





PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER TWENTY ONE AUG 2015 - 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	
			Feb-14			Aug-14			Feb-15			Aug-15						
			*P	*I		*P	*I		*P	*I		*P	*I					
1	21	Medium Term Financial Strategy 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	4	5	20		COMMENTS FEB 15: Risk register implemented as part of the 2015/16 budget setting process; continual review of risks following formal Council approval of the budget. Public facing Finance Plan report being written explaining what we spend our resources on - internal medium Term Financial Statement being written for CMT as a reference document which will be updated as and when new information received. COMMENTS AUG 15: The Budget risk register continues to be reviewed and updated as we go through the financial year. Major savings such as the Transformation programme are subject to individual risk assessments. Monthly monitoring reports include updates to all savings plans.	Andrew Hardingham	Aaron Perrin
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.	4	5	20	4	5	20	4	5	20	4	5	20		COMMENTS FEB 15: Budget profiling for the programme is significantly improved. Dedicated internal transformation accountant in place. Projects and programmes aligned with benefits. Benefits used to support PCC budget setting and all management actions / identified benefits have been reviewed to ensure that they are not double counted. Benefit realisation being defined to ensure savings identified are taken. Benefit reporting is also in place where benefits are tangible and financial. For the financial year 14/15 projections in February 2015 are predicted to exceed targets set. Future actions are; Programme and Project Management in accordance with the Align Process to be formalised and tested with Gate Review Process launching in January 2015. P3M3 (external maturity assessment) review completed November 14 with problem areas being addressed, training increased throughout the portfolio with mentoring and more dependency work commencing. COMMENTS AUG 15: Benefits fully integrated with Medium Term Financial Strategy 2015-19. Projects and programmes reviewed at Star Chamber to enable appropriate resource alignment. Future change prioritisation agreed and process currently being designed. Risk management approach aligned to corporate strategy.	Les Allen	Helen Cocks
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		COMMENTS FEB 15: The Council has received an offer for the freehold of the Civic Centre tower from Urban Splash which it has accepted, subject to contract. It is intended that the legal transfer will take place by 30th September 2015, once existing Council staff and equipment have been relocated, and the tower has been physically separated from the Council House, which will be retained in civic ownership and use. From the date of legal transfer, the responsibility for the building will pass to the new owner. The RAG rating will be revised once a legally binding agreement is in place. COMMENTS AUG 15: This risk remains red until exchange of contracts. After exchange the responsibility for completion will transfer to Transformation and the risk will be reduced as soon as the legal transfer is completed.	David Draffan / David James	Gill Peele
4	111	Governments Productivity Plan Section 9 'Planning Freedoms and more houses to buy' proposes Planning Reforms which would potentially have a huge impact on the Council's Planning Service and the Plymouth Plan							New			4	4	16		COMMENTS AUG 15: The Government recently published Productivity Plan Section 9 'Planning Freedoms and more houses to buy' which proposes Planning Reforms which potentially have a huge impact on the Council's Planning Service and result in a significant loss of application fee income and potentially have implications for the Plymouth Plan. Reforms include the relaxation of the planning control system, involving more permitted development, and a zonal system for identified brownfield land. Assessment of the resources required to deliver the planning function under the new guidelines underway.	Paul May	Gill Peele

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5	92	Deterioration of the condition of the City's Highway Network (carriageway and footways)	5	4	20	5	4	20	5	4	20	4	4	16	→ A	COMMENTS FEB 15: The survey work is now complete. The Council will be investing £4.8m into roads and pavements and the Highways Maintenance contract has been extended until March 2017. The condition of the network is improving with the number of potholes at a record low level following a major programme of repairs and financial commitment by the Council. The repairs have also been helped by innovative approaches and the investment in new equipment such as the roadmaster. However the risk remains high due to the sheer scale of the investment required e.g.. the backlog has been reduced from 7500 to 2500 but equally there have been 13,000 new potholes identified. The Council website has been improved to keep the public informed of planned works. COMMENTS AUG 15: Potholes are at record low levels with fewer than 600 reported by customers in July 2015. The Council secured £8.4m from the Government's challenge fund and with a capital contribution of £2.8m which means that £11.2m will be spent on the city's strategic roads over the next 3 years. A pavement repair programme gets underway in 2015 and £1m will be spent in the next 2 years. All investment is aligned to the profile of deterioration of the network through the Gaist Survey and this had proven to be a sound investment as the Council prepares itself for the next round of Government funding bids.	Adrian Trim	Gill Peele
