

Appendix C – 2025-26 Quarter I Risk Monitoring Report

for information purposes only

Directorate	Category	Title	Existing Key Controls	Pre Mitigation Risk Score (gross)	Mitigation	Post Mitigation Risk Score (net)	Direction of travel	Previous quarter Risk Score
Customer and Corporate Services	Financial	Delivery of financial sustainability through Medium Term Financial Plan	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	<p>Close monitoring of spend with mitigations for any forecast pressures. Build constant dialogue with DMTs through finance partnering, and extend with updates to SLT and Team Plymouth. MTFS developed over summer and presented to full Council in early Autumn, with clear plan set out to produce a balanced budget and MTFP by February 2026.</p> <p>CIPFA Financial Self-Assessment undertaken annually, with action plan developed for improvements.</p>	20	◀ ▶	20
Children's Services	Operational/Service Delivery	Social Care Sustainability (Children's)	Regular robust review of demand and capacity across children's services, informing trend analysis, future projections and resource requirements Early introduction of Families First Partnership to strengthen Partnership working and early intervention to help more children and families receive services at the lowest level of intervention and prevent children from coming into the Council's Care. Strong Governance processes in place to support children and families at the lowest level of intervention. The delivery of a work programme called Family Homes for Plymouth Children to reduce the number of children in residential and un-regulated placements and increase the number of in-house foster carers.	25	<p>Delivery of Children's Services 'Achieving Excellence' 3-year Improvement and Transformation Strategy to March 2027. Development of in-house residential children's home provision run and managed by the Council. A focus and continued investment in early intervention and prevention. Collaborative commissioning with health partners and challenge to the level of health funding to individual packages of care.</p>	20	▲	16
Adults, Health and Communities	Operational/Service Delivery	Social Care Sustainability (Adult's)	Regular review of demand and capacity across adults' services and trend analysis informing projections and workforce planning. Strong Reablement offer for hospital discharge routes maximising independence, provider failure and mutual aid process,	25	<p>The key mitigations are monitored through our integrated transformation and business as usual governance including:</p> <ul style="list-style-type: none"> A Focus on early intervention and prevention Operational performance oversight and capacity planning Development of Reablement pathways through our social care front door Collaborative commissioning with health partners Provider of concern oversight and active support Care zoning approach in adult services Wider system workforce capacity planning supported by our Caring Plymouth initiative 	16	◀ ▶	16

Directorate	Category	Title	Existing Key Controls	Pre Mitigation Risk Score (gross)	Mitigation	Post Mitigation Risk Score (net)	Direction of travel	Previous quarter Risk Score
Customer and Corporate Services	Cyber	Digital and Data Resilience	IT Security Policy, Business Continuity plans, Infrastructure patching, IT provider assessment, Information Audits, Staff training	25	<p>Implement clearly defined risk ownership model for IT risks</p> <p>Develop consistent Risk Appetite statement specific to IT and Cyber Security</p> <p>Investments in tracking assets connecting to our networks and managing and detecting threats on laptops and other user devices are being implemented.</p> <p>Mandatory staff and Member training around information and cyber security provided each month via KnowBe4.</p> <p>Proposals to improve technical vulnerability scanning being finalised</p> <p>Improved controls over staff joining, moving roles and leaving PCC to ensure we provide the least privileges required to perform any given role.</p> <p>Implement strengthened data protection capabilities included with latest Microsoft licencing deal.</p> <p>2025 PSN certificate just issued to PCC based on sample testing of systems in March.</p> <p>Update the Councils record of data processing activity (ROPA) to track where and how data is being used across the organisation</p> <p>Work to continue to strengthen and test business continuity plans</p>	16	◀ ▶	16
Adults, Health and Communities	Operational/Service Delivery	Homelessness	The Homelessness Delivery Plan 2020 - 2025 which encompassed all work within Homelessness services in the city. Demand has now risen over and above the planned demand as articulated in the strategy, with availability of long-term housing below required levels and legislation changes (Renters Reforms) also creating some short-term demand growth.	25	<p>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.</p> <p>The Homelessness Recovery Board is managing / delivering operational elements of the recovery plan, and reports onto the Taskforce.</p>	12	◀ ▶	12

