

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FOURTEEN FEBRUARY 2012 - 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			
			Aug-10			Feb-11			Aug-11			Feb-12									
			*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 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. COMMENTS FEB 12: The situation is being closely monitored through visits to DMTs 3 times a year. Improvement Boards are also in place to oversee the "Major Change" agenda. The MTFS is being updated on the back of the 12/13 budget setting process and is due to be presented to Council June 2012.	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 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. COMMENTS FEB 12: A formal procurement process is being developed but if no solution is provided following that process the Council would be forced to carry out necessary works to bring the building into a 'fit for purpose' condition.	Chris Trevitt	Angie McSweeney			
3	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 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. COMMENTS FEB 12: The Senior Information Risk Officer (SIRO) - Director of Corporate Services - is initiating Information Lead Officers for each Directorate to oversee the corporate implementation of actions to reduce risks arising from an Information Governance risk evaluation in each department. This coordinating Information Lead Officers group is expected to be in operation by March in order to produce a consistent approach across the council. The object is to reduce the likelihood of regulatory penalties and work to protect citizen and business sens delivery purposes.	Neville Cannon	Richard Woodfield			
4	83	Health Inequalities (Not meeting high level partnership target to reduce the gap in life expectancy by at least 10%)										New			4	4	16	█	COMMENTS FEB 12: A new 3 year plan is currently under development and will be used to inform the JSNA (Joint Strategic Needs Assessment) and Joint Commissioning Boards.	Peter Aley	Lynn Clark
5	84	Impact of welfare reform on Plymouth City Council and our customers										New			4	4	16	█	COMMENTS FEB 12: High level analysis being undertaken on the impact for people in Plymouth of proposed changes in welfare reforms. Working groups have been established and will be used to measure multiple impact so that social groups can be prioritised according to the support services they might need.	Jo Hambly / Stuart Palmer	Lynn Clark

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6	33	Capital for Education Infrastructure (Formerly Building schools for the future (BSF) programme (formerly Schools re-organisation.)	5	4	20	3	4	12	4	4	16	4	4	16	█	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. COMMENTS FEB 12: Capital Settlements for 2012/13 are broadly in line with those predicted in the capital programme this being higher than initially budgeted for in early 2011 as the Government announced a one-off additional allocation of £2.5m for Basic Need. Wave 2 programme has been approved by Cabinet. Plymouth's allocation for 2013/14 will be known in December 2012 when, if necessary, programme "waves" will be adjusted to match confirmed resources.	Gareth Simmons	Andrea Langman
7	42	Health & Safety Management system	3	5	15	3	5	15	3	5	15	3	5	15	█	COMMENTS AUG 11: Senior managers completed IOSH Managing Safely course. Focused 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. COMMENTS FEB 12: Formal Internal Audit programme implementation underway. A number of proactive audits have been carried out in maintained schools.	Mark Grimley	Helen Cocks
8	28	Increase in the of number of looked after children and cost pressures on Independent Placements.	4	5	20	3	5	15	3	5	15	3	5	15	█	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. COMMENTS FEB 12: There has been a 4% increase in the number of children coming into care which is a third less than other comparable Local Authorities. In terms of future risk areas there are 2 recent developments that will increased the looked after population. A recent Judicial Review known as the Kent Judgement will result in more relatives who are carers becoming eligible for fostering allowances and, young people who are remanded to custody are likely to become classified as children in care. In mitigation to the increase, we are seeing a reduction in the cost of placements as a consequence of smarter commissioning and improved market management of independent placements; improved case scrutiny resulting in speedier permanency outcomes and an increase in the number on in-house placements. The Child and Parent Project is now in place which will enable in-house community assessments.	Mairead MacNeil	Angela Langman