6	108	Project led by Plymouth City Council, to transform the existing museum and art gallery on North Hill into the Plymouth History Centre . The vision is to build a unique visitor attraction, three times its existing size, which will open as the flagship building for the Mayflower 400 commemorations in 2020							New			4	4	16	A	COMMENTS AUG 15: Reputational/financial implications if full funding not received. Programme Board established and expertise in place. Additional funding streams being sought and programme for Arts Council bidding being put in place with the Culture Board.	David Draffan/Nicola Moyle	Gill Peele
7	72	Significant pressure on Adult Social Care budget	3	4	12	5	4	20	5	4	20	4	4	16	→ A	COMMENTS FEB 15: A significant overspend remains, ASC Budget Containment Plan continues to be monitored by the CC & ASC SMT on a fortnightly basis. COMMENTS AUG 15: Budget containment plan continues to be monitored on a fortnightly basis. Management actions are being resourced from existing structure and measures are in place with actions built into Plymouth Community Healthcare contract.	Craig McArdle	Julie Cook
8	106	The Deprivation of Liberty Safeguards (DOLS) were introduced to supplement the Mental Capacity Act (MCA), to protect people without capacity who are outside the procedural safeguards of the Mental Health Act to decide where to live. Judgement handed down by the Supreme Court in March 2014 has led to an increase in the number of people in England and Wales who are considered to be deprived of their liberty for the purposes of receiving care and treatment. There is a risk of litigation from patients and their families seeking Judicial Review in relation to unlawful detention.							New			4	4	16	A	COMMENTS AUG 15: Deprivation of Liberty (DOLS) plan in place with monitoring to be undertaken by Safeguarding Adult Board (SAB). Care Home paper taken to Cabinet in March 2015. Further work on fees being undertaken during 2015/16. Action Plan in place. Additional Best Interest Assessor (BIA) capacity looking to be sourced with grant from central government.	Craig McArdle	Julie Cook
9	105	The Council's potentially impaired ability to contact and mobilise appropriate operational staff out of hours to respond to a major emergency. Additional risk of non-compliance with statutory duty of the Civil Contingencies Act 2004				New			4	4	16	4	4	16	→ A	COMMENTS FEB 15: Risks potentially result from the current informal on call arrangements across the organisation, which leads to a reliance on 'good will' in mobilising an appropriate operational response following the Civil Protection On Call Officer initial assessment. Further risk of non-compliance with statutory duty of the Civil Contingencies Act 2004 should PCC be unable to respond out of hours. Call-out rotas for the Senior Management Team are being implemented which, when tested and embedded, will mitigate the risk. COMMENTS AUG 15: Progress has been made with formal call-out rotas in place for Senior Management, which require testing and embedding further to mitigate the risk. This remains an amber risk as operational officers out of hours availability continues to be informal.	Scott Senior / Jamie Whitford-Robson	Katrina Houghton

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10	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 FEB 15: The city's 10 year plan to improve health was launched in November 2014 with 35 city businesses, partner organisations and a number of city leaders in attendance. The first year focus is on workforce wellbeing but Year 2 will focus on primary and secondary schools. Work to galvanise the Council and partners around the construct of 4-4-54 which is the name given to an emerging action plan from Plymouth's Director of Public Health to put in place a new approach for addressing health inequalities. This is being developed as the backbone to Thrive Plymouth over the 10 years. Current data suggests the gap in life expectancy between neighbourhoods in Plymouth has narrowed from the previous 12.2 to less than 10 years but this should be viewed in light of the Director of Public Health's recent comments to Corporate Management Team about the sensitivity of life expectancy measurements in small areas to the lifestyle risk factor improvements which Thrive Plymouth is based on. COMMENTS AUG 15: The city's 10 year plan to improve health and reduce health inequalities, Thrive Plymouth, continues to be positively received across the city and embed its approaches to reducing health inequalities. The integrated commissioning strategy for Wellbeing as well as the Plymouth Plan have this at their core and this years DPH report unpacked the construct for a wider audience receiving full support in an all member briefing in July 2015. A marketing strategy is planned for development to support the campaigns and the social movement. Year 1 work with workplaces continues to strengthen with firm links into the Chamber of Commerce. Planning for Year 2 with schools is underway with much interest generated from partners to support this phase.	Rob Nelder	Katrina Houghton
