

PLYMOUTH CITY COUNCIL

Subject: Strategic Risk Register – Monitoring Report
Committee: Audit Committee
Date: 27 September 2012
Cabinet Member: Councillor Lowry
CMT Member: Director for Corporate Services
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Ref: CRM/MJH
Key Decision: No
Part: I

Executive Summary:

This report provides a summary of the latest formal monitoring exercise completed for the Strategic Risk Register for the period March 2012 to August 2012.

The total number of strategic risks reported has increased from 33 to 36 with the addition of 5 new risks and the deletion of 2. The number of red risks has remained at 2.

Appendix A to the report provides a traffic light summary showing the current status of each risk, the movement in risk scores compared with previous monitoring periods and explanatory commentary on the key issues for each risk.

Corporate Plan 2012-2015:

The Strategic Risk Register includes links to the Corporate Plan objectives – monitoring of control action for strategic risks therefore contributes to the delivery of the Council's core objectives.

Implications for Medium Term Financial Plan and Resource Implications: Including finance, human, IT and land

None arising specifically from this report but control measures identified in risk registers could have financial or resource implications.

Other Implications: e.g. Community Safety, Health and Safety, Risk Management and Equality, Diversity and Community Cohesion:

None arising specifically from this report but community safety and health and safety issues and risks are taken in to account in the preparation of risk registers.

Recommendations & Reasons for recommended action:

- Note and endorse the current position with regard to the Strategic Risk Register.

Effective risk management processes are an essential element of internal control and as such are an important element of good corporate governance. For this reason alternative options are not applicable.

Plymouth City Council Risk Management Strategy and Policy Statement
Strategic Risk Register and associated working papers
Previous reports on risk management to Audit Committee

Fin		Leg		HR		Corp Prop		IT		Strat Proc	
Originating SMT Member: Tim Howes, Asst Director, Democracy and Governance											
Have you consulted the Cabinet Member(s) named on the report? Yes											

1. Introduction

- 1.1** The position with regard to the Strategic Risk Register was last reported to this Committee on 16 March 2012 and this report now provides a summary of the latest monitoring exercise covering the position at 31 August 2012.

2. Strategic Risk Register – Monitoring Summary

- 2.1** In accordance with the strategy requirement for twice-yearly monitoring, the latest monitoring exercise was completed in August 2012 with the results discussed and agreed by CMT and Cabinet Planning on 4 September 2012 and 18 September 2012 respectively.
- 2.2** Directorate responsibility for individual risks has been reviewed in line with the senior management restructure.
- 2.3** Attached to this report at Appendix A is a summary showing the current status of each risk and any movement in risk scores compared with previous monitoring periods together with explanatory commentary on the key issues for each risk.

3. Headline Issues

- 3.1** The number of strategic risks has increased from 33 to 36 with the addition of 5 new risks and the deletion of 2. The number of red risks remains at 2.

New Risks

- **Amber Risk 88 – Failure to secure Government Funding via new process to deliver sufficient Major Transport Schemes (MTS) - Scored 16 – (Row No. 7)**
 - Department for Transport will introduce a new process for MTS funding in 2015. Outline Business Case is being prepared by April 2013 for two eastern corridor Schemes and northern corridor Whole Route Implementation Plan for section north of A38.
- **Amber Risk 85 – Health Integration — Scored 15 - (Row No. 16)**
 - The detailed local transition plan has now been developed however the establishment of key milestones timeframe remains difficult due to most national deadlines now being behind schedule. Models of integration have been scoped, a vision and outcomes workshop is planned and a joint Risk Register is being developed. Commissioning mapping activity across Plymouth in relation to the transition has been acknowledged at a cluster level as an excellent model which is now being followed by others.
- **Amber Risk 87 – Failure to maximise opportunities from the Council's property assets - Scored 12 – (Row No. 23)**
 - Strategic Property Review will highlight opportunities to utilise estate more effectively to further increase income and capital value and promote opportunities for growth.
- **Amber Risk 86 – Strategic Housing Transformation Agenda - Scored 12 – (Row No. 27)**

- The Housing Plan 2012-2017 captures the city's housing ambition and sets our priority objectives for developing, improving and investing in people's homes, neighbourhoods and communities. Regular reports on progress will be taken through Council and Plymouth 2020.

