with a focus on all requests for Local authority care and/or the initiation of legal proceedings. From May, this will take place weekly and be chaired by the Service Director. 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.	4	5	20	Jane Anstis

3	Resources Directorate	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	5	4	20	LGA Cyber 360 review completed in March - review findings and recommendations due in April. Cyber 360 recommendations will be included in the Cyber improvements plan overseen by the Cyber Governance Board and Optimising our Assets Programme Board Cyber security briefing for SLT planned in April to raise awareness further of the threat and requirements of staff to reduce the risk of attack. Hackney Council are due to speak about their experience recovering from a major ransomware attack Cyber security awareness week planned for May 23, including a business continuity exercise, Member awareness training and staff briefings Finance, Customer and Performance Scrutiny Panel reviewed PCC cyber security and readiness in February and have requested a further update (date TBC) IT Health check (previously PSN certification) testing to take place in March, remediation's to be included into the Cyber improvements plan	4	5	20	John Finch
4	Resources Directorate	IT supply chain constraints results in increased costs and extended lead times for equipment.	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	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 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	5	4	20	John Finch / Peter Honeywell
21	Place	The Government intends to implement Schedule 3 of the Flood and Water Management Act in 2024 and put in place a Suds Approval Body (SAB). Schedule 3 provides a framework for approval and adoption of drainage systems, an approving body (SAB) and national standards on the design, construction, operation and maintenance of SUDS. This is highly likely to be introduced from 2024 and will be a risk for the local authority from FY 2024/2025. No provision has been made in the MTFP although Government grant may be	Resource and funding implications of legislation being implemented to bring into operation 'Suds Approval Bodies' or SAB, within Lead Local Flood Authorities, that could require PCC to adopt and maintain SUDS surface water drainage assets such as underground storage tanks, pipes, ponds, swales etc that serve Private development. This has implications for the Council in that it is likely that the Council will be required to technically approve and formally adopt, inspect and maintain SUDS features in a similar to a new estate road. General lack of resources but there will be a requirement to: set up a SAB, run and operate it, and the operation and maintenance of SuDS.	5	4	20	At the moment this is a proposal and would not be implemented until 2024. No information provided at present. Previously when the LLFA's were established, ring fenced GOV'T funding was provided for the first 3 years on a reducing basis. Consultation likely in 2023 and therefore responses need to reflect the need for funding to take on this function. The key considerations will be: Policy requirements; national standards and guidance requirements; cost and funding; future working with partners; skills and capability of local authority to take on this function.	5	4	20	Paul Barnard

		provided at the outset but could decline year on year.	Technical review of application, currently LLFA looks at adherence to LFRMS and industry standards. Inspection during construction and upon completion using CCTV. Formal adoption and handover procedure. Ongoing maintenance and operation as part of the highway. 4 additional FTEs are reckoned to be required at an annual staff cost of £150,000.								
24	Children's Services	Cater-Ed: PCC still carries pension and redundancy liability for Cater-Ed staff.	Monitoring contracts	2	4	8	CATERed has seen significant operating costs in terms of food prices, energy costs and wages and there is a significant risk that this organisation is not a financially viable company. Cost cutting reductions have been made where possible. The board are meeting in May 23 to discuss and agree the business plan and in June they will meet with Shareholders to discuss. CATERed is a going concern within the period but the long term viability is a significant concern - Escalated to Strategic Risk	4	5	20	Tina Brinkworth
6	Place	Insufficient economic performance to sustain the City's economy and growth plans.	Account management of our key businesses will help early identification of risks. Labour market remains very tight and we are working closely with people directorate to support the skills launch pad. The freeport has been launched and is now live. The defence sector and HM Naval Base has significant construction plans we are working closely with government and Homes England to position Plymouth for additional investment and help attract new people/workforce to the City. Shared Prosperity Funding is targeted at support for Port development, City Centre and Skills	4	4	16	Alongside this we are seeking to maximise all opportunities to secure additional funding for economic initiatives including focussing on creating new jobs in the Blue and green economy. The initiatives include: The Plymouth and South Devon Freeport, National Marine Park. We will continue to maximise all funding opportunities for our city region.	4	4	16	David Draffan
7	ODPH	Ongoing COVID-19 rates (with potential for further peaks)	Plans are in place to respond, should a new variant with concerning properties be detected. Health Protection Group established and meets fortnightly to discuss issues related to COVID-19 and other infectious diseases.	4	4	16	The key mitigation of vaccination has now reached around 85% (one or more doses) of those eligible. Mitigations have been removed and we have been seeing sustained low levels but fewer surges. The longstanding advice to the general public remains in place and is re-emphasised at regular intervals.	3	3	12	Ruth Harrell / Rob Nelder

