



There are **25** strategic risks on the Corporate Registers.

This is an increase of 8 risks since the last reporting period.

		Likelihood				
		Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Certain (5)
Impact	Catastrophic (5)				1	1
	Major (4)	1	2	4	4	1
	Moderate (3)		2	3	1	1
	Minor (2)		2			
	Insignificant (1)		2			



Pre-mitigation Risk Matrix

Impact	Likelihood				
	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Certain (5)
Catastrophic (5)				1	3
Major (4)			2	9	2
Moderate (3)			2	2	3
Minor (2)			1		
Insignificant (1)					

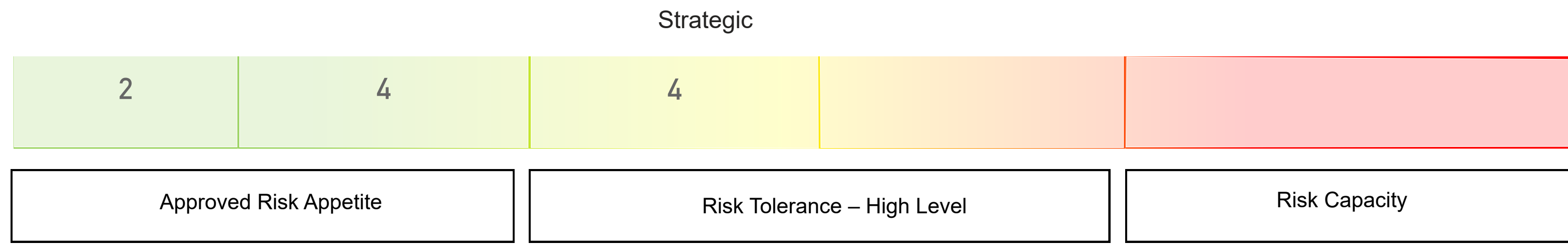
Post-mitigation Risk Matrix

Impact	Likelihood				
	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Certain (5)
Catastrophic (5)				1	1
Major (4)	1	2	4	4	1
Moderate (3)		2	3	1	1
Minor (2)		2			
Insignificant (1)		2			

Risk Ranking Pre / Post Difference

Risk Ranking	Pre	Post	Diff	% Diff
25	3	1	-2	-67%
20	3	2	-1	-33%
16	9	4	-5	-56%
15	3	1	-2	-67%
12	4	5	1	25%
9	2	3	1	50%
8		2	2	
6	1	2	1	100%
4		3	3	
2		2	2	

People - Risk Appetite Analysis - Compliance, Regulation and Safeguarding



Risk Title	Pre Mitigation	Post Mitigation	Directorate
Keeping data secure	15	15	Resources Directorate
Carbon reduction targets	12	12	Place
Impact on the Civil Protection Service delivering statutory 'must do' activities and functions and responding to emergencies	15	12	Executive Office
Insufficient workforce	15	12	Resources Directorate
Failure to meet statutory duties	16	9	Childrens' Services
Manual Handling Organisation Wide	12	9	Executive Office
Mental Health and Wellbeing	16	8	Executive Office
Violence and Aggression	16	6	Executive Office
Fire Safety Management	16	4	Executive Office
Implementation of Evotix Assure Health and Safety System	16	4	Executive Office