- **Amber Risk 89 – HR Transformation Project - Scored 12 – (Row No. 29)**
- Project plan includes appropriate testing of systems and processes. Contingency plan is in place to cover all eventualities during the implementation phases.

3.2 Deleted Risks

- **Amber Risk 54 – Data Quality Management – Scored 12 – (Row No. 37)**
- This risk is now incorporated within Risk 46 – Information Governance.
- **Amber Risk 79 – Reduced government grant investment into new affordable homes, renewal & regeneration programmes - Scored 12 - (Row No. 38)**
- This risk has transferred to People Directorate and will be monitored as new risk 86 – Strategic Housing Transformation Agenda.

3.3 The table below shows the movement in the number of red, amber and green risks over the last two monitoring periods:

Risk Category	No. of Risks Feb 12	No. of Risks Aug 12	Deleted Risks Aug 12	New Risks Aug 12
Red	2	2	0	0
Amber	24	27	2	5
Green	7	7	0	0
TOTAL	33	36	2	5

3.4 The summary at Appendix A gives a more detailed commentary on the key issues affecting each risk as at 31 August 2012.

3.5 The headline issues are:-

3.5.1 Risk Score Unchanged

- **Red Risk 21 – MTFS Issues – (Row No. 1)**
- The newly elected administration has reviewed the Corporate Plan and adopted 100 manifesto pledges, this has resulted in the need for the MTFS to be re-written and this is currently on-going.
- **Red Risk 49 – Future of Civic Centre & Council House– (Row No. 2)**
- A formal procurement process has now commenced with Executive Project Board and Project Team in place. If no solution is provided following this process the Council will be forced to carry out necessary works to bring the building into a 'fit for purpose' condition.
- **Amber Risk 46 – Information Governance – (Row No. 3)**
- The Information Lead Officers Group (ILOG) has been in operation since March 2012 and is now developing an Action Plan to coordinate strategic interventions within

each directorate in order to minimise the opportunity for sensitive personal or commercial data to be inappropriately disclosed or stolen from the Council.

- **Amber Risk 83 – Health Inequalities – (Row No. 4)**
 - Plan implemented and being integrated with Joint Strategic Needs Assessment work and Joint Commissioning Boards.
- **Amber Risk 84 – Impact of welfare reform on Plymouth City Council and our customers – (Row No. 5)**
 - Identified as a key priority for the council and working group is delivering work streams to anticipate/mitigate effects.
- **Amber Risk 33 – Capital for Education Infrastructure – (Row No. 6)**
 - Cabinet report presented in March 2012 secured resources and approval for Waves 3 and 4. Reporting back to Cabinet on Waves 5 and 6 in the Autumn.
- **Amber Risk 28 – Increase in the number of looked after children and cost pressures on Independent Placements – (Row No. 10)**
 - The council is continuing to receive applications for foster carers and adopters and alongside this the Family Justice Review, Adoption Action Plan and the provision of 'foster to adopt' carers should reduce delay in placements.
- **Amber Risk 82 – Potential legislative non-compliance of PCC buildings due to fragmented ownership and responsibility – (Row No. 11)**
 - Corporate Landlord initiative went live on 1 April 2012. This initiative brings all the responsibility for statutory compliance items into one area to ensure that contracts are extended to cover all relevant council properties. All buildings are now covered in accordance with statutory legislation and will continue to be monitored.