Directorate	Category	Title	Existing Key Controls	Pre Mitigation Risk Score (gross)	Mitigation	Post Mitigation Risk Score (net)	Direction of travel	Previous quarter Risk Score
Chief Executive Office	Strategic Change	Local Government Reorganisation Uncertainty	Interim Plan submission to Government (March 2025) establishing Plymouth's initial position and growth ambitions Programme Board with senior leadership to coordinate business case development Initial stakeholder mapping and engagement with parish councils and key partners Regular dialogue with Ministry of Housing, Communities and Local Government Dedicated Programme Director and project resources allocated Collaborative engagement with relevant local authorities in Devon Development of compelling evidence base for Plymouth Growth Area proposal	20	Develop comprehensive, evidence-based business case for Plymouth Growth Area by November 2025 deadline Implement structured 'Let's Talk' engagement programme with residents and stakeholders to demonstrate local support Build strategic alliances with parish councils in the 13 proposed areas to strengthen proposal Establish regular briefings with MPs and government officials to advocate for Plymouth's position Develop robust financial modelling demonstrating clear benefits of Plymouth's proposal compared to alternatives Create contingency plans for alternative reorganisation outcomes Ensure strong alignment between Plymouth's proposal and government's devolution objectives Develop compelling service improvement plans showing benefits to residents across the expanded footprint Maintain active involvement in Devon-wide discussions to influence emerging proposals Establish dedicated communications strategy to build public and stakeholder support	12	◀ ▶	12
Growth	Development and Regeneration	Climate Adaptation and Environmental Resilience	Climate Emergency Declaration (March 2019) Net Zero Action Plan with annual monitoring Flood risk management plans Emergency response plans for extreme weather events Planning policies requiring climate-resilient development	20	PCC's Climate Emergency Declaration (March 2019) triggered multiple actions including: annual Climate Emergency Action Plans (now the Net Zero Action Plan); the creation of a Climate Emergency Investment Fund; the establishment of the Plymouth Net Zero Partnership; annual monitoring of and reporting on Plymouth's greenhouse gas emissions Substantial investment in infrastructure resilience, decarbonising transport and housing retrofit Behavioural change programmes and Climate Connections digital hub for local engagement on climate issues Climate Ambassadors programme to enhance community engagement Continuing to be proactive in seeking funding for new carbon reduction and adaptation initiatives Three main priorities: rationalisation/decarbonisation of fleet; investment in renewables and energy efficiency across corporate estate and infrastructure; changes to working practices	12	◀ ▶	12

Directorate	Category	Title	Existing Key Controls	Pre Mitigation Risk Score (gross)	Mitigation	Post Mitigation Risk Score (net)	Direction of travel	Previous quarter Risk Score
Public Health	Operational/Service Delivery	Failure to reduce Health Inequalities	The Thrive Plymouth framework Plymouth Plan and Integrated Commissioning Strategies	16	<p>Significant council actions are underway to address Health Inequalities. This has included the recent cost of living programme and ongoing work around reducing barriers to opportunity.</p> <p>The strength of external factors (Cost of Living Crisis etc) which are beyond the Council's control mean that this risk is unlikely to be further mitigated.</p> <p>The development of the Building Bridges to Opportunity Framework will help to draw further attention to the potential mitigations across the city, as will the relaunch of Thrive Plymouth in November.</p> <p>The confirmation of the Household Support Fund will enable some mitigation of these risks.</p>	12	◀ ▶	12
Customer and Corporate Services	Compliance, Regulation and Safeguarding	Risk Culture and Capability	Risk and Opportunity Management Strategy Risk app for reporting CMT quarterly reviews Risk Management site with accessible guidance on risk management.	16	<p>Devon Audit Partnership commissioned to deliver enhanced risk management approach, including a planned updated to risk strategy, appetite and internal escalation management.</p> <p>Initial engagement during summer 2025 to develop refreshed strategic risk register alongside risk management action plan for delivery in second half of year.</p>	12	◀ ▶	12
Public Health	Operational/Service Delivery	Pandemic or high impact disease outbreak	UKHSA disease surveillance and early warning system including local participation in disease surveillance and reporting schemes e.g. NOIDS and Port health / UKHSA case responses/ planning exercises; COVID19 and flu seasonal vaccination programme/ Corporate emergency response plans / business continuity plans / regular meetings ODPH and UKHSA	12	<p>Incident response and recovery plans are agile and are up to date, and business continuity plans are being reviewed. All plans incorporate key learning from covid and are tested regularly. There are national alerting systems for new potential threats and the plans to manage them.</p> <p>The Council is a proactive Local Resilience Forum partner and pandemic exercising is undertaken.</p>	12	◀ ▶	12