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.	The Thrive Plymouth framework Plymouth Plan and Integrated Commissioning Strategies	4	4	16	Persistent action across the Council and the city is required at many levels to tackle inequalities by addressing the wider detriments of health, as embedded in the Plymouth Plan. Austerity, the pandemic, and the current economic downturn and cost of living crisis all serve to widen health inequalities. Thrive Plymouth continues, with a wide range of partners, and work to tackle child poverty and support people in need is ongoing but is unlikely to sufficiently mitigate the impact of the current risks to narrow HI.	4	4	16	Ruth Harrell / Rob Nelder
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.	Real time management information Strong Reablement Offer Established Review Programme Commissioning Intentions and Commissioning Activity to develop new models of care.	4	4	16	Real time management information - Strong Reablement Offer - Established Review Programme - Commissioning Intentions through Market Sustainability Plans 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	4	4	16	Gary Walbridge
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.	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	4	4	16	Charging and Liberty Protection Safeguards reforms have been pushed back by government. 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 transformation programmes, and will consider potential use of Offers and Asks due to cost of new burdens on the service.	4	4	16	Gary Walbridge
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.	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	Health & ASC Winter Plan which will bring in additional elements of contingency planning Uplift in fee rate across the care market appears to have helped support a current stabilising of the market. Local Authority has set up a Care Company to ensure continuity of provision in the event of market failure We remain committed to supporting the care market through; Community Capacity Command Centre, Care Home liaison, workforce recruitment / retention across residential and domiciliary sector and the remodelled Bed Bureau/Brokerage	3	5	15	Gary Walbridge



11	Resources Directorate	The Council having insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities	Workforce data. Employee Assistance Programme. Organisational Restructure toolkit.	5	3	15	Targeted support for Children Services – resourcing and capacity Introduction of new assistant social worker positions Review of People Strategy for 2024 Recruiting to key chief officer roles Presented proposals to SLT in relation to Recruitment and retention strategy. These will now be developed and implemented as appropriate Improving induction processes Market factor supplements have been reviewed. Implementation in May 2023 Support for employee wellbeing - Well-being week commences w/c 15 May 2023	5	3	15	Kim Brown
12	Resources Directorate	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)	Annual IT Health Check Vulnerability scan IT Infrastructure patching policy ICO Action Plan Information Audit Staff workshops GDPR	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	5	3	15	Peter Honeywell
14	Resources Directorate	The Council not meeting its legal obligations regarding the health, safety and wellbeing of its workforce.	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	Reviewing of risk assessments and DSE assessments to ensure compliance Review of mandatory training to ensure compliance to be completed by May 2023 Targeted audits across the council - audit plan in place and shred on staffroom IOSH for senior managers - to be completed by first week in May Development at SLT and Team Plymouth Independent review of Health & Safety culture to be undertaken	3	5	15	Kim Brown

19	Place	Viability of commercial bus operators		5	3	15	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 Plymotion to encourage the take up of bus services. Schemes continue to be 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 up until March 2024. Tenders will be sought late in 2023 when it is envisaged that commercial viability on a number of routes will have improved.	5	3	15	Paul Barnard
15	Place	Risk of financial impact of delivering proposed changes to Waste Services as set out in the Government's Draft Environment Bill.	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	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:	3	4	12	Phil Robinson