11	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 FEB 15: Group continue to meet and implement action plan. In-house commissioned services continue to be reviewed. Council Tax Support Scheme & Emergency Welfare Fund schemes are monitored and reviewed. Plans implemented and strategies in place to create jobs and minimise poverty. Support continues to Credit Unions to reduce the use of costly loans. COMMENTS AUG 15: Group continue to meet and implement action plan. In-house commissioned services continue to be reviewed. Council Tax Support Scheme & Emergency Welfare Fund schemes are monitored and reviewed. Plans implemented and strategies in place to create jobs and minimise poverty. Support continues to Credit Unions to reduce the use of costly loans.	Peter Aley	Julie Reed
12	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	4	12	4	4	16	4	4	16	4	4	16	█ A	COMMENTS FEB 15: The number of Looked After Children has decreased slightly, however, the number of children in independent foster care and young people in Supported Living has increased. Placements continue to be monitored through weekly resource panel and quarterly through residential placement monitoring system. Work continues to increase the number of in-house foster carers and we continue to monitor the effectiveness and impact of the new family support team. New 'wrap around' commissioning and service provision to be developed with project management support from Transformation to reduce need for high cost placements. COMMENTS AUG 15: The number of looked after children has reduced to 390 which is below the target of 400. We have 23 children in high cost residential placements with budgets for 26, however we have 80 children in independent foster placements with budgets for 68, we also have 4 independent parent and child placements against a zero budget. Placement monitoring continues through fortnightly Budget Containment meetings. Integrated Commissioning and Looked After Children Strategies remain in place.	Alison Botham	Julie Cook




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13	94	Delivering the Early Intervention and Prevention Strategy	4	3	12	4	3	12	4	4	16	4	4	16	█ A	COMMENTS FEB 15: Although some areas of risk have been managed down through strategic processes the overall risk is now clearer and more acute and has therefore increased the risk rating. COMMENTS AUG 15: The Children and Young People's Commissioning Plan has now been consulted on and the CCYPS Board is now overseeing the change project to deliver the Early Help Gateway and Information and Advice offer. Once the Gateway is signed off the risk will be reviewed again in three months.	Alison Botham / Judith Harwood	Julie Reed
14	113	Data loss and/or compromise of connected national infrastructure due to vulnerable infrastructure or attacks via standard hacking methods, phishing emails or malware infection.							New			4	4	16	█ A	COMMENTS AUG 15: Annual IT Health Check, regular vulnerability scans carried out and IT Infrastructure patching policy in place.	John Finch	Aaron Perrin
15	99	Potential risks resulting from the fragmented clinical and service governance arrangements between ODPH, CCG and NHSE Area Team.	New			5	5	25	3	5	15	3	5	15	█ A	COMMENTS FEB 15: The risk in Public Health commissioned services has been significantly reduced by the appointment of a Governance Pharmacist in HealthCare and the wider system risk is being addressed with the Clinical Commissioning Group and NHS England. COMMENTS AUG 15: The CCG has agreed a way forward by incorporating PH services into the existing governance system. ODPH are also members of the Controlled Drug Local Intelligence Network (CD-LIN) which is an NHSE body overseeing opiate prescriptions.	Kelechi Nnoaham	Katrina Houghton
16	67	Working with partners in the prevention of Violent Extremism.	3	5	15	3	5	15	3	5	15	3	5	15	█ A	COMMENTS FEB 15: Prevent Action Plan continues to be delivered with partners, and Plymouth Channel panel continues to be active in it's response to referrals. COMMENTS AUG 15: Prevent Action Plan continues to be delivered with partners, and Plymouth Channel Panel continues to be active in its response to referrals.	Peter Aley	Julie Reed
17	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	COMMENTS FEB 15: Potentially Violent Persons (PVP) ICT solution ready to roll out, pressure on team resources has re-prioritised this piece of work. Anticipate decision on way forward in May 2015, in the meantime continue to use incident reporting system to monitor any violent incidents recorded and share information as appropriate. COMMENTS AUG 15: Requirements for PVP system referred to Intelligent Client to scope an ICT solution with stakeholders.	Marion Fanthorpe	Michelle Chapman

