

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER EIGHTEEN FEB 2014 - Summary by Risk Rating APPENDIX A

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	RISK OWNER	RISK CHAMPION			
			Aug-12			Feb-13			Aug-13			Feb-14								
			*P	*I		*P	*I		*P	*I		*P	*I							
1	21	Medium Term Financial Forecast issues - unable to meet spending reduction targets, negative impact on budgets, loss of reputation, negative impact on front line services and a negative opinion from external audit.	5	5	25	5	5	25	5	5	25	5	5	25	R	COMMENTS AUG 13: The Medium Term Financial Plan supercedes the Medium Term Financial Plan for 13/14 for the next 5 years and includes Pension Auto Enrolment and 3 year revaluation impact. The budget was presented to senior officers and members in a different format, itemising all income and gross spend. There is now greater transparency and challenge. Engagement of strategic partner, (Ernst & Young) to help us address the future funding gap through a co-ordinated transformation programme. COMMENTS FEB 14: A 3 year budget was approved at Full Council at the meeting in February 2014 but risks remain for year 1, 2014/15 where £16m of cost reduction/additional income will be required. Budget papers include a risk register detailing individual assessments and countermeasures. Year 2 and 3 are heavily reliant on our Transformation Programme which itself is covered by individual risk assessments, which are monitored by the Transformation Board.	Malcolm Coe	Angie McSweeney		
2	95	Transformation Impact on Plymouth City Council Business - PCC is embarking on a large Transformation Programme. The scale of change and the benefit realisation required to achieve the council's plan as a Co-operative Council and address funding/income shortfall by 2016 / 17 carries significant risk on its capability and capacity to achieve this result.									New			4	5	20	R	COMMENTS FEB 14: Each of the 5 Transformation Programme delivery strands link to a Portfolio risk register which is monitored by the Transformation Board. The project is currently at the planning stage and therefore until the projected outcomes and benefits are realised the risk remains a significant one for the Council, particularly with regard to the delivery of the target budget savings. The benefits that the projects need to achieve have been challenged and there is confidence in the robustness of the financial plan for 2014. The budget for 2015/16 and 2016/17 have what are considered achievable figures but are still to go through a budget challenge process as part of building the Full Business Case for each Programme.	David Trussler	Sue Thomas
3	49	Future of Civic Centre and Council House following listed status as not currently fit for purpose.	4	5	20	4	5	20	4	5	20	4	5	20	R	COMMENTS AUG 13: The procurement process has identified a preferred bidder and Cabinet will be asked to agree a contract award in September but too premature to reduce the level of risk score at this stage. COMMENTS FEB 14: The procurement process has run its course and we continue dialogue with interested parties to take forward a development solution. We have secured new office accommodation at Ballard House, which is cost effective and will increase efficiency.	David Draffan / David James	Gill Peele		
4	92	Deterioration of the condition of the City's Highway Network (carriageway and footways)	New			5	4	20	5	4	20	5	4	20	R	COMMENTS AUG 13: Council have approved further capital investment with investment options paper being completed. Utilising the Governments new Highway Toolkit a number of investment and treatment scenarios have been modelled for the carriageway. Selecting the correct treatment for a failed road is essential in providing best value for money. We need to maximise opportunities to access Governments 2015 funding £6 billion for investment into Highways modernisation. Standard risk management and monitoring continues. COMMENTS FEB 14: The Council have agreed to purchase a new detailed survey of the network to inform future investment aimed at maximising value for money. The system is the right tool to aid the development of our asset management plan and deliver treatments that meet the new Highway Maintenance Efficiency Programme (HMEP) criteria and associated DfT funding models. The survey work will commence in April 2014 and will be completed by October, enabling the Council to assess what options to move forward with in terms of MTFP.	Adrian Trim	Gill Peele		