						<ul style="list-style-type: none"> <li>- To understand the implications of, and ensure the Council meets, the government's requirements as proposed in the Resources &amp; Waste Strategy</li> <li>- To help inform the future design of the Council's household waste collection service and understand the implications in terms of reprocessing infrastructure</li> <li>- To understand the likely impact that changes to the current household waste collection service will have on the Council's recycling performance</li> <li>- 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</li> <li>- 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.</li> </ul>					
16	Place	Risk of failing to meet carbon reduction targets to reach net zero by 2030.	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 Environment and Street Services, 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. The aspiration for Plymouth to achieve net zero by 2030 is set out in the Plymouth Plan, Policy GRO7. The City Council identifies the part it will play in working to this aspiration in annual Corporate Carbon Reduction Plans (CCRP) and Climate Emergency Action Plans (CEAP).	3	4	12	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	3	4	12	Paul Barnard
25	Resources Directorate	<b>The Council having insufficient statutory senior leadership capacity and resilience to deliver the required to meet statutory obligations.</b>	Through the People Strategy- Develop a peer-support network of leaders Deliver Our Leaders Programme - A leadership framework delivered through Annual Appraisal Processes			0	Current gaps in senior leadership positions will be addressed through interim appointments. Recruitment for Senior Manager Appointments are underway through appropriate executive search / recruitment agencies.	4	3	12	Pamela Moffat

			Develop our managers through Chartered Management Programmes								
17	Place	Risk of failing to deliver the range of housing to meet Plymouth's need	<p>Driving progress on previous Plan for Homes site releases to seek accelerated construction of new homes, progress regularly reviewed with Portfolio Holder.</p> <p>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.</p> <p>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.</p> <p>Review of partnerships and partners to manage delivery and ensure capability and maximise capacity, including funding for new homes.</p> <p>Working with DLUHC &amp; 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&amp;WD with the vision to transform the pace and quality of housing provision to fully meet housing need.</p>	3	4	12	<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&amp;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. We will work with DLUHC and Homes</p>	3	3	9	Paul Barnard

							England. Continuing to bring long term empty homes back into use.				
23	Children's Services	Response to Ofsted Focused Visit to the Front Door does not result in required improvements.	Systems and Processes in place for response to initial inspection and follow up.	3	3	9	<ul style="list-style-type: none"> <li>• A new Improvement Board is in place for the Children's Services across the Plymouth (March 2023).</li> <li>• Service Director chairs a fortnightly Improvement Board for the Front Door which has partner engagement (Feb 23).</li> <li>• Improved capacity in management structures has been in place since January 2023.</li> <li>• Review of processes and focus on performance improvement in place.</li> <li>• Key metrics are reviewed alongside Audit activity to test quality of decision making.</li> </ul>	3	3	9	Sharon Muldoon
22	Place	The DfT has set out expectations of the Peninsula Transport Sub-National Transport Body in that the current governance arrangements are not working and that there needs to be a single Lead Authority employing a core team of staff representing a single point of contact between the STB and the DfT but also to have the skills and capacity to perform a wider strategic role supporting individual Local Transport Authorities. The DfT has set out minimum staffing levels, but recognising that as the DfT, it will need to cover the cost of salaries and redundancies. As we stand, the DfT is unable to confirm funding to cover the cost of salaries for 23/24 and for covering any redundancy costs should that be required. The 2022/23 allocation of funding for the STB from the DfT is £585K but only £338K is indicated of which none has yet found its way to PCC's account as Accountable Body for the STB. The DfT as with other Government Departments is under	Plymouth City Council is the Accountable Body for Peninsula Transport Sub-National Transport Body and subject to final Board approval on the 2nd March will become the Lead Authority and also to be the employer and host to the proposed Core Peninsula Transport Staff. A governance structure is already in place for Peninsula Transport to ensure that the STB's annual business plans are managed and delivered. DfT has set out its expectations for minimal staffing levels required within each STB in order that they can perform their strategic role and in doing so continue to receive central government support. In moving to a permanent core staff structure, the DfT are keen for Peninsula Transport to provide more support in the future, to individual constituent local authorities that make up Peninsula Transport. The additional core staff resource is likely to reduce the need for the STB to commission work from external consultees to those tasks which require specialist knowledge and skills not available within the core staff resource.	2	4	8	The DfT has restated their commitment to ensure that the host authority for these positions will not be liable for all costs relating to these posts and any redundancies should they be required. Hold a meeting between the STB, DfT and PCC to understand whether DfT are able to honour their commitment to cover cost of salaries and underwrite cost of redundancies before commencing recruitment. Agreement of annual business plans with DfT and monitoring progress against the business plan. Monthly monitoring of income and expenditure as part of the Council's role as the Accountable Body and receiving funding directly from DfT.	2	4	8	Paul Barnard