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18	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 FEB 15: Plymouth is experiencing an upturn in private sector growth and investment and unemployment has reduced, sitting below the national average. The city has also been successful securing a City Deal and finance from the Growth Deal. These deals enable the redevelopment of key employment generating sites such as South Yard, various business support and trade development initiatives and improvements to infrastructure. Local initiatives such as the 1000 Club and Building Plymouth have helped more people get into work. The city needs to ensure that the labour pool has the right skills to match with the needs of businesses and that it delivers ease-of-access to sites where businesses can invest, expand or relocate. Initiatives such as a potential Enterprise Zone and the bringing forward of sites for development within the city centre will be crucial in order to maximise the benefits of national economic improvements. COMMENTS AUG 15: PCC does not have the capacity to have ready designed and costed schemes available to submit at short notice to request for capital bids. The reduction in the capacity of the Network Management Unit has meant responsibility for securing contract administration and supervision has fallen to the Client, stretching staff resources further and increasing costs on Capital Schemes. Shortage of revenue budgets to work up schemes, means that Capital Schemes are submitted for Capital funding in an underprepared state, often leading to requests for further PCC Capital as the scheme design matures to avoid going back to the LEP with cost increases. Could include a 44% Optimism Bias at initial stage in accordance with best practice but at risk of scheme not being approved due to low BCR and high overall cost.	Paul Barnard / David Draffan	Gill Peele
19	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 FEB 15: No further sites have been identified under Part 2 A of the EPA 1990, but if a site was identified the Council would have to identify resources to comply with the statutory duty. COMMENTS AUG 15: Risk remains, no changes or sites identified to-date.	Robin Carton	Katrina Houghton
20	109	Failure to secure adequate market interest in the South Yard Marine Industries Production Campus (MIPC) site, slows or prevents site occupation such that economic growth projections are not achieved and/or the Council has to provide financial revenue support to run and maintain the site							New			3	4	12	A	COMMENTS AUG 15: Site is being marketed locally, nationally and internationally and specialist marketing, branding and property agents have been commissioned to promote the site.	David Draffan	Gill Peele
21	110	Failure to secure adequate funding for the South Yard Marine Industries Production Campus (MIPC) site which slows or prevents site development such that economic growth and income projections are not achieved and the Council has to provide additional financial support to develop and/or run the site							New			3	4	12	A	COMMENTS AUG 15: £20.5m of capital secured via various grants and loans. Capital investment being prioritised to provide site infrastructure plots and some direct development. Enterprise Zone provisionally approved to allow business rates to be retained to support site.	David Draffan	Gill Peele
22	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	3	4	12	A	COMMENTS FEB 15: The Information Commissioners Office follow up audit report noted that PCC responded positively to the 49 recommendations made in their original audit report which took place in April 2014. Auditors were pleased to note significant progress in all 3 scope areas with 70% completion of the actions arising from the audit. The audit action plan is still live and Information Lead Officer Group continue to work through the remaining issues. COMMENTS AUG 15: The audit action plan is still live and Information Lead Officer Group continues to work through the remaining issues. Further staff training to be rolled out during the Autumn of 2015.	John Finch	Aaron Perrin
23	107	Highway maintenance re-procurement - failure to jointly procure between Devon and Somerset County Councils and Plymouth City Council							New			4	3	12	A	COMMENTS AUG 15: Joint Strategic Board established with Somerset and Devon County Councils. Joint working arrangements agreed and project manager and governance in place.	Simon Dale	Gill Peele

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24	76	Risk of not getting funding to progress development of Gypsy Sites .	Reinstated			3	5	15	3	5	15	4	3	12		COMMENTS FEB 15: Broadley Park to be developed once legal issue is resolved. Potential sites to be identified as part of Plymouth Plan. Investment in addressing underlying causes of problems, reduces cost and issues associated with unauthorised encampments. COMMENTS AUG 15: Broadley Park will be delivered as a transit site as a priority for the Council which will reduce expenditure and risk associated with unauthorised encampments. Potential additional sites will be considered as part of the Plymouth Plan.	Matt Garrett	Julie Cook