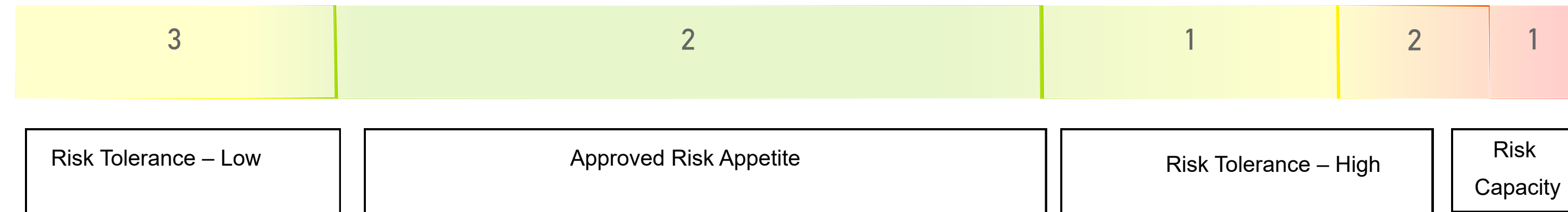
Strategic



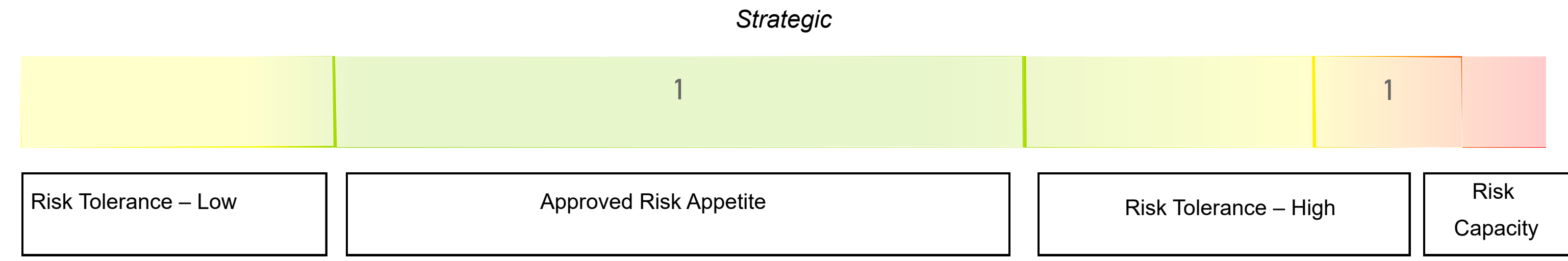
Risk Title	Pre Mitigation	Post Mitigation	Directorate
Lawful Accounting Treatment	25	20	Resources Directorate
Council's expenditure exceeds the resources available	25	16	Resources Directorate
Increased and sustained pressure on Adult Social Care budget	16	16	People



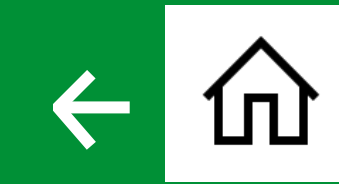
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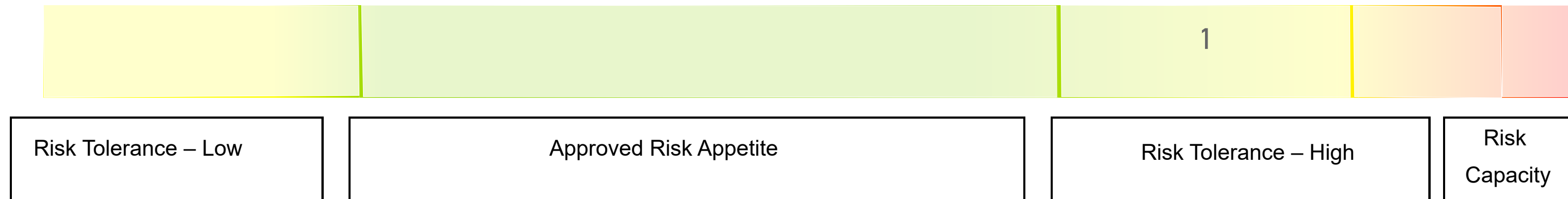
Risk Title	Pre Mitigation	Post Mitigation	Directorate
Cyber-attack	20	25	Resources Directorate
IT supply chain constraints	20	20	Resources Directorate
Failure to reduce Health Inequalities	16	16	Office of the Director of Public Health
Homelessness	25	12	People
Lack of adult social care workforce	20	8	People
COVID-19	9	6	Office of the Director of Public Health
Adult Social Care - funding for National Living Wage increase	9	4	People
Adult Social Care (ASC) Reforms	16	2	People
Commissioned providers - workforce recruitment and retention	6	2	People



Risk Title	Pre Mitigation	Post Mitigation	Directorate
Insufficient economic performance	16	16	Place
Housing Delivery	12	9	Place



Strategic



Risk Title	Pre Mitigation	Post Mitigation	Directorate
Insufficient statutory senior leadership capacity	12	12	Resources Directorate



11 risks have been identified as partnership risks.

11 of the risks are strategic.

