

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER TWENTY THREE - AUG 2016

ROW NO	RISK REF	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence)	CRITICAL SUCCESS FACTOR (must be vital to the Council's success / benefit the Council as a whole / Be synonymous with a high-level goal / link directly to the corporate strategy)	CURRENT EXISTING MITIGATION	RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			RAG RATING /CHANGE IN RISK RATING	ACTION PLAN / FUTURE MITIGATION	HOW WILL PROGRESS BE MEASURED (Guidance shown in tab C)	TARGET DATES (or review date if target unknown)	RESPONSIBLE OFFICER(S)	DIRECTOR / ASSISTANT DIRECTOR	RISK CHAMPION
					*P	*I	20	*P	*I	20							
1	95	Inability to meet the longer term target budgets given the size of the resource reductions and increasing cost pressures as detailed in our Medium Term Financial Strategy 2016-2020 . This would result in a negative impact on budgets, loss of reputation, negative impact on front line services and a negative VFM opinion from external audit Risk Category: FINANCIAL	<i>Pioneering</i> - We will be pioneering by designing and delivering better services that are more accountable, flexible and efficient in spite of reducing resources The Medium Term Financial Strategy (MTFS) for the financial years 2016/17 to 2019/20 sets out how we will finance the priorities for the Council, having regard to the Plymouth Plan, the Corporate Plan and the uncertainties around a number of issues including the level of reductions in future funding from Central Government and the consequent changes required of the Council	The Council has approved a balanced 2016/17 revenue (which includes a drawdown from existing reserves and provisions) and capital budget and the development of an MTFS to 2019/20. PCC Finance and People Directorate SMT are working in collaboration with the NHS Success Regime to ensure the Plymouth Integrated Fund is not compromised. A revised MTFS is being prepared and is due to be approved by Cabinet in October. It is proposed that the MTFS will be submitted to the Dept for Communities & Local Government, making the Council eligible to use capital receipts flexibly and protecting its 4 year Revenue Support Grant settlement. CMT and Cabinet will continue to receive monthly monitoring reports identifying risks and pressures leading to the consideration of proposals for corrective action.	4	5	20	4	5	20	R	Delivering the MTFS will be part of the CMT/ SMT development programme. Work with NHS colleagues on developing Plymouth-wide savings to benefit PCC and CCG The Council is monitoring the impact of (1) Business Rates revaluation taking effect April 2017 (2) The impact of new business rates appeals rules (3) The business rates impact of Brexit (4) Responding to DCLG consultations Fair Funding and 100% business rates retention by 26 September 2016. Work with Arlingclose (our treasury management advisors) to fully understand the treasury management impact of Britain's exit from the European Union.	Raised awareness and ownership by SMT Savings have been identified and developed Protect PCC's funding entitlements and maximise its position under 100% business rates retention Develop countermeasures and alternative investments	Ongoing Ongoing DCLG response to consultation Dec 2016	David Northey	Andrew Hardingham	Aaron Perrin
2	21	Being unable to deliver Council services within the envelope of the resources provided in 2016/17 leading to negative impact on budgets, loss of reputation, negative impact on front line services and a negative opinion from external audit. Risk Category: STRATEGIC TRANSFORMATIONAL CHANGE	<i>Pioneering</i> - We will be pioneering by designing and delivering better services that are more accountable, flexible and efficient in spite of reducing resources The Council 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 to achieve this result.	Progress reported within monthly finance reporting to cabinet members and scrutiny board. Improved Member engagement in Budget process and earlier in MTFP setting process buy having regular Member briefings. Budget presented to senior officers and members in scoreboard format, delivering greater transparency and challenge. Higher profile of Council's finances at both CMT and cabinet. Regular project accounting reports to the Transformation Programme Review Board. Budget sessions at DMTs.	4	4	16	4	4	16	A	Cross-departmental strategy on grant maximisation, with the policy being finalised by March 2016. Treasury Management diversification of portfolio to increase income. Working with Local Government Partnership to change regional contract and procurement opportunities to achieve cost efficiencies. Continue the Transformation Programme which is improving efficiency and reducing costs whilst still delivering benefits to customer. Significant savings are focused in four key programmes:- Growth, Assets & Municipal Enterprise (GAME) Integrated Health & Wellbeing (IHWB) Customer Service Transformation (CST) People & Organisational Development (POD)	Increase in successful bids Better return on the investment portfolio Reduced contract costs Improved efficiency and reduced costs	October 2016 March 2017 (With quarterly reviews) March 2017 (With quarterly reviews) Ongoing	Paul Cook	Andrew Hardingham	Aaron Perrin