Directorate	Category	Title	Existing Key Controls	Pre Mitigation Risk Score (gross)	Mitigation	Post Mitigation Risk Score (net)	Direction of travel	Previous quarter Risk Score
Growth	Development and Regeneration	Insufficient economic performance	Account management of our key businesses helps to identify businesses under economic stress. Labour market remains very tight and is likely to remain tight, restricting economic growth. We are working closely with people directorate to support the skills launch pad. Destination Plymouth are funded by the Council to undertake brand and image study of Plymouth around attracting talent to the City. 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. In addition, we are still facing the longer-term impact of inflation, higher levels on interest rates and Covid debt repayment. The combined effect of which is to reduce the level of capital available for new investment in both the public and private sectors.	16	Seeking to maximise all opportunities to secure inward investment, additional funding for economic initiatives including focussing on creating new jobs in the Blue and green economy. Account manage new inward investment landings in high growth sectors. The initiatives include: The Plymouth and South Devon Freeport, National Marine Park, large scale defence investment, £4bn development pipeline and over £100m of grant funding. We will continue to maximise all inward investment and good growth through account management and seeking funding opportunities for our city region. We also have a strong economic monitoring function and well developed strategic economic partnership to monitor and oversee our interventions and impact.	9	◀ ▶	9
Chief Executive Office	Compliance, Regulation and Safeguarding	Legislative Change Implementation	Directorate-level monitoring of legislative changes Legal Services briefings to Corporate Management Team Departmental policy reviews Contract Standing Orders Monitoring of legislative changes	16	Legislative change tracker with implementation timelines and responsibilities Cross-directorate coordination group for managing legislative changes Early engagement with government departments on implementation challenges Budget planning for implementation costs Prioritisation based on compliance risk All procurement professionals to complete new regulations training programme delivered by central government Act upon findings of purchasing access review to include removal/amendment of officer access Develop Procurement self-service approach to make it easier for Officers to comply with procurement rules	9	◀ ▶	9

Directorate	Category	Title	Existing Key Controls	Pre Mitigation Risk Score (gross)	Mitigation	Post Mitigation Risk Score (net)	Direction of travel	Previous quarter Risk Score
Customer and Corporate Services	Compliance, Regulation and Safeguarding	Insufficient workforce	Workforce data. Employee Assistance Programme. Organisational Restructure toolkit. Workforce Planning Toolkit Management & Leadership Development Programs	15	Targeted support for Children Services – resourcing and capacity / Introduction of new assistant social worker positions Review of People Strategy for 2025 Improving recruitment & induction/onboarding processes. Implementing program of workforce planning Collaborative work with ADEPT on national campaign for Place recruitment Implementation of Apprenticeships & Early Careers Strategy Management & Leadership Development Programs	9	◀ ▶	9
Growth	Financial	Major projects - capacity and cost inflation	All projects have strong governance models using Prince 2 methodology with identified SRO, Project Dir and Programme manager. All political decisions clearly flag risk and there is monthly reporting on all projects There however remains a significant programme risk linked to grant funding deadlines of Mark 25 and March 26.	15	We have secured additional project management capacity for the NMP, Freeport and Civic Centre. These costs are added to overall project costs. We have also increased contingency where possible to allow for the current contractor market instability. We have liaised with funding bodies such as DLUC and Homes England to ensure that the programme and inflationary risks are shared.	9	◀ ▶	9
Adults, Health and Communities	Operational/Service Delivery	Adult Social Care - funding for National Living Wage increase	Budget planning in hand to ensure that the cost of the increase is covered.	9	Market engagement and communications plan with providers around the process in place to determine fee rates. Use Low Pay Commission data to inform budget and MTFP planning BAU commissioning activity with providers to understand pressures. Providers who approach us with concerns will be asked to submit financial information so we can assess the risk to sustainability to allow mitigation if needed.	9	◀ ▶	9