25	68	Failure to reach recycling targets and divert waste from landfill	3	4	12	3	4	12	3	4	12	3	4	12		COMMENTS FEB 15: The Energy From Waste plant will come on line in Spring 2015. Once the rezoning of the waste collection routes across the city has been fully embedded, a community engagement campaign around recycling will commence. This will include very clear messages on what and how waste can be recycled to improve the recycling rates. COMMENTS AUG 15: Out-turn recycling rates for 2014/15 show continuing improvement and the kerbside glass collection scheme which is the last formal PCC initiative noted in the PFI Financial Business Case (FBC) has been launched which should provide further improvement. However these schemes are not delivering the recycling rate improvements forecast in the FBC and the Council is examining additional initiatives to boost recycling, including community composting of food waste and more city centre recycling facilities. The new waste disposal facility is now receiving waste and landfilling has stopped. The rezoning of the waste collection routes across the city has been fully embedded and a community engagement campaign around recycling, improving waste habits and increasing efficiency has commenced.	Simon Dale	Gill Peele
26	93	Failure to deliver the range of housing to meet Plymouth's need	3	4	12	3	4	12	3	4	12	3	4	12		COMMENTS FEB 15: The Plan for Homes has the ambition to deliver a very challenging target of 5,000 new homes over the next five years and will be regularly reviewed; first reporting period 2014/15. It contains 16 initiative aimed at increasing and accelerating housing delivery through a co-operative approach to partnership working to provide the finance, land, infrastructure, community engagement and leadership to provide a range of new homes. COMMENTS AUG 15: This risk is unchanged at this stage pending the Autumn report.	Paul Barnard	Gill Peele

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27	88	Failure to ensure that the resources and capacity to deliver Major Capital Transport Schemes is in place to deliver effectively	4	4	16	3	4	12	3	4	12	3	4	12	A	COMMENTS FEB 15: The Forder Valley Road project was submitted to the LTB for Growth Deal 2 in November 2014, with a request for £26.16M (total project cost of £37.238M). Provisional funding of £22.5 was offered to PCC in Jan 2015. The Forder Valley Road project was assessed as being the 2nd priority transport project under the Growth Deal 2 project ranking. PCC is confident that it can still deliver this project within the offered funding envelope, without needing to rescope the project. Re GD1 projects; Derriford Hospital Interchange - full Business Case approved. Derriford Transport Scheme - Programme Entry Business Case approved with Full Business Case to be submitted late summer/autumn 2015. Northern Corridor Junction - full BC approved which commits full funding for 15/16 and funding allocation for the next 5 years (subject to confirmation of value-for-money). Business Cases for Forder Valley Link Road and the City Centre Scheme will be submitted in summer/autumn 2015. COMMENTS AUG 15: The Forder Valley Link Road has secured Programme Entry as part of GD2, but because it is over £20m with a Growth Deal ask in excess of £10m, the scheme will only receive final approval if the Full Business case is submitted to and approved by Dft before end of 2016. This would still enable construction to commence in 2017/18. Dft could provide an in-principle position regarding validation of the current traffic models such as if the scheme comes up against significant objections or if a public inquiry is required, for example. Additional Road Side Interview data collection will now be required in Autumn 2015 to all but eliminate this risk. Current BCR value is 4.0 which is marginal for a highway scheme. Local contribution still stands at £12m to match £22m GD. Next tranche of Growth Deals to be submitted before December 2015. Schemes require 30% local contributions which may not be sustainable with all the other priorities.	Philip Heseltine	Gill Peele
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	3	3	9	3	4	12	3	4	12	3	4	12	A	COMMENTS FEB 15: The Care Act continues to be part of the Integrated Health & Wellbeing Transformation Programme. The resource implications are currently being modelled regionally as part of LGA/ADASS initiative. COMMENTS AUG 15: Clear project planning remains in place under the Integrated Health & Wellbeing Board Transformation Programme and resource implications continue to be modelled regionally as part of LGA/ADASS (Local Government Association/Directors of Adult Social Services) initiative.	Craig McArdle	Julie Cook
29	73	Employee Relations	3	4	12	3	4	12	3	4	12	3	4	12	A	COMMENTS FEB 15: Difficulties in reaching agreements with Trade Unions re: Customer Services Team impacting more widely, requiring significant amount of resource across multiple service areas. Potentially much wider impact across transformation programme. COMMENTS AUG 15: Initiatives are under way to improve employee relations. The Trade Union Facilities Agreement is being reviewed.	Marion Fanthorpe	Michelle Chapman