3.5.2 Risk Score Decreased

- **Green Risk 74 – Social Care - Client Management IT Systems (Carefirst) – Decreased from 12 to 8 (Row No. 34)**
 - The ASC restructure is reaching its final stages but some amendments are required to the technical solution to address issues that have arisen during implementation. Other work streams are beginning for the ASC implementation around Finance review, appointment scheduling and the latter stages of the re-enablement implementation. Within CSC significant amounts of work is being carried out to review the Main Care cycles and how this is facilitated within CareFirst as well as the implementation of the system to meet the needs of the Adoption service. The continuation of this programme is essential to ensure that new legislative requirements and efficiencies are being achieved. Recent audit report reflects a 'good' standard.

3.5.3 Risk Score Increased

- **Amber Risk 52 – Delivery of Capital Programme – Increased from 15 to 16 (Row No. 8)**
 - Score increased due to changes in staff and restructure. However, all new staff have adopted existing protocols and governance to mitigate this risk. New governance and processes are being developed which will reduce the impact further.
- **Amber Risk 76 – Gypsy sites – not being able to progress development –**

Increased from 8 to 12 (Row No. 28)

- Score increased because there are three sites, all at different stages of development and with different challenges concerning funding and planning permission.

4. Co-operative Council and the Review of the Risk Management Strategy

- 4.1** The new administration's commitment to adopt a Co-operative Council model will see more public services being delivered by, or in partnership with, charities, communities and other public sector organisations and understanding the risks and looking at how they can be mitigated is necessary for effective delivery. Such potential shift in the structure of service provision will create significant risks but also present significant opportunities.
- 4.2** The Local Government Governance Review 2012 produced by Grant Thornton recommends that Councils enhance their risk management processes to maximise opportunity rather than, as traditionally, minimise risk.
- 4.3** In light of the above the Risk Management Strategy is currently under review and will focus more on Opportunity Risk Management to help reaffirm and improve effective Risk and Opportunity Management in Plymouth.
- 4.4** An update on the revised strategy will be presented to the next meeting of this Committee.

5. ALARM/Cipfa Benchmarking Club 2012

- 5.1** As reported to this Committee in the Risk Management Annual Report dated 21 June 2012, the Council joined this year's national risk management benchmarking club to compare our performance against Alarm's National Performance Model for Risk Management.
- 5.2** Our results this year show an increase in our average score from 73% in 2010 to 85% which raises our performance level from "embedded and integrated" to "driving" the business which is the top score on both the "Enablers" and "Outcomes" sections of the questionnaire.
- 5.3** The comparator data has now been received which compares our scores with 19 other similar sized local authorities. Plymouth is rated second in the league table behind Shropshire Council who scored 95%.

6. Summary and Conclusion

- 6.1** The Council's success in dealing with the risks that it faces can have a major impact on the achievement of key promises, objectives and ultimately, therefore, the level of service to the people of Plymouth.
- 6.2** The movement in risk scores and the consequent changes to the Council's overall strategic risk profile outlined in this latest review provides good evidence of the dynamic nature of the Strategic Risk Register and the maturity of the Council's approach to the identification and management of strategic risk.
- 6.3** The inclusion of risk management considerations is a key feature in the Council's key corporate processes featuring in the Corporate Plan preparation, the Business Planning Framework, Budget Planning and Monitoring and Performance Management.

- 6.4** The review and update of the Risk Management Strategy into a Risk and Opportunity Management Strategy will raise attention to opportunity risk to ensure critical new ideas and challenges are properly considered and help to broaden the perception of risk.
- 6.5** Managing Risk is also one of the five core management competencies in the Council's Competency Framework ensuring that the success of managers in managing risk in their area of responsibility is assessed as part of their annual performance appraisal.
- 6.6** This embedded approach now acts as an effective early warning system for the recording, monitoring and management of risks that threaten the delivery of the Council's strategic objectives and plans.
- 6.7** The next formal review of the Strategic Register will take place in February 2013.

7. Recommendation

The Audit Committee is invited to:

- 7.1** Note and endorse the current position with regard to the Strategic Risk Register.