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9	82	Potential legislative non-compliance of PCC buildings due to fragmented ownership and responsibility				New			3	5	15	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. COMMENTS FEB 12: The Corporate Landlord initiative has now been adopted and goes live 1 March 2012. No change to risk score at this time as it is too early to measure the impact of this initiative.	Chris Trevitt	Angie McSweeney
10	59	Financial Risk associated with contaminated land	3	5	15	3	5	15	3	5	15	3	5	15	█	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. COMMENTS FEB 12: Grant funding has been awarded for the current top priority site and investigations are progressing. Preparations are in hand to apply for further funding with the next highest priority site when the bid window opens. Unknown implications for future liabilities if funding from DEFRA not available.	Jayne Donovan / Robin Carton	Lynn Clark
11	52	Delivery of Capital Programme	4	5	20	3	5	15	3	5	15	3	5	15	█	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. COMMENTS FEB 12: The Constitution, including Project Governance Procedures has now been approved and Project management training will be rolled out from Jan 2012 onwards. Delivery of the Capital Programme is being centralised under the Place Directorate from 1 March 2012.	Malcolm Coe	Angie McSweeney
12	67	Violent extremism	3	5	15	3	5	15	3	5	15	3	5	15	█	COMMENTS AUG 11: Draft Prevent Action Plan produced. 2nd Counter Terrorism Local Profile produced and responded to. COMMENTS FEB 12: "Prevent" action plan refreshed in line with new Government policy and being performance managed with partners.	Peter Aley	Lynn Clark
13	24	Violence to staff/lone working.	3	5	15	3	5	15	3	5	15	3	5	15	█	COMMENTS AUG 11: Policy drafted, some funding identified and development planned. Awaiting installation of Dynamics 2011 subject to CMT financial capital approval. COMMENTS FEB 12: A prototype for PVP case management is being reviewed. This is subject to decision on how case data will be input in the system. The HR Transformation Project is considering use of an electronic form VRI to capture the data required so that, if the management decision on after a violent incident is to raise a PVP alert, then the data can be input to the PVP case without re-keying.	Mark Grimley	Helen Cocks

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14	51	Failure to deliver sustained and accelerated economic and population growth.	3	5	15	3	5	15	3	5	15	3	5	15	---	COMMENTS AUG 11: Awaiting information on agreed sub regional gov and growth fund. COMMENTS FEB 12: Successful Regional Growth Fund award for Princess Yachts. £14m secured for the HotSW from the Growing Places Fund and opportunity to bid into the new Coastal Communities Fund. Redundancy levels remain too strong and there are real pressures again on the economy and businesses. Plymouth unemployment rate has fallen slightly but is relatively stable but this is partly to the increased take up of initiatives such as apprenticeships rather than creation of significant numbers of new jobs in the private sector.	Chris Grace / John Dixon	Anthony Davis
15	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	3	4	12	3	4	12	---	COMMENTS AUG 11: The total biodegradable municipal waste landfilled in 2010/11 is 3,800 tonnes (or 6% less) than 2009/10. We landfilled 200 tonnes more biodegradable waste than the LATS permits allocated to us for the year but had pre-purchased sufficient additional permits to cover our needs. Subject to final confirmation of the figures, we hold a 10,700 surplus of permits which can be carried forward to use in 2011/12. It is estimated that in 2011/12 we will need 6,600 permits above our allocation, which the surplus will cover. Any surplus credits at the end of 2011/12 (Est 10,500) cannot be carried over to 2012/13 as it is a target year. Current projections estimate 14,500 credits will need to be purchased in 2012/13. It has been announced that LATS will be abolished following the next target year; the system will cease in April 2013. Currently there is uncertainty on what, if anything, will be put in its place as the EU targets on minimizing biodegradable waste to landfill still stand. COMMENTS FEB 12: The total biodegradable municipal waste landfilled in the first three quarters of 2011/12 is 86 tonnes less than the same period in 2010/11. This gives a projected year end total of 59,075 tonnes or 7,459 tonnes more biodegradable waste landfilled than the LATS permits allocated to us, however we have purchased sufficient permits to cover this deficit. Although the expansion of the garden waste scheme to the remainder of the city during 2012/13 will reduce the amount of biodegradable waste landfilled, it is estimated that we will need to purchase an additional 15,500 permits. Following the 2012/13 target year, the LATS system will be abolished.	Jayne Donovan / Mark Turner / Sue Lorne	Lynn Clark
16	55	Failure to deliver waste PFI Procurement for SW Devon Waste Partnership (by 2014)	4	4	16	4	4	16	3	4	12	3	4	12	---	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. COMMENTS FEB 12: Planning approval was granted and the formal decision document issued on 3rd Feb 2012.	Mark Turner	Anthony Davis