extreme budget pressure and  
are still working on priorities.



## Appendix B - Operational Risk Register

Risk No.	Directorate	Description	Key Controls - Three Line of Defence SEE THE RISK MANAGEMENT STRATEGY	Previous Probability	Previous Impact	Previous Rating	Mitigation	Current Probability	Current Impact	Current Rating	Responsible Officer
1	Children's Services	<b>Failure to meet statutory duties due to growing volume and complexity of demand for children's social care services</b>	<p>Trend analysis informing projections about the numbers of children coming into care to monitor activity. These projections have been accurate. Regular scrutiny via lead member for children and finance.</p> <p>Project groups to monitor placement sufficiency and reunification activity. Monthly scrutiny via Children's DMT and Programme Board with DCS scrutinises progress of key project group activity and outcomes.</p> <p>Federated Leadership Team Scrutiny and oversight to monitor and manage budgets.</p> <p>Medium Term Financial Planning arrangements to consider cost and volume in relation to demand.</p> <p>CYPFS Panel review all decisions for children coming into care. Placement Review of all high cost placements weekly by dedicated manager. Adolescent Support Team working with families and social workers where reunification is viable for children. They are also working with children at the edge of care to prevent care where viable. Fortnightly management meetings held to review and monitor performance in key areas of practice.</p>	3	5	15	<p>Additional social work capacity agreed to support effectively delivery of casework.</p> <p>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, .</p> <p>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.</p> <p>Ensuring action plan milestones are reached via monthly monitoring at Programme Board/Finance DMT.</p> <p>All delivery plans have been reviewed and progress is being achieved to mitigate delays caused by Covid response.</p>	4	5	20	Sharon Muldoon