Directorate	Category	Title	Existing Key Controls	Pre Mitigation Risk Score (gross)	Mitigation	Post Mitigation Risk Score (net)	Direction of travel	Previous quarter Risk Score
Executive Office	Trust and Confidence	Governance Arrangements for the Family of Companies	<p>The council adheres to a code of corporate governance, which is based on and revised in accordance with the CIPFA/SOLACE Delivering Good Governance in Local Government Framework 2016. The annual governance statement details how the council fulfils key principles of corporate governance.</p> <p>Within the council's family, there are 21 companies; all Articles of Association are centrally stored. A register of directors and shareholders is also established and regularly updated.</p> <p>The family of companies is frequently discussed by the Corporate Management Team, and officers representing the council or linked to the companies are surveyed annually to confirm their compliance with the corporate governance code.</p>	9	<p>A New Family of Companies Governance Framework has been established to define clear roles, responsibilities, and accountability mechanisms for effective oversight. This includes a Shareholder Committee (a sub-committee of Cabinet) to provide guidance and oversight to the family of companies, with provisions for involving scrutineers. The framework aims to improve transparency and ensure consistent reporting through the Shareholder Committee. Conflict of interest policies have been created, along with an Officer interest register. Training for current and prospective shareholder representatives and Council-appointed directors is currently in development, with an anticipated launch in the Autumn 2025.</p> <p>Although there are 21 companies, they range in complexity and therefore financial and governance arrangements. These differing requirements will form part of the governance review. The PCC commercial finance team work with both internal and external auditors to ensure good financial arrangements are in place</p>	6	◀ ▶	6
Adults, Health and Communities	Operational/Service Delivery	Commissioned providers - workforce recruitment and retention	Caring Plymouth Partnership - working with providers, schools and colleges and those seeking work to match people to careers and job opportunities.	6	<p>Update February 2025: Ongoing engagement such as 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. Provider stability/performance is tracked through fortnightly "Provider of Concern" briefings to the Service Director to support intervention where needed. Quarterly meetings remain in place with CQC to share market intelligence. The Caring Plymouth partnership and associated governance supports the future pipeline for recruitment.</p> <p>If a provider faces challenges, we provide wrap around support for the staff to ensure they are aware of other employment options in the sector.</p>	6	◀ ▶	6

I. Annex: Risk Analysis and Scoring Guidance

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

Score	Likelihood	Threat / Risk
5	Almost Certain (81-100%)	<ul style="list-style-type: none"> Is expected to occur within twelve months in most circumstances Imminent/near miss
4	Likely (51-80%)	<ul style="list-style-type: none"> Will probably occur in many circumstances Will probably happen, but not a persistent issue e.g. once in three years Has happened in the past
3	Possible (26-50%)	<ul style="list-style-type: none"> Could occur in certain circumstances May happen occasionally, e.g. once in 10 years Has happened elsewhere
2	Unlikely (11-25%)	<ul style="list-style-type: none"> May occur only in exceptional circumstances Not expected to happen, but is possible e.g. once in 25 years Not known in this activity happening
1	Rare (0-10%)	<ul style="list-style-type: none"> Is never likely to occur Very unlikely this will ever happen e.g. once in 100 years