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17	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.)	5	5	25	5	5	25	4	3	12	4	3	12	—	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. COMMENTS FEB 12: The Housing Plan sets out key priorities to target available funding and to seek innovative methods of new home delivery. We have put 11 PCC housing sites out to competition for more homes. For private sector housing we have changed the Assistance Policy rules to reduce grants and introduced loans to target our reduced resources where it is most effective. We continue to seek other resources from partners etc. to target the worst housing for improvement, aligned with energy efficiency measures.	Stuart Palmer	Anthony Davis
18	60	Economic downturn affecting treasury management.	3	5	15	3	3	9	3	5	15	3	4	12	↘	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. COMMENTS FEB 12: The global economic situation has not improved so close scrutiny is still needed to avoid any detrimental impact on treasury management. Exposure to fluctuating interest rates has diminished due to significantly reducing investments and borrowing.	Malcolm Coe	Angie McSweeney
19	74	Social Care - Client Management IT Systems (Carefirst)	5	4	20	5	4	20	5	4	20	3	4	12	↘	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. COMMENTS FEB 12: Work is ongoing and benefits are being realised but the programme of work in ongoing to ensure they are maximised. Work must continue to enable roll out of functionality to support the ASC restructure as well as embed technologies to support the personalisation agenda.	Karen Porte	Angie McSweeney
20	81	Impact of trading services and loss of local authority funding through academy status	New			4	4	16	4	4	16	3	4	12	↘	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. COMMENTS FEB 12: Although the rate of academy transfers has significantly slowed since 12 months ago, there is still a need to monitor the level of buy-back of local authority services by schools who are already academies and the impact of any national changes to funding transferred from LA budgets to academies. The degree of impact on services varies but is being mitigated through monitoring of individual budgets.	Gareth Simmons	Andrea Langman

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21	72	Significant pressure on Adult Social Care budget	4	4	16	4	4	16	4	4	16	3	4	12	→	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. COMMENTS FEB 12: Financial pressures continue but are being tightly managed and the overspend is likely to be minimal at year end.	Pam Marsden	Lynn Clark
22	36	Management of Employee Stress	3	5	15	3	5	15	3	5	15	3	4	12	→	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. COMMENTS FEB 12: Team stress risk assessments are complete. Workplace options service in place and being used. Thorough review of approach to resilience in 12/13 business plan year.	Mark Grimley	Helen Cocks
23	73	Employee Relations	4	5	20	4	5	20	3	5	15	3	4	12	→	COMMENTS AUG 11: Negotiations with GMB, Unite & Unison agreed. New Terms & Conditions to start on 1st September 2011. COMMENTS FEB 12: Ongoing liaison and meaningful engagement with trade unions including national office and legal teams. Various efficiency savings to be confirmed following the implementation of revised terms and conditions for staff.	Mark Grimley	Helen Cocks
24	47	Concessionary Fares	3	5	15	3	4	12	3	4	12	3	4	12	→	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. COMMENTS FEB 12: The 2012/13 reimbursement rate has been published and meetings held with operating companies (OPCOs). It is not expected that the rate will be challenged but there is a two month period from April 1st for appeals to the Secretary of State if companies feel that they are "worse off". We will continue to engage with OPCOs to minimise the risks.	Clive Perkin / Adrian Trim	Anthony Davis
25	77	Carbon Reduction Commitment (CRC) Energy Efficiency Scheme	4	5	20	4	5	20	3	5	15	3	4	12	→	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'. COMMENTS FEB 12: Carbon reduction commitments for 2011 achieved via a number of initiatives, e.g. installation of Smart Meters and there has been a 8.5% reduction of the Council's carbon footprint in 2010/11 from a 2009/10 baseline. PCC is ranked among the top 20% in the CRC Performance League Table.	Chris Trevitt	Angie McSweeney