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIFTEEN AUGUST 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
			Feb-11			Aug-11			Feb-12			Aug-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 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. COMMENTS AUG 12: With the election of a new administration and their adjustments to the corporate plan linked to the 100 manifesto pledges, a new MTFS is currently being written and will be presented to the Council in the coming quarter.	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 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. COMMENTS AUG 12: A formal procurement process has now commenced with Executive Project Board and Project Team in place. If no solution is provided following this process the Council would be forced to carry out necessary works to bring the building into a 'fit for purpose' condition.	Chris Trevitt	Carol Rowe
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 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 protect citizen and business sensitivities, whilst developing data exchanges for service delivery purposes and reduce the likelihood of regulatory penalties. COMMENTS AUG 12: The Information Lead Officers Group (ILOG) has been in operation since March 2012 and is now developing an Action Plan to coordinate strategic interventions within each directorate in order to minimise the opportunity for sensitive personal or commercial data to be inappropriately disclosed or stolen from the council. Failure to manage Information Governance could result in regulatory penalties from the Information Commissioner or the Courts. Each department will monitor compliance through completing an Information Governance Risk template. No change to scoring as the IG risk templates have not yet been updated or Action Plan outcomes known.	Richard Woodfield	Dave Saunders
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	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. COMMENTS AUG 12: Plan implemented and being integrated with JSNA work and Health and Wellbeing Board plan and commissioning.	Peter Aley	Lynn Clark
5	84	Impact of welfare reform on Plymouth City Council and our customers				New			4	4	16	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. COMMENTS AUG 12: Identified as key priority for the Council and working groups delivering workstreams to anticipate /mitigate effects.	Peter Aley	Lynn Clark

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			*P	*I		*P	*I		*P	*I		*P	*I					
6	33	Capital for Education Infrastructure (Formerly Building schools for the future (BSF) programme (formerly Schools re-organisation.)	3	4	12	4	4	16	4	4	16	4	4	16	16	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. COMMENTS AUG 12: Cabinet report presented March 2012 securing resources and approval for Waves 3 and 4. Reporting back to Cabinet on Waves 5 & 6 in the Autumn term 2012 to secure further resources for projects.	Jayne Gorton	Julie Reed (Lynn Clark Temp Monitoring)
7	88	Failure to secure Government funding through new process to deliver sufficient Major Transport Schemes. (DfT will introduce a new process for MTS funding 2015-19)							New			4	4	16		COMMENTS AUG 12: Outline Business Cases being prepared by April 2013 for 3 schemes - 2 x Eastern Corridor Major Transport Schemes and the Northern Corridor Whole Route Implementation Plan for section north of A38.	Philip Heseltine	Carol Rowe
8	52	Delivery of Capital Programme	3	5	15	3	5	15	3	5	15	4	4	16		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. COMMENTS AUG 12: Score increased due to changes in staff and restructure. However, all new staff have adopted existing protocols and governance to mitigate this risk. New governance and processes are being developed which will reduce the impact further.	Gareth Simmons	Carol Rowe
9	42	Health & Safety Management system	3	5	15	3	5	15	3	5	15	3	5	15		COMMENTS FEB 12: Formal Internal Audit programme implementation underway. A number of proactive audits have been carried out in maintained schools. COMMENTS AUG 12: HSE audit of waste and recycling completed Feb 2012 concluded good level of HS management. Corporate health and safety policy implemented.	Mark Grimley	Helen Cocks