3	83	Failure to reduce Health Inequalities will mean our poorest residents continue to live shorter lives as well as more years in ill health. This risk impacts the city's growth ambitions as well as the sustainability of the health and social care system through increased demands on welfare care, support and health services. Further risk of failing to achieve the city's vision where "an outstanding quality of life is enjoyed by everyone" and the key Caring Plymouth objective to reduce health and social inequalities. Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	<i>Caring</i> - We will promote a fairer, more equal city by investing in communities, putting citizens at the heart of decision-making, promoting independence and reducing health and social inequality <i>Confident</i> - We will work towards creating a more confident city, being proud of what we can offer and growing our reputation nationally and internationally Reducing inequalities particularly in health and between communities is a long term priority for the City Council to support the delivery of the vision for Plymouth where an outstanding quality of life is enjoyed by everyone	Thrive Plymouth framework adopted by full council and reading across in Plymouth Plan and Integrated Commissioning Strategies provides good foundation to achieve prevention in all services and decision making processes. Work with major employers in 2014/15 and in 2015/16 seeks to embed an understanding and focus to reduce health inequalities reaching thousands of employees and children and young people via schools.	4	4	16	4	4	16	A	Persistent action across the Council required at many levels to tackle inequalities Continue to work with employers and schools to influence healthier lifestyles	There is currently a life expectancy gap of 12.2 years between neighbourhoods in Plymouth. Closing that gap is crucial to the city thriving and an outstanding quality of life being enjoyed by everyone.	Ongoing	Sarah Lees	Kelechi Nnoaham	Scott Senior

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					Feb-16	Aug-16	Feb-16	Aug-16								
8	114	The organisation's ability to meet performance and delivery expectations in relation to statutory duties and deadlines are reduced. This is due to operational service pressures arising from a combination of: 1. Growing volume and complexity of demand across services; 2. Reduced staff and staffing resilience in a time of significant and rapid change to the design and delivery of services. Examples of where such pressures potentially create this risk include product safety, food borne illness and contaminated land.	<i>Caring</i> - We will promote a fairer, more equal city by investing in communities, putting citizens at the heart of decision-making, promoting independence and reducing health and social inequality <i>Confident</i> - We will work towards creating a more confident city, being proud of what we can offer and growing our reputation nationally and internationally Public Protection Service is an upstream service, that is highly preventative in protecting health, safety and wellbeing	Key areas of work in directorates have been risk assessed and prioritised in order to focus attention on those areas of highest need. In addition, where relevant, services deploy triage systems to focus resources in areas of greatest risk. Finally, services keep a close eye on performance and delivery and extra resources are deployed if necessary	New		3	5	15	A	Continual reassessment of prioritisation system to ensure our targeting of resources is correct. Constant review of intelligence and information to identify trends and emerging risks and to identify efficiencies in ways of working	Ongoing	Alex Fry, Andy Netherton, Nicola Horne, Katherine O'Connor	Kelechi Nnoaham	Scott Senior	
