

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THIRTEEN AUGUST 2011 - Summary by Risk Rating

Row No.	RISK REF	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING		CHANGE IN RISK RATING	COMMENTS	LEAD OFFICER	RISK CHAMPION	
			Feb-10			Aug-10			Feb-11			Aug-11						
			*P	*I		*P	*I		*P	*I		*P	*I					
1	21	MTFS issues.	5	5	25	5	5	25	5	5	25	5	5	25	█	COMMENTS FEB 11: Robust delivery plans have been developed to underpin the 2011/12 Revenue budget and the significant change agenda. As at December 2010 we are still forecasting an end of year overspend which needs to be addressed and we need to ensure robust regular monitoring of Delivery Plan progress. COMMENTS AUG 11: CMT & SMT have held a Delivery Plan 11/12 challenge session to highlight areas of most concern. On going CMT & DMT monitoring via monthly/quarterly reporting.	Malcolm Coe	Angie McSweeney
2	49	Future of Civic Centre & Council House	4	5	20	4	5	20	4	5	20	4	5	20	↘	COMMENTS FEB 11: Expressions of interest from developers have now been received following a formal marketing exercise and a number of development options are being considered in the context of the Council's overall Accommodation Strategy. COMMENTS AUG 11: Expressions of interest in the Civic Centre have been received from developers. These have been considered and further professional advice has been taken on the options available to the Council to rationalise and improve its office accommodation. A report on the preferred option for the Civic Centre was considered by the Council's Cabinet on 23 August 2011 and approval given for a formal procurement process to be instigated.	David Draffen	Anthony Davis
3	74	Social Care - Client Management IT Systems (Carefirst)	5	4	20	5	4	20	5	4	20	5	4	20	↘	COMMENTS FEB 11: Significant progress has been made over the last month with the implementation of infrastructure and software to support better management reporting and client facing outputs. A governance structure has been established enabling open discussions to take place and agree what functionality is required. There are a number of technical risks at present that the teams are working to address. COMMENTS AUG 11: The last few months have seen a number of significant deliverables and improvements to the tool to support frontline services but work is ongoing; as the new products go live considerable effort needs to be invested in the monitoring of the benefits realisation. The implementation of mobile technologies and introduction of new functionality within ASC will need careful review to ensure that the piloted way of working is in fact successful. However, new workstreams are being introduced in line with business pressures, which although being managed, are creating considerable additional work. Budget is on target as are approved implementation target deadlines.	Ian Gallin	Lynn Clark
4	46	Information Governance (compliance with statutory requirements for information use, security, exchange, storage and to comply with Intellectual Property obligations)	4	4	16	4	4	16	4	4	16	4	4	16	█	COMMENTS FEB 11: Action plan arising from Information Management internal audit report will enable Information Risk Officers from each Directorate to identify risks and co-ordinate mitigating actions in order to manage the overall impact of security incidents and working practices that may compromise the Council. Information Management now included as a mandatory item on all operational risk registers and the Operational Risk Management Group is developing a common approach to identification and management of the key risks. COMMENTS AUG 11: Information Management is now included as a mandatory item on all Operational Risk Registers, this includes Information Governance requirements. Responsibility for the assessment of all council information activity is held by the Senior Information Risk Officer (SIRO) who is seeking appointment of an Information Lead Officer from each Directorate in order to achieve a consistent approach across the council, in order to reduce the likelihood of regulatory penalties and promote citizen and intellectual property rights.	Neville Cannon	Richard Woodfield

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5	81	Academy Schools				New			4	4	16	4	4	16	█	COMMENTS FEB 11: The corporate impact of the Government Academy Programme needs to be assessed to ensure there are sufficient resources to support remaining schools. Those managing services to schools are drafting Service Level Agreements and Finance staff are currently modelling the effect on Local Authority budgets. COMMENTS AUG 11: SLA and contracts have been drafted. The effect to date on LA budgets has been modelled and fed into the Dedicated Schools Grant budgets both within schools and the LA. To date only 1 further primary school has expressed an interest in becoming Academy - no fixed date for transfer. If further schools expressed an interest then more work would need to be carried out on the future resourcing of maintained schools.	Gareth Simmons	Andrea Langman