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			Feb-11			Aug-11			Feb-12			Aug-12						
			*P	*I		*P	*I		*P	*I		*P	*I					
10	28	Increase in the of number of looked after children and cost pressures on Independent Placements.	3	5	15	3	5	15	3	5	15	3	5	15		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 Reviewknown 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. COMMENTS AUG 12: In terms of risk areas there has been over the last year a 20% increase in referral rates to Social Care and the present increase in the number of pre-birth assessments taking place with vulnerable young women in particular could lead to an increase in numbers of children in care. As predicted there has been an increase in the number of Special Guardianship applications from relatives and the additional costs to fund needs based allowances. From November young people on remand will become classified as Children in Care and from April next year the LA will be responsible for the full cost of the accommodation whilst on remand. In mitigation we are continuing to receive applications for foster carers and adopters and alongside this the Family Justice Review and Adoption Action Plan should reduce delay in placements and also the provision of 'foster to adopt' carers.	Dave Simpkins / Anne Osborne	Julie Reed (Lynn Clark Temp monitoring)
11	82	Potential legislative non-compliance of PCC buildings due to fragmented ownership and responsibility	New			3	5	15	3	5	15	3	5	15		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. COMMENTS AUG 12: Corporate Landlord initiative went live on 1 April 2012. This initiative brings all the responsibility for statutory compliance items into one area to ensure that contracts are extended to cover all relevant council properties. All buildings are now covered in accordance with statutory legislation and will continue to be monitored.	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 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. COMMENTS AUG 12: Contaminated Land Strategy under review. Prioritisation has been undertaken on those sites initially assessed, and a priority list produced. This is under continual review as new information becomes available.	Jayne Donovan / Robin Carton	Carol Rowe
13	67	Violent extremism	3	5	15	3	5	15	3	5	15	3	5	15		COMMENTS FEB 12: "Prevent" action plan refreshed in line with new Government policy and being performance managed with partners. COMMENTS AUG 12: Prevent Plan updated and being delivered with partners, including training and Counter Terrorism Local Profile received and being responded to.	Peter Aley	Lynn Clark

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14	24	Violence to staff/lone working.	3	5	15	3	5	15	3	5	15	3	5	15		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 oafter a violent incident is to raise a PVP alert, then the data can be input to the PVP case without re-keying. COMMENTS AUG 12: A prototype for PVP case management, using CRM, has been produced. This is being reviewed by HSW team in preparation for review by service user group in August.	Mark Grimley	Helen Cocks
15	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 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. COMMENTS AUG 12: Unemployment trends have remained stable with a slight drop in the overall rate but stubborn high levels of young unemployed and long-term unemployed. The Council received confirmation that a £2m application for Coastal Communities Fund money had been successful at first stage. The city has applications waiting assessment in both the Regional Growth Fund and Growing Places Fund. Local company KPM has received £1m of Grant for Business Investment for expansion at Ernesettle. Preparations are being made to secure further ERDF funds for the Urban Enterprise Programme.	Chris Grace / John Dixon	Carol Rowe
16	85	Health Integration							New			3	5	15		COMMENTS AUG 12: The detailed local transition plan has now been developed however the establishment of key milestones timeframe remains difficult due to most national deadlines now behind schedule. Models of integration have been initially scoped, a vision and outcomes workshop is planned for the beginning of August and a joint Risk Register is being developed. Commissioning mapping activity across Plymouth in relation to the transition has been acknowledged at a cluster level as an excellent model which is now being followed by others.	Tony Hopwood	Lynn Clark