9	116	Risk of non delivery of a plan for waste that delivers increased recycling levels in Plymouth and ensures it meets the PFI targets agreed in the SW Devon Waste Partnership Risk Category: DEVELOPMENT & REGENERATION	<i>Pioneering</i> - We will be pioneering by designing and delivering better services that are more accountable, flexible and efficient in spite of reducing resources The city's recycling targets are achieved and the service is modernised and fit for purpose so that the increase in demand on the service in accordance with the Plymouth Plan Housing Growth can be met	Post rezoning service being delivered. Plan for waste under discussion	New		3	5	15	A	Cross Party Select Committee Consultation Programme Plan and staffing resources in place Project Board and Delivery Team established	Initial implementation April/May 2017	Lou Hayward	Lou Hayward	Gill Peele	
10	109	Failure to secure adequate market interest and funding in the South Yard Marine Industries Production Campus (MIPC) site, slows or prevents site occupation such that economic growth and funding projections are not achieved and/or the Council has to provide financial revenue support to run and maintain the site Risk Category: DEVELOPMENT & REGENERATION	<i>Growing</i> - We will make our city a great place to live by creating opportunities for better learning and greater investment, with more jobs and homes <i>Confident</i> - We will work towards creating a more confident city, being proud of what we can offer and growing our reputation nationally and internationally The city's Local Economic Strategy seeks to concentrate efforts on the things that will generate the greatest returns to our economy. It recognises the opportunity presented by Mayflower 2020 as a major milestone in the reinvention of Plymouth as Britain's Ocean City and as a catalyst for business growth in marine and related industries, the visitor economy, the culture of the city in its broadest sense, and raising the city's profile and reputation in global markets.	The council has the flexibility in its legal agreement with the MOD to slow down the legal transfer of the final phases of South Yard to enable sufficient income to be generated to pay for running costs.	3	4	12	3	4	12	A	Secure sufficient funding to develop Phase 1 and 2 at South Yard. Council has recently submitted business case for Growth Deal 2 grant and Growing Places Funding and an Eol bid for Growth Deal 3 grant funding to accelerate and progress site development. Continue to explore ways of reducing site running costs. Council has engaged positively with senior MoD and Navy officers to review and challenge future security requirements to seek to reduce additional annual revenues security costs.	Ongoing Next review Feb 2017	Patrick Hartop	David Draffan	Gill Peele
11	107	Failure to deliver the HM17 Programme of change. The Amey Partnership will cease on 31 March 2017. Plymouth are working with Somerset and Devon to procure a new contractor for term maintenance and to bring back in house some functions. Risk Category: DEVELOPMENT & REGENERATION	<i>Pioneering</i> - We will be pioneering by designing and delivering better services that are more accountable, flexible and efficient in spite of reducing resources A contract is awarded with a successful bidder to commence April 2017 and improvements and efficiencies in the strategic design and maintenance of the highways network are delivered.	Cross Party Project Board in place and meeting regularly. Delivery team in place. Gateway review validation undertaken. Tender evaluation, moderation is resourced and on schedule. 9 workstreams established with lead officers. Programme Risk Register developed from risk workshop and monitored.	4	3	12	3	4	12	A	Implementation of Gateway Review recommendations. Mitigation measures in place for key risks.	BID Award - Sept 16 Mobilisation - Oct 16 New contract - Mar 17	Adrian Trim	Simon Dale	Gill Peele

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12	93	<p>Risk of failing to deliver the range of housing to meet Plymouth's need via The Plan for Homes and not realise the ambition to deliver 5,000 new homes over the next 5 years</p> <p>Risk Category: DEVELOPMENT & REGENERATION</p>	<p><i>Growing</i> - We will make our city a great place to live by creating opportunities for better learning and greater investment, with more jobs and homes</p> <p>The Plan for Homes was launched in November 2013 to speed up housing supply by delivering a range and mix of well-designed greener homes to meet the city's needs</p>	<p>Plan for Homes regularly reviewed. Plan for Homes refresh 2016-2021 completed through the Housing Needs Working Group and approved by Cabinet in February 2016.</p> <p>Review of partnerships and partners to manage delivery and ensure capability.</p>	*P	*I	12	*P	*I	12	A	<p>Plan for Homes refresh 2016 to 2021 with 20 initiatives to further support housing delivery. This includes a more direct intervention approach to housing delivery for establishing a fund for acquiring sites; tackling stalled and lapsed sites; creating a new housing company directly to deliver new homes.