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5	46	The Council not meeting its obligations to keep citizen data secure , or provide and display information in line with statutory requirements. The consequence can be a financial penalty and/or reputational damage resulting in loss of trust in the Council which will affect the ability of the Council to work efficiently and effectively with the public, contractors or partner organisations (formerly Information Governance)	4	4	16	4	4	16	4	4	16	4	4	16	█ A	COMMENTS AUG 13: ILOG is continuing to work through the Information Governance Action Plan. More Corporate Communications are planned and an eLearning package for all staff will be rolled out in the Autumn. The Information Commissioner's Office have accepted an invitation from PCC to carry out an audit of our processes and this is planned to take place between Nov 13 and Jan 14. COMMENTS FEB 14: The Information Lead Officers Group has an Action Plan which is informed by a recent Internal Audit of Information Governance and in preparation for an external audit of Data Protection Act compliance by the Information Commissioners Office in April 2014. An eLearning package for all computer users 'Data Safe' has just been provided to all computer users. Current key issue is the governance and storage of council records, due to the planned change in the location of council staff and the use of buildings. Risk reduction will be reliant on processes put in place through the Transformation Project.	Dave Saunders	Rob Batten
6	83	Health Inequalities - not meeting high level partnership target to reduce the gap in life expectancy by at least 10% between the fifth of areas (eight neighbourhoods) with the lowest life expectancy and the population as a whole by 2020	4	4	16	4	4	16	4	4	16	4	4	16	█ A	COMMENTS AUG 13: Toolkit in preparation to address health inequalities down to neighbourhood level across 66 outcomes. COMMENTS FEB 14: A quarterly performance report has been developed to go to Caring Scrutiny Panel and Joint Commissioning Partnership. The grant allocation received by the Council to fund its public health work was discussed at the full Council meeting held on 27 January 2014. At this meeting a 'motion on notice' was unanimously agreed. As a result of this a joint letter has been sent to the Health Secretary asking that Plymouth's allocation be reviewed as a matter of urgency. In addition to this, the Council's Chief Executive and Director of Public Health held a teleconference with the Chief Executive of Public Health England to put the case for additional public health resource being directed to the City. If these approaches result in more funding being forthcoming then the Council will be in a stronger position to put programmes of work in place which will, in the longer term, address the gap in life expectancy.	Rob Nelder	Katrina Houghton
7	84	Impact of Welfare Reform on Plymouth City Council and our customers	4	4	16	4	4	16	4	4	16	4	4	16	█ A	COMMENTS AUG 13: Officers working group continues to meet to implement action plan. Advice service to continue with tight contract management and direct support to claimants as appropriate. Assessing the impact of large increase in customer contacts through the front office. COMMENTS FEB 14: Progress continues against action plan, including direct contact with those claimants affected, campaigns targeting groups and support for credit unions and ban on advertising of pay day lenders.	Peter Aley	Julie Cook
8	33	Ensuring there is adequate capital for Education Infrastructure	4	4	16	4	4	16	4	4	16	4	4	16	█ A	COMMENTS AUG 13: Targeted Capital allocations made in July following confirmation of basic need allocation in April 2013. Cabinet paper to be provided Autumn 2013 listing proposals along with a presentation. COMMENTS FEB 14: Approval given for new build at Knowle and additional spaces at St Peter's CE Pennycross and Woodfield. Project plans need to be agreed in order that the majority of the work is completed by Sept 2015.	Jayne Gorton	Julie Reed

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9	88	Failure to secure Government funding through new process to deliver sufficient Major Transport Schemes (MTS)	4	4	16	4	4	16	4	4	16	4	4	16	A	Philip Heseltine	Gill Peele
10	86	Strategic Housing Private Sector Housing Intervention - reducing capital resources.	3	4	12	3	4	12	4	4	16	4	4	16	A	Stuart Palmer / Paul Barnard	Julie Cook
11	67	Working with partners in the prevention of Violent Extremism.	3	5	15	3	5	15	3	5	15	3	5	15	A	Peter Aley	Julie Cook
12	24	Ensuring processes are in place to protect staff from violent incidents whilst carrying out their duties.	3	5	15	3	5	15	3	5	15	3	5	15	A	Chris Squire	Michelle Chapman









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13	51	Delivery of sustained and accelerated economic and population growth in line with the Council's Corporate Plan and vision for the City.	3	5	15	3	5	15	3	5	15	3	5	15	A	COMMENTS AUG 13: Since February unemployment has fallen slightly each month and some progress has been made in younger age groups but long-term unemployment for some residents remains a stubborn issue. We have secured new funds from the National Apprenticeship Service, Coastal Communities Funds and Flexible Support Fund to help with employment initiatives. A number of businesses have opened or expanded such as Hymec, Mitch Tonks, the Dome and there are significant enquiries from businesses such as God TV. An announcement on our bid into Regional Growth Fund is expected imminently and we are progressing work with the Local Enterprise Partnership to secure new EU and Single Pot monies (although the latter would not start to arrive until 2015). Latest figures have shown an increase in visitor numbers into Plymouth. We have commenced a review of the Local Economic Strategy which by year end will provide an updated strategic blueprint for economic growth, business support and job creation. Get Plymouth Building initiatives underway to accelerate housing delivery. Working with housing providers and agents to identify actions to help unblock barriers and new models of delivery such as RENT plus. Strategic funding mechanisms being explored. COMMENTS FEB 14: The launch of The Plan for Homes on 1 November with 16 specific initiatives which will help deliver the accelerated population growth that is being planned through the Plymouth Plan. In addition the Transformation Programme now contains the Growth, Assets and Municipal Enterprise programme of activity which will provide further impetuous into population growth. A City Deal has been signed which has the potential to deliver 10,000 jobs and will see South Yard transformed along with initiatives to help young people stay in employment and for more businesses to be supported and started up. There has been close work with the LEP to produce an EU work is also taking place with the LEP to produce a Strategic Economic Plan and secure a growth Deal with the Government. Our 1000 Club has achieved a number of its targets and a recent quarterly update on the Plan for Jobs showed that the 19 projects within it are currently above target in achieving the delivery of new jobs for the city.	Paul Barnard / David Draffan	Gill Peele
14	59	Financial risk associated with investigation and clean up of contaminated land	3	5	15	3	5	15	3	5	15	3	5	15	A	COMMENTS AUG 13: As funding becomes available, bids are made to DEFRA for investigation works. Unknown implications for future liabilities if funding not available. COMMENTS FEB 14: The funding that was previously available from DEFRA has now been withdrawn and consequently if land is identified as contaminated the Council would have to identify resources to comply with the statutory duties.	Simon Dale / Robin Carton	Gill Peele