17	Place	<p><b>Risk of loss of life, injury or property damage due to tree falling within the city and at Mount Edgumbe.</b></p> <p><b>Ash dieback</b></p>	<p>QTRA assessment underway at Mt Edgumbe and rangers have been trained. Park zoned and areas of high footfall tree assessments moving towards completion. Extra Ranger hired to carry out remedial tree works. We have identified a number of trees requiring immediate safety work and require funding to undertake [update 20/1/21 - funding will be built into 22/23 revenue budget and manager instructed to prioritise commencement of work].</p> <p>Plan for Trees Investment Programme Exec Decision published Nov 2020 allocated £1.2m funds over 3 years for additional resource for managing tree risk and mitigation planting. Recruitment &amp; Appointment in PCC of new Operational Manager for Arboriculture, 2 new NI Officers, 1 new Tree Officer, 2 new Arborists &amp; 2 new Apprentice Arborists completed providing additional capacity to manage this risk effectively. Roll out of new digital asset management system - Alloy - completed for PCC trees providing clear ability to schedule, record and monitor tree safety inspections and defect work. Ash Dieback Action Plan completed - being used internally and awaiting internal sign off and confirmation of this will become a published plan. Now published</p>	5	4	20	<p>Feb 2023</p> <p>High turnover of staff in SSW has impacted rate of progress in last two quarters of 2022/23. Acting up arrangements in place to alleviate this but still a lag. PFT investment budget is able to continue into 24/25 but is forecast to be expended in that FY. This puts additional posts at risk. Review and plan refresh required during 23/24.</p> <p>Alloy system implementation now aiding data capture better, still improvements to be made to utilise this to best effect to target work efficiently.</p> <p>Works ongoing due to large backlog of work. Initial assessment of Ash dieback and report issued. Tree Risk Management Review complete.</p>	5	4	20	Kat Deeney
29	Customer and Corporate	<p><b>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</b></p>	<p>Asbestos surveys and management plans in the process of being procured; programme has been adjusted to ensure happen as quickly as possible</p> <p>PIC monitoring where asbestos is known to exist and compliance visits / audits from Hard FM annually</p> <p>Asbestos registers for review by Contractors in place</p> <p>Health and Safety Policy updated to include PIC roles</p> <p>High risk areas are properly managed</p>	4	5	20	<p>1. Completion of the pilot of 3 buildings (80% as at Oct 2019)</p> <p>2. Roll out of the MAC initiative to all remaining buildings</p> <p>3. Management of the buildings, linked to PIC changes and take up within all risk areas.</p> <p>19/08/2022</p> <p>1. Deliver procurement activity for full suite of Asbestos Management Surveys</p> <p>2. Link to Term Contract delivery for ongoing Management Plans</p>	4	5	20	Dan Williams



32	Customer and Corporate	<b>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</b>	Adherence to PCC policies. Staff training. Security incident management. Strong contract management with ICT suppliers. Pro-active protective monitoring. Tested Business Continuity plans	4	5	20	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.  04/09/20. Impact reduced on risk as a result of the learning and success of the data centre fail over testing performed w/e 21 and 22 Aug  BC currently being updated, exercise expected during 2023.	4	5	20	John Finch
100	Customer and Corporate	<b>Failure to ensure staff retention, maintain resourcing requirements and recruit quality employees</b>		5	4	20	Focus on priority services.  mitigating risk to service delivery on key tasks by training temporary staff on these, but risk still there due to temporary nature of these roles  additional I21 line management support required for new starters, who are building their knowledge, need more support and are new to the role  Review staffing levels, continue to highlight risk and any changes, look to ensure recruitment where required.  Cross-training ongoing to ensure resilience as best as possible should individuals leave, as well as training being provided to a number of the team at a time, accepting a dip in answer rates during training period	5	4	20	Paul Walshe
101	Customer and Corporate	<b>home Working - Increasing risk of detrimental impact on staff wellbeing with increased pressure within role and reduced customer service, could see an increase in wellbeing/stress absence type moving forward</b>	Checking in with staff frequently via I21 conversations, RPD's, team meetings, performance feedback and meetings with service areas to highlight any concerns  Ensuring staff have access to all online support, Pam Assist, Occupational Health referrals, support with home-worker checklists  Providing details to the covid-19 specific wellbeing pages, covering a range of concerns employees may have  Asking team to be open and honest when they do have concerns in or out of work which might impact performance or attendance	5	4	20	Checking in with staff frequently via I21 conversations, RPD's, team meetings, performance feedback and meetings with service areas to highlight any concerns  Ensuring staff have access to all online support, Pam Assist, Occupational Health referrals, support with home-worker checklists including covid-19 specific wellbeing pages  Ensure team are open and honest when they do have concerns, and that these are acted on by line managers and escalated when needed  covid-19 allowing individuals back to an office environment for some of working week moving forward for those that need it	5	4	20	Paul Walshe
118	Children's Services	<b>Overall Department Budget and School Transport Budget impacting on capacity to plan and deliver services.</b>	Star Chambers	4	4	16	Standing item on SMT meeting agenda	5	4	20	Annie Gammon