6	72	Significant pressure on Adult Social Care budget	4	4	16	4	4	16	4	4	16	4	4	16	█	COMMENTS FEB 11: The Programme Board continues to regularly monitor budget performance and delivery plans. CQC 09/10 judged ASC as performing well in all 7 Outcomes including Outcome 4 – Increased choice and control i.e. supporting more people to remain at home. COMMENTS AUG 11: The Programme Board continues to regularly monitor performance and delivery plans. Milestones of 30% of service users receiving a personal budget by end of March 10/11 was reached.	Pam Marsden	Lynn Clark
7	33	Capital for Education Infrastructure (Formerly Building schools for the future (BSF) programme (formerly Schools re-organisation.)	2	3	6	5	4	20	3	4	12	4	4	16	↗	COMMENTS FEB 11: Funding for 2 Academies has been achieved. A Cabinet paper was presented in October 2010 on the Demographic growth. Basic Need liability defined for Wave 1 schools and incorporated in to the capital programme with Cabinet papers due to be presented in March. COMMENTS AUG 11: Cabinet paper in March was approved and phase 1 of Wave 1 is being delivered to the first five schools to achieve the Sept 2011 cohort. A further Cabinet paper detailing Wave 2 (Sept 2012 cohort) and outlining Waves 3-5 will be submitted in September. It is estimated that £6m funding will be required for this next phase and the government has indicated that additional money may be available but this has not been clarified which is why the risk score has increased. Feasibility work is underway. The Cabinet Paper to obtain approval for Waves 3-5 will be submitted in December 2012.	Gareth Simmons	Andrea Langman
8	77	Carbon Reduction Commitment (CRC) Energy Efficiency Scheme	New			4	5	20	4	5	20	3	5	15	↘	COMMENTS FEB 11: The CRC is now a tax rather than a bonus/penalty incentive scheme. The first tax payment is due in April 2012 for carbon emissions during 2011/12. At current carbon emission levels PCC will have to pay around £450,000 in April 2012 - as a worse case scenario. The league table remains as a reputational driver. COMMENTS AUG 11: Tax burden has been reduced by over £100k by migrating street lighting from active to passive HH metering. This loop hole will be closed in April 2014. Energy Management system acquired to improve carbon data management capability. 65% of the Early Action Metric has been fulfilled through achieving the ISO 14064 (CEMARS) standard and installing AMRs across schools and corporate buildings. This will improve our ranking in the first Performance League Table published in October 2011. The annual and footprint reports for 2010/11 have been submitted to the Environment Agency on the 28th July after the successful completion of an internal audit to 'provide assurance that PCC has fulfilled its obligations to the CRC EE scheme'.	Chris Trevitt	Angie McSweeney
9	42	Health & Safety Management system	3	5	15	3	5	15	3	5	15	3	5	15	█	COMMENTS FEB 11: Audit plan to cover entire system in development, proposal to be complete end of March 11. COMMENTS AUG 11: Senior managers completed IOSH Managing Safely course. Focussed audit in waste and recycling completed by Gallagher Bassett in Jan 2011 evidencing good levels of compliance but still need to address audit programme to maintain that assurance.	Mark Grimley	Helen Cocks

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10	28	Increase in the of number of looked after children and cost pressures on Independent Placements.	4	5	20	4	5	20	3	5	15	3	5	15	█	COMMENTS FEB 11: Team managers' management information tool in place. Reviews on all placements are undertaken on a fortnightly basis. These measures are reducing drift and throughput of work from the Advice and Assessment Service. The Project Team are prioritising modelling around future numbers coming into care and considering innovative ways of working to divert children from care and from escalating through the care system. We are now seeing numbers of children in care beginning to reduce with plans to reduce further over the coming year to bring us in line with statistical neighbour averages. COMMENTS AUG 11: There have been minimal increases in the total number of children in care. The diversion from care project and supporting mechanisms among Children's Social Care managers are working to ensure fewer children are placed with independent sector providers. However, in terms of future risks, new fostering regulations have the potential to impact negatively on the number of children going into the independent sector. This is because foster carers can no longer go over numbers (more than 3 children) their age approval profile for more than 6 days. We are actively managing this situation by reviewing the age approval profile of all current in house foster carers.	Mairead MacNeil	Angela Langman
