





ROW NO	RISK REF	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category)	LINK TO CORPORATE PLAN PERFORMANCE FRAMEWORK OR BUSINESS PLAN (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 (LIST MEASURABLE BENEFITS AND NON-QUANTIFIABLE BENEFITS)	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>Corporate Plan Performance Framework Outcome - Pioneering</i> <i>Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus</i> 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 is expected to approve a balanced 2017-18 budget in February following the identification of additional efficiencies. The MTFS will be updated at CMT quarterly. PCC Finance and People Directorate SMT are working in collaboration with the NHS Success Regime to ensure the Plymouth Integrated Fund is not compromised. 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	Work will commence in Autumn 2017 to roll forward the MTFS for 2016-19 to 2021-22. The position under 100% business rates retention will be modelled in detail. 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. 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 Ongoing	Paul Looby	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>Corporate Plan Performance Framework Outcome - Pioneering</i> <i>Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus</i> 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 Portfolio Board and the Transformation Portfolio Review Group. Budget sessions at DMTs.	4	4	16	4	4	16	A	Treasury Management diversification of portfolio to increase income. Investment in income earning assets. Cross-departmental strategy on grant maximisation. 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 focussed in the following key programmes:- Growth, Assets & Municipal Enterprise (GAME2) One System One Aim / Integrated Health & Wellbeing Transforming the Corporate Centre	Better return on the investment portfolio Improved efficiency and reduced costs Increase in successful bids Reduced contract costs Improved efficiency and reduced costs	Ongoing Qtly MTFS updates Ongoing Qtly Reviews Ongoing	Paul Looby / Helen Cocks	Andrew Hardingham / Dawn Aunger	Aaron Perrin / Freya Edwards
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>Corporate Plan Performance Framework Outcome - Caring</i> <i>Children, young people and adults live in healthy, safe and aspiring communities and are supported by high quality health and care services for those who need it when they need it</i> 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. Whilst this work continues, the focus for Thrive Plymouth Year 3 is localizing the national ONE YOU campaign to help adults in middle life adopt healthy behaviours. To enable this the commissioned health improvement service has re-branded to be One You Plymouth.	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. This year there will be partnership working with Plymouth Community Homes and Livewell Southwest to train housing staff to be able to "make every contact count" by being confident and competent in having health-related conversations with their 800+ new tenants and signposting them to any support they may need. Planned continued partnership working with Livewell Southwest and the Herald to on the I Love Life campaign and ensuring it is fully linked to the One You Plymouth work. The public health team will continue to work with the University of Plymouth to evaluate the impact of Thrive Plymouth on the health and wellbeing of local people	Data from 2010-2012 demonstrated 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. Data from 2012-2014 demonstrates a life expectancy gap of 11.5 years between neighbourhoods.	Ongoing	Sarah Lees	Ruth Harrell	Scott Senior

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					Aug-16		Feb-17								
4	84 On IRR	Risk of increased poverty/hardship as a result of the impact of Welfare Reform and reduced funding for discretionary welfare funds Risk Category: FINANCIAL	<i>Corporate Plan Performance Framework Outcome - Caring - Respecting people's wishes; Confident - Council decisions driven by citizen need</i> The government's welfare reform agenda continues to present significant risk, placing additional pressures on customers including the most vulnerable, and requiring significant partnership work with the voluntary sector to provide face to face advice to support customers affected	Welfare Reform Framework adopted. Impact of welfare reform continues to be monitored and discretionary welfare schemes reviewed. Plans implemented and strategies in place to create jobs. Support continues to Credit Unions and other financial inclusion initiatives. Commissioning advice services. Local support agreement for Universal Credit claimants Adoption of the Child Poverty Action Plan in October 2016 Review of Emergency Welfare Fund	4	4	16	4	4	16	A		Darin Halifax Rachel Silcock Emma Rose Rachel Silcock Judith Harwood	Giles Perritt	Maddie Halifax
5	46 On IRR	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) Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	<i>Corporate Plan Performance Framework Outcome - Pioneering Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus</i> Information is the raw material used by the Council to plan for and deliver all its services and reducing the risk that describes the availability and quality of information for staff, decision makers and citizen use, as well as the protection of sensitive information is a continuing process.	Staff awareness training has been rolled out to staff Incident reporting and management in place Escalation of breaches to MISF and SIRO	4	4	16	4	4	16	A		John Finch	Andrew Hardingham	Aaron Perrin