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			*P	*I		*P	*I		*P	*I		*P	*I					
17	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	3	4	12	3	4	12	3	4	12	■■■■■	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. COMMENTS AUG 12: The total biodegradable municipal waste (BMW) landfilled in 2011/12 was 381 tonnes less than the same period in 2010/11 and with its LATS allocation and purchased credits the Council has sufficient permits to cover this biodegradable amount and hence no fines will be levied for 2011/12. The Q1 2012/13 performance has improved slightly compared with similar period in 2011/12 with recycling/reuse/composting performance up by 0.5% and the amount of waste landfilled down by 224 tonnes over similar period. The PFI reference recycling initiative to collect glass from the kerbside is due to begin a pilot collection service on one round from Sept 2012.	Jayne Donovan / Mark Turner / Sue Lorne	Carol Rowe
18	55	Failure to deliver waste PFI Procurement for SW Devon Waste Partnership (by 2014)	4	4	16	3	4	12	3	4	12	3	4	12	■■■■■	COMMENTS FEB 12: Planning approval was granted and the formal decision document issued on 3rd Feb 2012. COMMENTS AUG 12: Planning and permit risks decreased but risk remains at 12 as the new administration is opposing the project and currently investigating legal options available to them.	Mark Turner	Carol Rowe
19	60	Economic downturn affecting treasury management.	3	3	9	3	5	15	3	4	12	3	4	12	■■■■■	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. COMMENTS AUG 12: On-going monitoring of global economic situation in place.	Malcolm Coe	Angie McSweeney
20	81	Impact of trading services and loss of local authority funding through academy status	4	4	16	4	4	16	3	4	12	3	4	12	■■■■■	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. COMMENTS AUG 12: Whilst the government is anxious to increase the number of primary schools to academy status the level of buy back and the impact will need to be monitored. Changes to the schools funding formula will mean schools have the money in their budgets through further delegation to purchase services, but there will be more choice available in the market place.	Gareth Simmons / Jayne Gorton	Julie Reed (Lynn Clark Temp Monitoring)
21	72	Significant pressure on Adult Social Care budget	4	4	16	4	4	16	3	4	12	3	4	12	■■■■■	COMMENTS FEB 12: Financial pressures continue but are being tightly managed and the overspend is likely to be minimal at year end. COMMENTS AUG 12: We continue to closely monitor and manage variation in budget pressures in order to minimise any potential overspend at year end.	Pam Marsden	Lynn Clark






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			*P	*I		*P	*I		*P	*I		*P	*I					
22	36	Management of Employee Stress	3	5	15	3	5	15	3	4	12	3	4	12	—	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. COMMENTS AUG 12: HSW processes in place with managers (as part of business plans) that recommend team stress risk assessments are undertaken on annual basis. Thorough review of approach to resilience in 12/13 business plan year.	Mark Grimley	Helen Cocks
23	87	Failure to maximise opportunities from the Council's property assets							New			3	4	12	—	COMMENTS AUG 12: Strategic Property Review will highlight opportunities to utilise estate more effectively to further increase income and capital value and promote opportunities growth.	James Watt	Carol Rowe
24	73	Employee Relations	4	5	20	3	5	15	3	4	12	3	4	12	—	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. COMMENTS AUG 12: On-going liaison with trade unions office and legal teams.	Mark Grimley	Helen Cocks
25	47	Concessionary Fares	3	4	12	3	4	12	3	4	12	3	4	12	—	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. COMMENTS AUG 12: The 2012/13 reimbursement rate has been published and the period for 'challenge' to the SoS has now passed. The residual risk for this year is the possibility of an increasing number of journeys, which could put pressure on the budget.	Clive Perkin / Adrian Trim	Carol Rowe
26	77	Carbon Reduction Commitment (CRC) Energy Efficiency Scheme	4	5	20	3	5	15	3	4	12	3	4	12	—	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. COMMENTS AUG 12: On-going work to rationalise the Corporate Estate as well as looking at initiatives for generating energy on specific sites.	Chris Trevitt	Angie McSweeney
27	86	Strategic Housing Transformation Agenda.							New			3	4	12	—	COMMENTS AUG 12: The Housing Plan 2012-2017 captures the city's housing ambition and sets out priority objectives for developing, improving and investing in people's homes, neighbourhoods and communities.	Stuart Palmer / Paul Barnard	Lynn Clark
28	76	Gypsy Sites - not being able to progress development	4	4	16	2	4	8	2	4	8	3	4	12	↗	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. COMMENTS AUG 12: 3 sites agreed by Cabinet in Aug 12 and at various stages of development.	Peter Aley	Lynn Clark
29	89	HR Transformation Project							New			3	4	12	—	COMMENTS AUG 12: Project plan includes appropriate testing of systems and processes. Contingency plan in place to cover all eventualities during the implementation phases. Additional budget approved for resources as required.	Mark Grimley	Helen Cocks