Impact	Likelihood				
	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Certain (5)
Catastrophic (5)					
Major (4)	1	1	1	1	
Moderate (3)		1	2	1	
Minor (2)		2			
Insignificant (1)		1			

Risk Title	Pre Mitigation	Post Mitigation	Directorate
Increased and sustained pressure on Adult Social Care budget	16	16	People
Homelessness	25	12	People
Impact on the Civil Protection Service delivering statutory 'must do' activities and functions and responding to emergencies	15	12	Executive Office
Failure to meet statutory duties	16	9	Childrens' Services
Manual Handling Organisation Wide	12	9	Executive Office
Mental Health and Wellbeing	16	8	Executive Office
Violence and Aggression	16	6	Executive Office
Adult Social Care - funding for National Living Wage increase	9	4	People
Fire Safety Management	16	4	Executive Office
Implementation of Evotix Assure Health and Safety System	16	4	Executive Office
Commissioned providers - workforce recruitment and retention	6	2	People

Plymouth City Council - Corporate Risk Register - People

Risk Title	Risk Description	Mitigation	Pre	Post
Increased and sustained pressure on Adult Social Care budget	Increased and sustained pressure on Adult Social Care budget due to increased costs of providing care, pressures around hospital flow and growing numbers of people with increased complexity of need.	Strengthen Scheme of Delegation and management actions focused on practice with our key Partner Livewell South West Review of role profiles and technical competency requirements. Review of structural design, spans and layers of control. Design of appropriate workforce development plans. In-house resilience and competency to be built for relevant areas under current con	16	16
Homelessness	There is a significant demand for homelessness services, leading to pressure on service delivery and statutory targets with additional significant budget implications. Realisation of risk will lead to significant negative impact upon individuals, families and communities in Plymouth.	Homelessness Recovery Plan has been developed. Housing Task Force providing strategic leadership and is driving the recovery plan this includes representation from across the council to ensure that the organisational has the appropriate focus on this priority areas - This is led by the Relevant Cabinet Member and the Chief Executive. The Homelessness Recovery Board is managing / delivering operational elements of the recovery plan, and reports onto the Taskforce.	25	12
Lack of adult social care workforce	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.	There has been some return to stability in the ASC Market workforce. Signs for overall recovery are good but we are unclear whether improvements can be sustained particularly through winter. The winter plan includes measure to increase capacity. Further work to be undertaken to understand the movement in the workforce. Key controls remain in place.	20	8
Adult Social Care - funding for National Living Wage increase	Risk of adult placement providers withdrawing services or seeking to place with other local authorities if the cost of meeting the increase to the National Living Wage is not met.	Regular provider forums, newsletter and communications. Contract managers are available for any providers experiencing financial issues to be able to have a more in depth discussion. Benchmarking with other local authorities as part of regional groups.	9	4
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.	Proposals have now been delayed by government. Uncertainty to the future direction of travel. Risk reduced overall and will be removed during the course of the next review period.	16	2
Commissioned providers - workforce recruitment and retention	Risk of adult social care workforce choosing to leave the profession, risking the delivery of care in the short, medium and longer term.	Regular provider events, tracking of demand and capacity in the provider market, protocols such as Shackleton to draw on mutual support in the event of a provider failure. Waiting lists for home care continue to reduce and provider stability is tracked through "Provider of Concern" briefings to the Head of Service.	6	2

Plymouth City Council - Corporate Risk Register - Place

Risk Title	Risk Description	Mitigation	Pre	Post
Insufficient economic performance	Insufficient economic performance to sustain the City's economy and growth plans.	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.	16	16
Carbon reduction targets	Risk of the City Council failing to meet its carbon reduction targets to reach net zero by 2030.	Subject to Cabinet Approval and Council endorsement the development of a new Net Zero Action Plan will commence with additional decarbonisation commitments, and a new ambitious Plan for Nature Recovery.	12	12
Housing Delivery	Risk of failing to deliver the range of housing to meet Plymouth's need	Plymouth is on track to meet the Plymouth Local Planning Authority (LPA) area target set out in the Joint Local Plan of 13,200 net additional dwellings to be delivered over the period 2014 to 2034 (annualised to 660 dwellings per annum). Monitoring development activity in the construction sector to understand the effect of COVID-19 on housebuilding. Managing 5 year land supply position to ensure that decisions on sites are taken using a balanced and objective assessment of market conditions. Following successful bids we continue to work with DLUHC and Homes England. Continuing to bring long term empty homes back into use.	12	9

Plymouth City Council - Corporate Risk Register - Children's Services

Risk Title	Risk Description	Mitigation	Pre	Post
Failure to meet statutory duties	Failure to meet statutory duties due to growing volume and complexity of demand for children's social care services	Regular review of demand and capacity. Additional Social Workers recruited to support Children and Families. Focus on reduction of overall demand through Early Intervention and Prevention. Risk regularly considered as part of Corporate Management Team discussions.	16	9