11	82	Potential legislative non-compliance of PCC buildings due to fragmented ownership and responsibility							New			3	5	15	█	COMMENTS AUG 11: Consideration of centralising the internal ownership of Council land and buildings following initiatives like stock transfer to ensure continuing legislative compliance and provide a clear and efficient service to customers. With further future potential operational changes arising from the Council's accommodation strategy a consistent approach to management of council property is required to ensure opportunities for efficiencies are maximised and potential risks are minimised. Adoption of a Corporate Landlord model is planned to take on responsibility for all land and buildings and extend current agreements for legislative compliance to all property.	Chris Trevitt	Angie McSweeney
12	59	Financial Risk associated with contaminated land	3	5	15	3	5	15	3	5	15	3	5	15	█	COMMENTS FEB 11: Inspections on going based on highest priority sites. COMMENTS AUG 11: The highest priority site was investigated, found to be contaminated and the land remediated. We are currently in the process of returning it to a condition it can be used as before. The next top priority site requires intrusive investigations subject to grant funding from Government.	Jayne Donovan / Robin Carton	Lynn Clark
13	52	Delivery of Capital Programme	4	5	20	4	5	20	3	5	15	3	5	15	█	COMMENTS FEB 11: Capital Delivery Board with Terms of Reference established with greater representation and Board chaired by a Service Director. Good proportion of reps across the board. Dedicated "Capital and Major Projects" Team within Finance structure. Additional training to be rolled out to all Project Officers on Project Management Procedures to incorporate new Governance Procedures. COMMENTS AUG 11: There has been a delay to the new Project Management Procedures due to a delay in approval of the new Constitution of which they form part. A further review of the delivery of Capital Projects is on going.	Malcolm Coe	Angie McSweeney
14	67	Violent extremism	3	5	15	3	5	15	3	5	15	3	5	15	█	COMMENTS FEB 11: Action plan broadly on target. Work in this area will be reviewed after the outcome of the government's review of Prevent is known. COMMENTS AUG 11: Draft Prevent Action Plan produced. 2nd Counter Terrorism Local Profile produced and responded to.	Peter Aley	Lynn Clark
15	36	Management of Employee Stress	3	5	15	3	5	15	3	5	15	3	5	15	█	COMMENTS FEB 11: Review individual service area action plans. COMMENTS AUG 11: Introduction of employee assistance programme to address issues at an earlier stage and encourage colleagues to take control of their situation giving them the tools to do this. Targeted stress reduction plan. New business plan templates updated to include commitment to assessing risk in each service area.	Mark Grimley	Helen Cocks

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16	24	Violence to staff/lone working.	3	5	15	3	5	15	3	5	15	3	5	15	—	COMMENTS FEB 11: PVP policy consultation concluded and ICT design being finalised. Awaiting funding decision by CMT. COMMENTS AUG 11: Policy drafted, some funding identified and development planned. Awaiting installation of Dynamics 2011 subject to CMT financial capital approval.	Mark Grimley	Helen Cocks
17	60	Economic downturn affecting treasury management.	3	5	15	3	5	15	3	3	9	3	5	15	↗	COMMENTS FEB 11: Significantly reduced the risk of Treasury Management activity since October 2008 through changing our strategy and borrowing and investment portfolio. Audit Committee formally oversees Treasury Management Strategy. Revised Strategy formally approved and Audit Committee updated on progress every 6 months. On track to achieve the £600K revenue savings target that was set for Treasury Management in 2010/11. COMMENTS AUG 11: Treasury Management Board is monitoring any potential impact from the current global economic situation hence the increase in risk from green to amber. It will monitor institutions used on a weekly basis and continue to seek advice from independent advisors.	Malcolm Coe	Angie McSweeney
18	51	Failure to deliver sustained and accelerated economic and population growth.	3	5	15	3	5	15	3	5	15	3	5	15	—	COMMENTS FEB 11: LDF programme in place and being actively implemented. Action plans for each theme being reviewed and implemented and monitored by Plymouth Growth Board. Risk of shortage of funding due to Government changes in funding policies for major schemes which could impact on infrastructure in place. COMMENTS AUG 11: Awaiting information on agreed sub regional gov and growth fund.	David Draffan	Maria Smith