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15	14	Ensuring robust systems are in place to combat fraud and protect Council assets.	2	5	10	2	5	10	3	5	15	3	5	15	A	Dominic Measures	Angie McSweeney
16	28	Increase in the number of looked after children and those subject to a Child Protection Plan leading to cost pressures on independent placements, staffing and resources	3	5	15	3	4	12	3	4	12	3	4	12	A	Alison Botham	Julie Cook
17	68	Failure to reach recycling targets and divert waste from landfill	3	4	12	3	4	12	3	4	12	3	4	12	A	Simon Dale / Mark Turner	Gill Peele

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18	60	The impact on Revenue budget of Treasury Management activity (formerly Economic downturn affecting treasury management)	3	4	12	3	4	12	3	4	12	3	4	12		COMMENTS AUG 13: Adopted new strategies spreading our portfolio to minimise risk and maximise value. Adjusted revenue budget to better reflect rates of return from investments. Revenue cost of funding council lending is escalating with overall revenue resources reducing. COMMENTS FEB 14: Revised Treasury Measurement strategy to be presented to Audit Committee in January 2014 and Full Council in February 2014 which will allow more deligated authority to the Treasury Management board and broader remit on borrowing and loan arrangements to maximise interest return/minimise borrowing costs. Monthly strategic TM board meetings now minuted and actions logged. Attended by Finance lead for both elected parties.	Malcolm Coe	Angie McSweeney
19	72	Significant pressure on Adult Social Care budget	3	4	12	3	4	12	3	4	12	3	4	12		COMMENTS AUG 13: Departmental Delivery Plan continues to be monitored through People Directorate Programme Board. COMMENTS FEB 14: Rigorous monitoring is undertaken by ASC Senior Management Team on a fortnightly basis.	Dave Simpkins	Julie Cook
20	91	Failure to keep abreast of and track new and emerging legislation as part of the powers following Localism Act (regulations)	New			3	4	12	3	4	12	3	4	12		COMMENTS AUG 13: Temporary Lawyer is currently in post. Waiting to see if this becomes permanent before delegating this responsibility to that person. COMMENTS FEB 14: When we have secured a permanent Contracts Lawyer to the vacant post that person will be designated to undertake the tracking of new and emerging legislation. It is hoped that this situation will be resolved early in the new financial year.	Dave Shepperd	Rosie Clahane
21	93	Failure to deliver the range of housing to meet Plymouth's need				New			3	4	12	3	4	12		COMMENT AUG 13: The Get Plymouth Building Programme has a number of strands to unblock barriers and to accelerate housing delivery and in particular bring forward greener and more affordable housing. Looking at stalled sites and new sites, self build and how the council can support propositions as well as new funding streams. COMMENTS FEB 14: The Get Plymouth Building programme continues to deliver increased momentum. This has been supplemented with the launch of The Plan for Homes on 1 November 2013 which aims to deliver 1,000 homes per annum.	Paul Barnard	Gill Peele
22	94	Delivering the Early Intervention and Prevention Strategy							New			4	3	12		COMMENTS FEB 14: The Early Intervention & Prevention Strategy is now embedded and the action plan is being refreshed. Risks are that the Strategy fails to deliver on multi-agency outcomes to reduce the number of referrals into Social Care.	Alison Botham / Judith Harwood	Julie Reed
23	73	Employee Relations	3	4	12	3	4	12	3	3	9	3	4	12		COMMENTS AUG 13: Ongoing negotiations with trade unions. Continuing to work through claims in accordance with plans. COMMENTS FEB 14: Negotiations about to commence for 2014/15.	Chris Squire	Michelle Chapman
24	81	Impact of trading services and loss of local authority funding through academy status	3	4	12	3	4	12	3	4	12	2	5	10		COMMENTS AUG 13: Changes to schools funding does not appear to have impacted greatly on services bought back. The level of buy back and impact on school budgets continues to be monitored and a new Directory is being prepared for Nov 13. COMMENTS FEB 14: Changes to schools funding does not appear to have impacted greatly on services bought back. Services are fit for purpose and reviewed regularly.	Jayne Gorton	Julie Reed
25	82	Potential legislative non-compliance of PCC buildings due to fragmented ownership and responsibility	3	5	15	2	5	10	2	5	10	2	5	10		COMMENTS AUG 13: Corporate Property now restructured to ensure effective management and support across the corporate estate. COMMENTS FEB 14: A Health and Safety audit will be completed Feb 2014 and issues identified will be addressed to ensure compliance with H&S legislation.	Chris Trevitt	Angie McSweeney