Plymouth City Council - Corporate Risk Register - Resources Directorate

Risk Title	Risk Description	Mitigation	Pre	Post
Cyber-attack	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.	Cyber Security Briefings now part of CMT quarterly reports. DELT Cyber Security plan now developed for CMT sign off. The council has undertaken significant action to mitigate against cyberattacks, however the threat remains constant as such the probability of attack remains high.	20	25
IT supply chain constraints	IT supply chain constraints results in increased costs and extended lead times for equipment.	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.	20	20
Lawful Accounting Treatment	Resolution to a difference of opinion between Plymouth City Council and our external auditors Grant Thornton (GT), concerning the payment in full of the pension deficit in October 2019, value £72m. The Council has accounted for the transaction as capital expenditure; GT maintain that the liability was paid in full in the financial year 2019/20 and therefore needs to be accounted for as a revenue expenditure in one year.	Formal request has been submitted to DLUHC for a Capitalisation Direction, referred to as Exceptional Financial Support, in reference to the accounting treatment of the Council's pension arrears in 2019/20. The date of the Council meeting was moved to enable discussions with DLUHC. Good progress is being made and we await an outcome within the timeframe. There remains a high risk that 1) the outcome is not as requested and 2) the subsequent budget required leaves us	25	20
Council's expenditure exceeds the resources available	The Council's expenditure exceeds the resources available to meet that expenditure within the medium term financial plan period (2022/23-2025/26).	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.	25	16
Keeping data secure	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)	Continued roll out staff awareness training to all staff. Implement greater reporting consistency within directorates. Implement improved incident analysis within the Service Desk. Improved contract management with partners. Improve Privacy notice templates and ensure all gaps are addressed Standardised breach management processes distributed to key staff. Reviewed policies to be communicated to all staff	15	15
Insufficient statutory senior leadership capacity	HS Performance Standards in place for most hazard areas.	Recruitment for Senior Manager Appointments are underway through appropriate executive search / recruitment agencies. Permanent appointments made to Strategic Director Children's, SD EPS, SD HR-OD, extension to 151 arrangements to March 2025.	12	12
Insufficient workforce	The Council having insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities	Targeted support for Children Services – resourcing and capacity / Introduction of new assistant social worker positions Review of People Strategy for 2024 Presented proposals to SLT in relation to Recruitment and retention strategy. These will now be developed and implemented as appropriate. Improving induction processes. Recruitment sprint project completed, moving to 2nd phase	15	12

Plymouth City Council - Corporate Risk Register - Executive Office (H&S)