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26	54	Data Quality Management/Providing inaccurate information	3	4	12	3	4	12	3	4	12	3	4	12	█	COMMENTS AUG 11: Internal audit will conduct an audit of performance indicators included in the performance framework in Jan 2012. Further audit work will take place during the Adult and Children's data returns in May 2012. COMMENTS FEB 12: Internal Audit are currently undertaking an audit of corporate performance indicators. Findings will help improve the accuracy of performance information.	Giles Perritt	Patrick Hartop
27	30	Unavailability of ICT	3	3	9	2	5	10	2	5	10	2	5	10	█	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. COMMENTS FEB 12: A network upgrade is reducing known points of failure and a contract to build a second data centre to provide resilience / disaster recovery is in place. However, the contract for the fit out of the second data centre has not yet been agreed and if the Civic Centre is refurbished the first data centre will be taken out of operation, thus reducing the resilience / disaster recovery back to the current capability. Processes have been improved to minimise unplanned events and reduce discovery times, but there is a continuing risk of unavailability of ICT until two data centres are in place.	Malcolm Coe	Richard Woodfield
28	14	Fraud	2	5	10	2	5	10	2	5	10	2	5	10	█	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. COMMENTS FEB 12: Briefing paper on implementation of the Bribery Act has been presented to Audit Committee and further work will be undertaken to educate members and staff. The checking of NFI matches received from the Audit Commission has come to an end. The results of the exercise are being collated and will be reported in due course. Investigations are on-going in a number of cases highlighted by the matching process.	Dominic Measures	Mike Hocking
29	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 AUG 11: All plans have now been signed off. COMMENTS FEB 12: Update on Departmental Recovery Plans underway following recent industrial action. Successful activation of the Business Coordination Centre carried out on the day of the industrial action.	Giles Perritt	Scott Senior
30	70	Delivering the transformation of Adult Social Care through Putting People First framework	2	3	6	2	3	6	2	3	6	3	3	9	█	COMMENTS AUG 11: Target of 30% of service users receiving a personal budget was achieved March 2011. New operating system currently being rolled out. COMMENTS FEB 12: Restructuring of the service has impacted on rollout and has meant that we will not reach our target this year but will still increase on last year's target.	Pam Marsden / Paul Francombe	Lynn Clark

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31	80	Planning Obligations - implications of new legal framework and current economic circumstances.	3	4	12	2	4	8	2	4	8	2	4	8	████████	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. COMMENTS FEB 12: Work still on track with Cabinet agreeing the Draft CIL Charging Schedule and the amended Planning Obligations & Affordable Housing Supplementary Planning Document for public consultation.	Jonathan Bell	Anthony Davis
32	76	Not getting government funding to build Efford Gypsy site	4	4	16	4	4	16	2	4	8	2	4	8	████████	COMMENTS AUG 11: A plan to identify a preferred bidder to develop the site was agreed by Cabinet in August. COMMENTS FEB 12: A plan to identify a preferred bidder to develop the site was agreed by Cabinet in Aug 2011. Options are being considered following invitations to express an interest in acquiring a lease and a government funding opportunity.	Peter Aley	Lynn Clark
33	69	Contribute and support the development of the Plymouth Life Centre at Central Park	2	3	6	2	3	6	2	3	6	2	3	6	████████	COMMENTS AUG 11: Project on programme and on budget. COMMENTS FEB 12: Progress on site is very good with the building clearly coming together well. The professional team is working through the handover arrangements, snagging the building already and monitoring the completion programme. The operator, Everyone Active, is well into its mobilisation arrangements with the majority of the fit-out items having been procured already. Leisure Partnership Manager appointed to Leisure Management Contract and will be the key focal point between operator, Council and the sporting governing bodies and other partners.	James Coulton / Tony Hopwood	Lynn Clark
* 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																		