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26	30	ICT Resilience - Ensuring there is adequate disaster recovery in place to deal with the unavailability of ICT.	2	5	10	2	5	10	2	5	10	2	5	10	G	COMMENTS AUG 13: The 2nd data centre at Windsor House is now holding test data and is on schedule to go live 2nd quarter 2013. COMMENTS FEB 14: Project scope changed to bring forward replacement of legacy equipment in Civic to avoid duplication of work and minimise business disruption and risk. The majority of services are now running from the new infrastructure in the Civic increasing resilience. Final migration to Windsor is planned for completion during Q1 14/15 once a full DR test is completed for the site.	Malcolm Coe	Angie McSweeney
27	08	Ensuring the Council has a robust Business continuity planning strategy in place to facilitate resumption of normal business activities should a serious incident occur	2	5	10	2	5	10	2	5	10	2	5	10	G	COMMENTS AUG 13: Departmental Plan Owners are tasked monthly to review their plans to ensure that information is correct and up to date. The strategy group continues to monitor potential incidents and lead corporately in building resilience. COMMENTS FEB 14: A revised Departmental Recovery Plan has been created to make the process easier to understand and ensure that plans are constantly kept up to date. The strategy group continues to monitor potential incidents and lead corporately in building resilience.	Jamie Whitford-Robson	Katrina Houghton
28	96	Implementation of the Care Bill and the Dilnot cap on care costs - financial risk associated with additional assessment activity, managing care accounts and earlier funding of care costs							New			3	3	9		COMMENTS FEB 14: New Strategic risk in respect of changes to the Care Bill sets out key proposals for reforming the way adult social care is funded from April 2016.	Dave Simpkins	Julie Cook
29	76	Risk of not getting funding to progress development of Gypsy Sites .	3	4	12	3	3	9	3	3	9	Delete				COMMENTS AUG 13: Continue implementation plans towards build for Broadley Park and other sites. COMMENTS FEB 14: Implementation plans in place, risk can now be removed.	Peter Aley	Julie Cook
30	70	Delivering the transformation of Adult Social Care (ASC) through Putting People First framework	3	3	9	3	3	9	3	3	9	Delete				COMMENTS AUG 13: Programme Managers, strategic and operational programme in place. Monitored through the People directorate programme board. COMMENTS FEB 14: Can be deleted and will continue to be monitored operationally.	Paul Francombe	Julie Cook
31	74	Ensuring robustness of Client Management IT Systems for Social Care (both Adults and Children)	2	4	8	2	4	8	2	4	8	Delete				COMMENTS AUG 13: Awaiting update. COMMENTS FEB 14: Can be deleted as being monitored operationally.	Karen Porte	Angie McSweeney
32	85	Health Integration - Transfer of public health commissioning activity, functions and staff from NHS Public Health departments to PCC	3	5	15	3	5	15	3	3	9	Delete				COMMENTS AUG 13: Continued support to Health & Wellbeing Board. Multi-agency engagement at all levels of strategic planning and resource allocation. COMMENTS FEB 14: Remove from register.		Julie Cook
33	89	Development of HR Transformation Project	3	4	12	4	5	20	4	5	20	Delete				COMMENTS AUG 13: Ongoing discussions with KPMG and Microsoft. Decision to be made in September on future plans. COMMENTS FEB 14: The AX project is complete and this risk can be removed from the register.	Chris Squire	Michelle Chapman
34	42	Maintain and support Health & Safety Management processes to aid the wellbeing of staff and reduce sickness levels.	3	5	15	3	5	15	2	5	10	Delete				COMMENTS AUG 13: Communications with team Plymouth complete, audit timetable published and first audit in the new programme final data tbc for 12 or 20 September COMMENTS FEB 14: Mitigation embedded, will continue to monitor operationally.	Chris Squire	Michelle Chapman
35	36	Ensuring systems are in place to deal with staff stress issues which could lead to sickness absence.	3	4	12	3	4	12	2	4	8	Delete				COMMENTS AUG 13: Audit report favourable, evidence of systems in place. Will continue to monitor through formal internal audit programme (SRR42). COMMENTS FEB 14: Mitigation embedded, will continue to monitor operationally.	Chris Squire	Michelle Chapman
* 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																		