Risk Title	Risk Description	Mitigation	Pre	Post
Manual Handling Organisation Wide	Ergonomic and musculoskeletal injuries, ill health sickness absence and potential EL claims caused by inadequately assessed and controlled manual handling operations across the organisation.	Review of any MSD sickness absence - due to MHOR activities and review of risk assessments related to the work area. Quality audit of actions resulting from MHOR incidents.	12	9
Mental Health and Wellbeing	Risk of negative affect to staff mental health and wellbeing related to work activities, resulting in sickness absence, loss of talent, reputational damage, staff retention. Risk of work-related stress and sickness absence, enforcement action from regulator, talent loss, reputational damage, staff retention. Reduced morale, damage to HSW culture, inability to perform required activities to appropriate standard. Risk of HSW legislative breaches due to reduced staff resource. Increased risk of EL claims and increased premiums. Wellbeing strategy not developed, therefore lack of coordinated mitigation of the risk.	Wellbeing Strategy to be developed. Increase awareness of wellbeing being integral to good health, safety and wellbeing management. Wellbeing KPI's to be developed and monitored through Managers HSW Toolkit. Stress and Resilience HSPS 15 - to be developed to include Mental Health and Wellbeing. Maintenance and development of Wellbeing at Work Award. Increase attendance on Stress and Resilience training. Team and individual stress risk assessments to be developed across all PCC and partner areas. Mental Health and Grief and Bereavement First Aid Training to be developed. TRiM training to be provided to volunteer staff. Conflict Resolution training for appropriate staff. Review of disciplinary process to include milestones for mandatory wellbeing support. Horizon scanning through HSW Team.	16	8
Violence and Aggression	Risk of physical injury, psychosocial harm related to violence and aggression incidents and activities where staff support customers with significant mental health needs. Risk profile has become increasingly negative post-Covid, societal change, requires a change to risk management.	Staff alert system to be developed and maintained to ensure timely sharing of critical information to all relevant stakeholders (including external partners where required). #OurStaff to be implemented. Audit of mitigations across PCC to assess compliance. Roll-out of conflict resolution and managing difficult conversations ; upskill staff in de-escalation skills. Testing of lone working procedure responses locally to validate in advance of an incident. Clarity of organisational V&A tolerance (Zero tolerance?) and ensure this is consistently applied and understood. Development of leading and lagging KPI's. Engagement of HSW Team with schools and school transport teams in order to provide appropriate control measures. Neurodiversity training to be investigated for appropriate frontline.	16	6
Fire Safety Management	Risk of non-compliance with Regulatory Reform (Fire Safety) Order 2005 as a result of inadequate fire safety competency and control at organisation level, inadequate compliance with Fire Safety Policy, fire safety mitigations and building integrity (engineering fire safety controls) compromised by non-compliance with building safety FM controls, including control of contractors and their activities. Operational failures and non-compliances may lead to serious potential risk of injury, fatality, multiple fatalities, significant damage to assets as a result of fire incident.	Coordination of projects that include amendments and physical interventions to building engineering and structure fire controls. Fire safety advice to be sought prior to any on-site activity. Control of ALL contractors through FM to ensure fire safety is not compromised. Appointment of 'competent' advisor internal to PCC. Assessment of PICS process to ensure that this process can provide adequate mitigation of fire safety risks. PEEP process to be implemented and monitored. Fire safety controls to be included in PPM programme (lighting, alarm , detector, door checks). Review of DSEAR assessments across the organisation. Consideration of Fire Safety Evacuation information in large buildings with low occupancy.	16	4
Implementation of Evotix Assure Health and Safety System	Risk of inaccurate and inconsistent implementation and maintenance of the Evotix Assure system, resulting in loss of data capture, inadequate risk management operations and oversight, inability to report centrally and inability to provide assurance to PCC leadership team. (Incomplete data). Under-reporting and lack of reporting and investigation of HSW risks and incidents. Risk of inaccurate organisational structure information and maintenance leading to inability to ensure ownership through the managerial structure. Risk of inability to provide information to enforcement agencies in the event of an incident. Failure to resolve GDPR issues will result in system being underutilised and adversely affect resource within the HSW team and across PCC.	HROD and Finance to take ownership of organisational structure changes and implementation, communication to key stakeholders across PCC and partners. Timely and meaningful engagement from directorates to enable roll out of system, training etc. Increased resource within HSW Team for rollout of Evotix Assure in terms of administration - HSW Assistant post appointed to - awaiting start of individual. Existing super-users to be amalgamated with HSW Coordinator roles as identified - require additional skills through training (local resource and support). Consideration of internet-enabled tablets to facilitate full use of the system, audits and inspections can be recorded contemporaneously. Identification of HSW Coordinators across PCC to facilitate and support embedding of the system.	16	4

Plymouth City Council - Corporate Risk Register - Executive Office (Continued)

Risk Title	Risk Description	Mitigation	Pre	Post ▼
Impact on the Civil Protection Service delivering statutory 'must do' activities and functions and responding to emergencies	Impacted capability to fulfil our statutory duties and deliver critical 'must do' functions in an emergency or provide direct emergency response coordination for the organisation.	Responsible officer leading Business Continuity Planning is involved in regional forums and regularly identifies good practice. Embed the recently rewritten Corporate Emergency Response Plan into the organisation by ensuring Incident Support Staff are recruited, trained and exercised. Work with Tactical and Strategic Commanders to ensure good practice is regularly reviewed and where lessons are identified or risks/threat recognised share that learning via the newly formed STC Group. Specialised work stream leads undertaking COMAH and REPPIR work regularly engage with operators and regulators to ensure adherence to legislation.	15	12

Plymouth City Council - Corporate Risk Register - Public Health

Risk Title	Risk Description	Mitigation	Pre	Post ▼
Failure to reduce Health Inequalities	Failure to reduce Health Inequalities will mean our poorest residents continue to live shorter lives as well as more years in ill health.	Significant council actions are underway to address Health Inequalities. The strength of external factors (Cost of Living Crisis etc) which are beyond the Councils control mean that this risk is unlikely to be further mitigated.	16	16
COVID-19	Ongoing COVID-19 rates (with potential for further peaks)	<p>The key mitigation of vaccination has now reached around 85% (one or more doses) of those eligible. Booster campaigns are in place for most at-risk population as set out by JCVI. Autumn campaign uptake was 72% for over 65s 13/12/23</p> <p>ICB led governance oversight of vaccine programme in place, with data insight guiding targetting groups/ areas of lower uptake via outreach</p> <p>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. National guidance for C19 management in settings has been incorporated into guidance for the management of all acute respiratory infections</p>	9	6