</p> <p>Ensuring the modernisation of Government funding opportunities to support new homes e.g. Starter Homes and Care and Support funding.</p> <p>To develop further innovation to improve upon the proactive and fast track approach to planning.</p>	<p>Regular reports to Housing Needs Working Group and Portfolio Holders.</p> <p>Establishment of Cabinet Advisory group on Planning.</p> <p>Housing and Infrastructure to remove barriers to delivery, improve key partner engagement to support delivery of new homes against commitment to deliver 5,000 new homes over 5 years.</p>	Annual delivery monitoring year end March 2016 and on going	Paul Barnard	Paul Barnard	Gill Peele
13	51	<p>Risk of not delivering sustained and accelerated economic and population growth in line with the Council's Corporate Plan and vision for the City which could lead to higher unemployment and lack of the right labour skills to match the needs of businesses.</p> <p>Risk Category: DEVELOPMENT & REGENERATION</p>	<p><i>Growing</i> - We will make our city a great place to live by creating opportunities for better learning and greater investment, with more jobs and homes</p> <p><i>Confident</i> - We will work towards creating a more confident city, being proud of what we can offer and growing our reputation nationally and internationally</p> <p>The city's Local Economic Strategy seeks to concentrate efforts on the things that will generate the greatest returns to our economy. It recognises the opportunity presented by Mayflower 2020 as a major milestone in the reinvention of Plymouth as Britain's Ocean City and as a catalyst for business growth in marine and related industries, the visitor economy, the culture of the city in its broadest sense, and raising the city's profile and reputation in global markets.</p>	<p>We have put in place a series of economic development measures. These include for People - 1000 Club, Building Plymouth, Urban Enterprise Programme, Manufacturers Challenge.</p> <p>Place regeneration we have undertaken direct development (Header Court) signed a City Deal, embarked on Plymouth Science Park phase 5.</p> <p>Business Support we have set out a 2.5 million social enterprise investment fund, supported the Gain Growth Fund, attended business trade shows (MIPIM San Diego, Mets Amsterdam) and reworked the inward investment guide/website.</p>	3	3	9	3	3	9	G	<p>Future plans include:</p> <p>Place - development of the History Centre and Quality Hotel site. Exploring development of Colin Campbell Court. Further direct development of South Yard.</p> <p>Business Support - development of the marine/blue tech sector, co-ordinating inward investment, leveraging off the LEP to improve connectivity and exploiting the Mayflower to reposition the city at the centre of celebrations.</p> <p>Brexit element of this risk will be considered in line with corporate Brexit risk template</p>	<p>Monitor:-</p> <p>Weekly wage rates, Gross Value Added per hour worked.</p> <p>Job Seeker Allowance claimants.</p> <p>Youth Job Seeker Allowance claimants</p>	Ongoing	Paul Barnard	Paul Barnard	Gill Peele
14	108	<p>Failure to secure funding for the Plymouth History Centre - Reputational and financial implications if full funding not received to complete the project led by Plymouth City Council, to transform the existing museum and art gallery on North Hill into the Plymouth History Centre.</p> <p>Risk Category: DEVELOPMENT & REGENERATION</p>	<p><i>Pioneering</i> - We will be pioneering by designing and delivering better services that are more accountable, flexible and efficient in spite of reducing resources</p> <p><i>Confident</i> - We will work towards creating a more confident city, being proud of what we can offer and growing our reputation nationally and internationally</p> <p>The vision to build a unique visitor attraction, three times the size of the existing site, which will open as the flagship building for the Mayflower 400 commemorations in 2020</p>	<p>Whilst the project remains on track there are risks arising due to the proximity of the point of commitment. All funding applications have been made and we will find out the results over the summer and into the autumn. All indications are positive. All procurement appointments are now in place including the contractor. If commitments are made in the autumn delivery is on programme for April 2020.</p>	3	4	12	2	4	8	G	<p>Additional funding streams being sought.</p> <p>Programme for Arts Council bidding being put in place with the Culture Board</p>	When appropriate funding is in place	Autumn 2016	Paul Brookes	David Draffan	Gill Peele