6	94 On IRR	Risk to vulnerable children, young people and families by not delivering early intervention and prevention and responding as soon as possible to their needs and promote better long term life outcomes. Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	<i>Corporate Plan Performance Framework Outcome - Caring Children, young people and adults live in healthy, safe and aspiring communities and are supported by high quality health and care services for those who need it when they need it</i> Early intervention aims to promote better long term life outcomes for families, and in doing so, also prevent them needing more intensive and higher cost services in the future, such as children's social care or the criminal justice system.	Children & Young People Service Transformation Project implemented and seen impact of the Gateway; Plan for Child Poverty 2016-2019 The Children and Young People's Commissioning Plan which is being overseen by the CYP System Design group.	4	4	16	4	4	16	A		Anne Osborne	Alison Botham / Judith Harwood	Maddie Halifax
7	117	Failing to adhere to the General Data Protection Regulation (GDPR) which will replace the Data Protection Act from May 2018. Failure to adhere to these Regulations may lead to a fine from the ICO and damage to reputation. There will also be a resource cost to the council in implementing actions to manage the new regulations. Risk Category: FINANCIAL	<i>Pioneering - A Council that uses resources wisely</i>	Devon Information Security Partnership (DISP) / ICO action plan. ILOG to raise awareness within departments	New			4	4	16		May-18	John Finch	Andrew Hardingham	Aaron Perrin

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8	114 On ORR	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. Risk Category: COMPLIANCE & REGULATION & SAFEGUARDING	<i>Corporate Plan Performance Framework Outcome - Caring Children, young people and adults live in healthy, safe and aspiring communities and are supported by high quality health and care services for those who need it when they need it</i> 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	*P 3	*I 5	15	*P 3	*I 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	Customer satisfaction, balanced budgets, monitoring demand. Staff wellbeing and stress surveys. Benchmarking with other local authorities or providers	Ongoing	Alex Fry, Rachael Hind, Nicola Horne, Katherine O'Connor	Ruth Harrell	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>Corporate Plan Performance Framework Outcome - Confident A city with an outstanding reputation where people choose to live, work and visit</i> 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	Modernisation of the Street Scene and Waste Department - implementation of alternate weekly collection	3	5	15	3	5	15	█ A	Delivery AWC against adopted business case - monthly monitoring with SWDWP partners with regard to disposal tonnages. Utilisation of commissioned participation survey to target areas that have lower rates of recycling. Investment in recycling campaigns across the city. Introduction of recycling on the go pods.	Modernisation measured against benefits listed on business plan. Delivery against adopted Plan for Waste. Monitoring of tonnages against forecasted disposal amounts	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>Corporate Plan Performance Framework Outcome - Confident A city with an outstanding reputation where people choose to live, work and visit</i> 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 and has done so for Area 5 to enable sufficient income to be generated to pay for running costs. The Council is continually exploring opportunities for grant funding and other income to develop the site	3	4	12	3	4	12	█ A	Secure sufficient funding to develop Phase 1 and 2 at South Yard; Council has secured a grant for Growth Deal 2 grant and Growing Places Funding as a loan which will cover Phase 1 development but will not contribute to wider site running costs. A Growth Deal 3 grant bid has not been successful hence alternative Phase 2 funding is being sought. Continue to explore ways of reducing or covering exceptional site running costs: Council has engaged positively with senior MoD and Navy officers to review and challenge future security requirements but at present no confirmed reduction of annual security costs. Eol's being sought for Phase 3 Area 5	When external grant funding is secured to assist with development and income can cover all site running costs. Number of businesses landing in South Yard.	Ongoing Next review Sept 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>Corporate Plan Performance Framework Outcome - Confident A city with an outstanding reputation where people choose to live, work and visit</i> 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.	3	4	12	3	4	12	█ A	Implementation of Gateway Review recommendations. Mitigation measures in place for key risks.	There is a Programme Plan in place with milestones reviewed by the Project Board which comprises of Members and Senior Officers. In addition, critical milestones will be 'Gated' as part of the project management process and externally reviewed. Currently 3 months into agreed plans for the mobilisation of SWH and demobilisation of Amey. Gateway 4 due Feb 2017, current project status Amber/Green, expected to be on track and similar status post review.	BID Award - Sept 16 Mobilisation - Oct 16 New contract - Mar 17	Adrian Trim	Lou Hayward	Gill Peele