19	73	Employee Relations	4	5	20	4	5	20	4	5	20	3	5	15	↘	COMMENTS FEB 11: Extensive and meaningful negotiations with trade unions have taken place over a package of proposed changes to staff Terms and Conditions. Trade Unions also continue to be consulted on proposed delivery plans to achieve budget reductions following Government spending cuts. COMMENTS AUG 11: Negotiations with GMB and Unite agreed. New Terms & Conditions to start on 1st September 2011.	Mark Grimley	Helen Cocks
20	68	Failure to reach recycling targets and divert waste from landfill (Ex Failure to implement new initiatives to increase recycling rate, due to budget pressures. Initiatives agreed as part of PFI funding arrangements.)	4	4	16	4	4	16	4	4	16	3	4	12	↘	COMMENTS FEB 11: The tonnage of biodegradeable waste to landfill fell by around 5,000 tonnes in the first 3 quarters of 2010/11 compared with the same period in 2009/10 and it is estimated that PCC will remain within available allowances for 2010/11 but will need to purchase additional credits for 2011/12 onwards until the new residual waste solution is in place (expected during 2014 subject to contractor and planning). LATS (Landfill Allowance Trading Scheme) position being monitored and forward purchase strategy to be reviewed for early 2011 following Government waste policy review. The expanded garden waste collection service has diverted an additional 790 tonnes from landfill and performance has increased by 2.1% over the first 3 quarters of 2010/11 compared with the same period in 2009/10. The Council remains on course to meet its OBC targets but will not meet the earlier LAA recycling targets. Financial pressures and budget constraints are slowing delivery of identified PFI recycling initiatives which may impact on achievement of future targets.	Jayne Donovan / Mark Turner	Lynn Clark

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21	55	Failure to deliver waste PFI Procurement for SW Devon Waste Partnership (by 2014)	4	4	16	4	4	16	4	4	16	3	4	12	→	COMMENTS FEB 11: Procurement completed to programme in Dec 10. MVV have engaged early with statutory planning authorities in pre-application enquiries. SWDWP to monitor progress. COMMENTS AUG 11: Contracts signed and PFI credits formally secured from Defra in March 2011 which has reduced this strategic risk. A planning application was submitted in May 2011 by the contractor which is the most significant remaining hurdle. If planning permission is granted and to current programme this should result in solution being operational during 2014 and risks would again be reduced.	Mark Turner	Anthony Davis
22	79	Reduced government grant investment into new affordable homes, renewal & regeneration programmes (Ex Reduced Homes and Communities Agency (HCA) investment into new affordable housing and regeneration programmes.)	New			5	5	25	5	5	25	4	3	12	→	COMMENTS FEB 11: Soft market testing of sites complete. Framework released by Communities & Local Government on 14th Feb to help evaluate new affordable rent proposals and agree how they could be used to continue development pipeline. COMMENTS AUG 11: We have supported our Housing Development Partners with their bids - including factoring in PCC housing sites and await ministers decisions. For private sector housing we have changed the Assistance Policy rules to reduce grants and introduce loans to target our reduced resources where it is most effective.	Stuart Palmer	Anthony Davis
23	47	Concessionary Fares	3	5	15	3	5	15	3	4	12	3	4	12	—	COMMENTS FEB 11: Reimbursement has been kept within the prescribed budget for 2010/11. A new reimbursement mechanism has been established for implementation April 2011 designed to meet obligations for operating company's reimbursement and meet proposed Council budgets. COMMENTS AUG 11: The reimbursement scheme was accepted by operating companies and no challenge was made during the prescribed period to the end of May 2011. This reduces the risk of increases in costs to the Council for the current financial year. Monitoring will continue on a monthly basis to actively manage and report trends.	Clive Perkin	Anthony Davis
24	54	Data Quality Management/Providing inaccurate information	3	4	12	3	4	12	3	4	12	3	4	12	—	COMMENTS FEB 11: There has been no further progress in addressing this risk. COMMENTS AUG 11: There has been no further progress in addressing this risk.	Giles Perritt	Mohamed Muganzi