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER FIFTEEN AUGUST 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
			Feb-11			Aug-11			Feb-12			Aug-12						
			*P	*I		*P	*I		*P	*I		*P	*I					
30	30	Unavailability of ICT	2	5	10	2	5	10	2	5	10	2	5	10	10	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. COMMENTS AUG 12: The data centre project at Windsor House is progressing to plan and will undergo commissioning and go live in January 2013. This will further reduce the likelihood of system downtime and provide a platform for future improvements.	Malcolm Coe	Angie McSweeney
31	14	Fraud	2	5	10	2	5	10	2	5	10	2	5	10	10	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. COMMENTS AUG 12: 2012-13 National Fraud Initiative exercise is due to commence with the upload of data from the DWP and other organisations at the end of 2012, the Audit team are taking a more proactive approach to Fraud in readiness for this exercise.	Dominic Measures	Angie McSweeney
32	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	10	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. COMMENTS AUG 12: The Council had a significant event in the form of possible fuel shortages but the use of the Business Continuity Incident Management Plan as well as the decisions by the Business Continuity Strategy Group meant that any impacts were mitigated.	Jamie Whitford-Robson	Marie-Odette Prêleur
33	70	Delivering the transformation of Adult Social Care through Putting People First framework	2	3	6	2	3	6	3	3	9	3	3	9	9	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. COMMENTS AUG 12: The roll out of the service restructure in July 2012 has been completed and sustained improvement is expected over the coming year in the level of Personal Budgets.	Pam Marsden / Paul Francombe	Lynn Clark

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			*P	*I		*P	*I		*P	*I		*P	*I					
34	74	Social Care - Client Management IT Systems (Carefirst)	5	4	20	5	4	20	3	4	12	2	4	8		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. COMMENTS AUG 12: The ASC restructure is reaching its final stages but some amendments are required to the technical solution to address issues that have arisen during implementation. Other work streams are beginning for the ASC implementation around Finance review, appointment scheduling and the latter stages of the re-enablement implementation. Within CSC significant amounts of work is being carried out to review the Main Care cycles and how this is facilitated within CareFirst as well as the implementation of the system to meet the needs of the Adoption service. The continuation of this programme is essential to ensure that new legislative requirements and efficiencies are being achieved. Recent audit report reflects a 'good' standard.	Karen Porte	Angie McSweeney
35	80	Planning Obligations - implications of new legal framework and current economic circumstances.	2	4	8	2	4	8	2	4	8	2	4	8		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. COMMENTS AUG 12: The Planning Obligations and Affordable Housing Supplementary Planning Document First Review 2012 was formally adopted by Full Council on 30/08/12.	Jonathan Bell	Carol Rowe
36	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 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. COMMENTS AUG 12: Section 1 of the project is complete with only section 2 works outstanding. A number of snagging items are being resolved. Replacement barrier system now installed and working very well. Everyone Active are in occupation in the building and have been operating it since the end of May. Reporting mechanisms being finalised to provide for continued monitoring of the contract.	Tony Hopwood	Lynn Clark
37	54	Data Quality Management/Providing inaccurate information	3	4	12	3	4	12	3	4	12	Delete				COMMENTS FEB 12: Internal Audit are currently undertaking an audit of corporate performance indicators. Findings will help improve the accuracy of performance information. COMMENTS AUG 12: This issue now incorporated into Information Governance Risk.	Richard Woodfield	Dave Saunders
38	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	4	3	12	4	3	12	Delete				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. COMMENTS AUG 12: Now being monitored under Risk 86 Housing Transformation by People Directorate.	Stuart Palmer	Carol Rowe

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			Feb-11			Aug-11			Feb-12			Aug-12					
			*P	*I		*P	*I		*P	*I		*P	*I				
		* 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															