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12	93	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 Risk Category: DEVELOPMENT & REGENERATION	<i>Corporate Plan Performance Framework Outcome - Growing</i> <i>We realise our full economic potential; outperforming the region by creating quality houses and jobs with a better educated and skilled population</i> 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	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. Review of partnerships and partners to manage delivery and ensure capability.	3	4	12	3	3	9	 G	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. Ensuring the modernisation of Government funding opportunities to support new homes e.g. Starter Homes and Care and Support funding. To develop further innovation to improve upon the proactive and fast track approach to planning. Starter Homes Land Fund Partnership Authority to work with HCA to bring forward a portfolio of stalled, lapsed and brownfield sites to unlock delivery and accelerate new homes	Regular reports to Housing Needs Working Group and Portfolio Holders. New homes delivery for first two years of monitoring Plan for Homes (14/15 - 15/16) are 2,215 homes; currently on target to meet 5,000 commitment.	Annual delivery monitoring year end and on going	Paul Barnard	Paul Barnard	Gill Peele
13	51	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. Risk Category: DEVELOPMENT & REGENERATION	<i>Corporate Plan Performance Framework Outcome - Growing</i> <i>We realise our full economic potential; outperforming the region by creating quality houses and jobs with a better educated and skilled population</i> 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.	We have put in place a series of economic development measures. These include for People - 1000 Club, Building Plymouth, Urban Enterprise Programme, Manufacturers Challenge. Place regeneration we have undertaken direct development (Headerd Court), started on-site at Oceansgate, signed a City Deal, embarked on Plymouth Science Park phase 5 now open. Inward investment - continued support, two new landings in the city - the Ship (Sittel) and at Turnchapel. Supporting Babcock to grow. 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.	3	3	9	3	3	9	 G	Future plans include: Place - development of the History Centre and Quality Hotel site. Exploring development of Colin Campbell Court. Further direct development of South Yard. Business Support - development of the marine/blue tech sector, co-ordinating inward investment, levering off the LEP to improve connectivity and exploiting the Mayflower to reposition the city at the centre of celebrations. Brexit element of this risk will be considered in line with corporate Brexit risk template. Series of business support projects (growth hubs, start up and advice) commissioned. Launched new STEM strategy	Monitor:- Weekly wage rates, Gross Value Added per hour worked. Job Seeker Allowance claimants. Youth Job Seeker Allowance claimants	Ongoing	Paul Barnard	Paul Barnard	Gill Peele
14	108	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. Risk Category: DEVELOPMENT & REGENERATION	<i>Corporate Plan Performance Framework Outcome - Growing</i> <i>We realise our full economic potential; outperforming the region by creating quality houses and jobs with a better educated and skilled population</i> 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	The Project remains on track, with very successful assembling of funding over 2016. The project has successfully procured the contractor and sub-contractor pricing is on-going; enabling works have started. The risk remains similar as funding secured has reduced risk whilst costs in the construction market have increased	2	4	8	2	4	8	 G	Funding streams being sought include Coastal Communities, Arts Council bidding for NPO. Value engineering in tender process	When appropriate funding is in place and final tenders are agreed at financial close in April 2017	Spring 2017	Paul Brookes	David Draffan	Gill Peele
15	113	Risk of data loss and/or compromise of connected national infrastructure due to vulnerable infrastructure or attacks via standard hacking methods, phishing emails or malware infection. Risk Category: OPERATIONAL/SERVICE DELIVERY	<i>Corporate Plan Performance Framework Outcome - Pioneering</i> <i>Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus</i> An information security incident occurs when there is a compromise, potential compromise or unauthorised use of Plymouth City Council data or physical assets. Poor education and training, misuse, and breach of security controls of information systems may result in data and information being put at risk, may be used to misrepresent the Council and result in the ineffective use of Council resources	Annual IT Health Check Regular vulnerability scans carried out IT Infrastructure patching policy in place Pro-active protective monitoring by Babcock External compliance assessment	4	4	16	2	4	8	 G	Implement compliance requirements into Delt business as usual - This is a workstream of the information management project Ensure vulnerability scans are conducted and reported to PCC The 2016 IT Health Check has been completed and all vulnerabilities will be addressed by February 2017 in order to meet compliance requirements	Transformation programme monitoring Build into service level reporting	Ongoing Ongoing	John Finch	Andrew Hardingham	Aaron Perrin