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25	30	Unavailability of ICT	3	3	9	3	3	9	2	5	10	2	5	10	—	COMMENTS FEB 11: The likelihood is lower due to infrastructure improvements, but the impact of losing ICT services as the result of an unplanned event has increased. Disaster Recovery Plans being reviewed and mitigation proposals being developed and costed. COMMENTS AUG 11: The likelihood is lower due to infrastructure improvements, but the impact of losing ICT services as the result of an unplanned event has now increased. However funding is now in place for network upgrade which will improve resilience. A business case has been put forward for a second data centre which will improve Disaster Recovery. Further lessons to be learnt following a recent failure.	Neville Cannon	Richard Woodfield
26	14	Fraud	2	5	10	2	5	10	2	5	10	2	5	10	—	COMMENTS FEB 11: The National Fraud Initiative matches are back from the Audit Commission following data extracts submitted in October. Devon Audit Partnership have been in contact with departments to discuss how they are going to investigate the matches and the timescales. Where an investigation has identified control weaknesses, further work will be timetabled and monitored. COMMENTS AUG 11: The NFI matches are now back from the Audit Commission following the data extracts submitted in October 2010. Council departments have been working with Devon Audit Partnership to investigate the matches and the results of these are being collated. Devon Audit Practice continues to monitor progress and be a point of contact for queries/further action. The Bribery Act came into force in July 2011 and a briefing paper will be issued to Audit Committee and Council staff on its implications.	Malcolm Coe	Mike Hocking
27	08	Business continuity planning in line with Civil Contingencies Act 2004 statutory responsibilities.	2	5	10	2	5	10	2	5	10	2	5	10	—	COMMENTS FEB 11: Business Continuity embedded across organisation and all plans subject to sign off by Assistant Directors and Heads of Service. COMMENTS AUG 11: All plans have now been signed off.	Giles Perritt	Scott Senior
28	80	Planning Obligations - implications of new legal framework and current economic circumstances.	New			3	4	12	2	4	8	2	4	8	—	COMMENTS FEB 11: Governance arrangements established and reported to Scrutiny in Oct 10. Detailed guidelines issued to planning case officers. Planning Obligations Forum established. COMMENTS AUG 11: Good progress being made towards Community Infrastructure Levy, with Cabinet approving timetable on 12 July 2011; ongoing liaison with PINS and CLG regarding planning inspector's interpretation of tariff approaches to mitigating development impacts.	Paul Barnard	Maria Smith
29	76	Not getting government funding to build Efford Gypsy site	3	4	12	4	4	16	4	4	16	2	4	8	↘	COMMENTS FEB 11: Exploring options for alternative ways of funding building, discussions with stakeholders and consideration of new government policy COMMENTS AUG 11: A plan to identify a preferred bidder to develop the site was agreed by Cabinet in August.	Peter Aley	Lynn Clark
30	70	Delivering the transformation of Adult Social Care through Putting People First framework	2	3	6	2	3	6	2	3	6	2	3	6	—	COMMENTS FEB 11: Target 2009/10 met and current target 2010/11 also expected to be achieved. COMMENTS AUG 11: Target of 30% of service users receiving a personal budget was achieved March 2011. New operating system currently being rolled out.	Pam Marsden / Julia Penfound	Lynn Clark
31	69	Contribute and support the development of the Plymouth Life Centre at Central Park	2	3	6	2	3	6	2	3	6	Delete			COMMENTS FEB 11: Delay resulting from utilities works now instructed (4wks extension of time). Further delay due to inclement weather presently being evaluated. Planning permission secured for transport hub. COMMENTS AUG 11: Project on programme and on budget.	James Coulton / Tony Hopwood	Lynn Clark	
32	71	To outsource the management of the Plymouth Life Centre and existing leisure facilities	3	5	15	2	3	6	2	3	6	Delete			COMMENTS FEB 11: ISDS and CFT stages completed with the CFT returns submitted on 28th January as per programme. Evaluation underway from 31st January with preferred bidder selected end of March. COMMENTS AUG 11: Contract awarded and presently being mobilised for February 2012 opening.	James Coulton / Tony Hopwood	Lynn Clark	

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33	44	Financial & liability implications of Members & Officers serving on Outside Bodies.	3	3	9	3	3	9	3	3	9	Delete	COMMENTS FEB 11: Draft report further delayed as it did not go to Council in October 2010 as planned. COMMENTS AUG 11: Issues are covered under the Member's Insurance Indemnity Scheme.	Tim Howes	Rosie Clahane
* P = Probability Rating (1 = Low, 5 = High) * I = Impact Rating (1 = Low, 5 = High) Maximum Score 5 x 5 = 25 NB. Risks scored 12 or above will be the subject of priority monitoring															