30	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 FEB 15: BCP Plans continue to be reviewed on a six monthly basis. COMMENTS AUG 15: There is now a contract in place with Delt for the provision of ICT services. Potential risks around the management of that contract will be monitored and managed through the Intelligent Client service.	James Taylor	Aaron Perrin
31	82	Potential legislative non-compliance of PCC buildings due to fragmented ownership and responsibility	2	5	10	2	5	10	2	5	10	2	5	10	G	COMMENTS FEB 15: New roles and responsibilities included in a revised structure to be in place by 1 April. COMMENTS AUG 15: New structure now in place will provide clear leads on areas of compliance going forward.	Chris Trevitt	Aaron Perrin

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32	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 FEB 15: The Business Continuity process is closely aligned with the principles of ISO 22301. Individual Departmental Recovery Plans continue to be reviewed on a six monthly basis and the impact of transformational changes is being closely monitored. An option is being explored to provide generic exercises through a uniformed approach within the Devon, Cornwall and Isles of Scilly Local Resilience Forum. COMMENTS AUG 15: Individual Departmental Recovery Plans continue to be reviewed on a six monthly basis and any changes in organisational structure are closely monitored to ensure relevance.	Jamie Whitford-Robson	Katrina Houghton
33	98	Risk of suspension of access to key public health data due to organisational non compliance with the Information Governance Toolkit for Department of Health e.g. access to Health & Social Care Information Centre data.	New			2	5	10	2	5	10	2	5	10	G	COMMENTS FEB 15: Currently compliant with work scheduled to achieve compliance for 2015. COMMENTS AUG 15: New version of IG Toolkit now released and compliance due by March 2016. Work on PSN compliance underway will support completion. Working group in place.	Kelechi Nnoaham	Katrina Houghton / John Finch
34	60	The impact on Revenue budget of Treasury Management activity (formerly Economic downturn affecting treasury management)	3	4	12	3	3	9	3	3	9	3	3	9	G	COMMENTS FEB 15: New banking rules apply from July 2015 but risk mitigation covered within Treasury Management Strategy 2015/16 approved by Council February 2015. Continue to work with independent treasury advisors to minimise risk / maximise income. COMMENTS AUG 15: New banking rules apply from July 2015 but risk mitigation covered within Treasury Management Strategy 2015/16 approved by Council February 2015. Continue to work with independent treasury advisors to minimise risk/maximise income. Close monitoring of input from Bank of England announcement around base rate increases from early 2016 and possible impact on our Treasury Management Strategy.	Andrew Hardingham	Aaron Perrin
35	112	Holiday pay and overtime - Recent employment case law changes has resulted in some forms of 'non-guaranteed' overtime pay and commission based payments being required to be included in employees holiday pay.							New			3	3	9	G	COMMENTS AUG 15: Employee Statement of Particulars to be updated to state that overtime offered and worked is 'voluntary' and the employee has the right to refuse to work. HROD and Legal will continue to monitor employment case law and any amendments to Working Time Regulations, communicating and implementing any future changes	Marion Fanthorpe	
36	100	Transformation of Youth Service.	New			2	4	8	2	4	8	2	4	8	G	COMMENTS FEB 15: 3 year transformation plan in place which has been through CMT and Cabinet. Progress with plan has meant process is currently ahead of the budget reduction schedule effectively creating more time for the smooth transition of services and lowering of likelihood of impact on customers. COMMENTS AUG 15: The transformation plan is still on target to achieve it's deadline for 2017.	John Miller	Julie Cook
37	33	Ensuring there is adequate capital for Education Infrastructure	4	4	16	4	4	16	3	4	12	Delete		D	COMMENTS FEB 15: Report to Cabinet for awarding contracts, St Matthew's and Knowle awarded in Nov 14 and Woodford and Holy Cross will be awarded in Jan 15. Business cases will be presented to City Council Investment Board on Pennycross and Pomphlett early in 2015. Sufficient places across the city for all pupils requiring statutory education. COMMENTS AUG 15: Risk can now be archived. St Matthew's, Knowle, Woodford and Holy Cross will all be ready for additional reception places in Sept 2015. Some further works continuing through to December 2015. Pennycross and Pomphlett both included in the capital programme and feasibility projects to be completed by Sept 2016. Continued assessment of population growth will be carried out to ensure that the LA meets its statutory responsibility to provide sufficient places in schools for pupils.	Jayne Gorton	Julie Reed	