Score	Impact (Severity)	Threat / Risk
5	Catastrophic Risk	<p>Risks which can have a catastrophic effect on the operation of the Council or service. This may result in critical financial loss, severe service disruption or a severe impact on the public. Examples: -</p> <ul style="list-style-type: none"> Unable to function without the aid of government or other external Agency Inability to fulfil obligations Medium – long term damage to service capability Severe financial loss – supplementary estimate needed which will have a catastrophic impact on the Council's financial plan and resources are unlikely to be available Death (single or multiple) or work-related diagnosis leading to death Page 136 Adverse national publicity – highly damaging, severe loss of public confidence Very significant exposure of public funds with funding being managed across organisations and complex reporting Very complex stakeholder community with new partnerships, collaborations and suppliers/stakeholder environment volatile or with significant external change factors
4	Major Risk	<p>Risks which can have a major effect on the operation of the Council or service. This may result in major financial loss, major service disruption or a significant impact on the public. Examples: -</p> <ul style="list-style-type: none"> Significant impact on service objectives Short-medium term impairment to service capability Major financial loss – supplementary estimate needed which will have a major impact on the Council's financial plan Extensive injuries, major permanent harm, long term sick Permanent/significant disability Major adverse local publicity, major loss of confidence

Score	Impact (Severity)	Threat / Risk
3	Moderate Risk	<p>Risks which have a noticeable effect on the services provided. Each one will cause a degree of disruption to service provision and impinge on the budget. Examples: -</p> <ul style="list-style-type: none"> • Service objectives partially achievable • Short term disruption to service capability • Significant financial loss – supplementary estimate needed which will have an impact on the Council's financial plan • RIDDOR (Reporting of injuries, diseases and dangerous occurrences regulations) or major injury • Medical treatment required, semi-permanent harm up to one year • Some adverse publicity, needs careful public relations • High potential for complaint, litigation possible • Breaches of law punishable by fines only
2	Minor Risk	<p>Risks where the consequences will not be severe and any associated losses will be minor. As individual occurrences they will have a negligible effect on service provision. If action is not taken, then such risks may have a more significant cumulative effect. Examples: -</p> <ul style="list-style-type: none"> • Minor impact on service objectives • No significant disruption to service capability • Moderate financial loss – can be accommodated at head of service level • Three day + injury • First aid treatment, non-permanent harm up to one month • Some public embarrassment, no damage to reputation • May result in complaints/litigation • Breaches of regulations/standards • Budget within delegation
1	Insignificant Risk	<p>Risks where the consequences will not be severe and any associated losses will be relatively small. As individual occurrences they will have a negligible effect on service provision. If action is not taken, then such risks may have a more significant cumulative effect. Examples: -</p> <ul style="list-style-type: none"> • Minimal impact, no service disruption • Negligible impact on service capability • Minimal loss – can be accommodated at senior technical accounting level • First aid injury • Unlikely to cause any adverse publicity, internal only • Breaches of local procedures/standards • Budget within delegation and relatively small or within operational costs

Residual Risk Score		1-4	5-10	10 - 15	15-20	20-25
Risk Category	Compliance, Regulation & Safeguarding (including Health, Safety & Wellbeing)	Accept	Accept but monitor	Management effort worthwhile	Management effort required	Extensive management essential
	Financial	Accept	Accept but monitor	Management effort worthwhile	Management effort required	Extensive management essential
	Reputation	Accept	Accept but monitor	Management effort worthwhile	Management effort required	Extensive management essential
	Operational/Service Delivery	Management effort to identify opportunities	Accept but monitor	Manage & monitor	Management effort worthwhile	Extensive management essential
	Strategic Change	Management effort to identify opportunities	Accept but monitor	Manage & monitor	Management effort worthwhile	Extensive management essential
	Development & Regeneration	Management effort to identify opportunities	Accept but monitor	Manage & monitor	Management effort worthwhile	Extensive management essential
	People & Culture	Management effort to identify opportunities	Accept but monitor	Manage & monitor	Management effort worthwhile	Extensive management essential