

ROW	CATEGORY	DESCRIPTION OF RISK (Risk description should include cause/risk event/consequence)	LINK TO CORPORATE / SHARED OBJECTIVES	CONTROLS	PROBABILITY	IMPACT	S R C O R I O N S R K E	ACTION PLAN / FUTURE MITIGATION / OPPORTUNITIES TO BE EXPLORED	HOW WILL PROGRESS BE MEASURED / ASSURANCE GIVEN	TARGET DATE (or review date if target unknown)	RESPONSIBLE OFFICER / RISK OWNER	DIRECTOR / ASSISTANT DIRECTOR / EXECUTIVE LEAD
1	PCC SRR	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	Corporate Plan Performance Framework Outcome - Pioneering - Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus. One Budget - Adapt a single system financial control total and apply our shared resources in the most effective and efficient way	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	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
1.1	NEW Devon CCG	There is a risk that the CCG will breach its control total for 16/17 if the success regime do not deliver on the set budget allocations for the provision of services in the CCG, as well as budget allocations to deliver its commissioning intentions, which will impact on the CCG's financial plan and assurance status. Risk Category: FINANCIAL	Objective: 1. Be financially sustainable Develop and deliver its approved financial plan for 2016/17 (CCG lives within its approved control total); Through the Devon Sustainability and Transformation Plan (STP) develop more detailed proposals to deliver safe, financially sustainable and integrated services provided to the population of NEW Devon between 16/17 and 20/21	The CCG is forecasting an in year deficit of £34m in line with the CCG share of the system wide control total for the NEW Devon Health Community. The provider element of the control total has yet to be finalised and signed off by NHSE & NHSI. As a result this leaves a potential risk of adding to an unmitigated risk at month 9 of £11m if this matter is not resolved and approved by NHS regulators	4	4	16	1) Detailed enhanced 2016/17 CCG internal planning process to ensure robust assessment of expenditure requirements. 2) Joined up system ways of working - system wide savings plan 3) Intention to agree block contracts to bring certainty to in year expectation with risk management process to be agreed as a system	CCG agreed operational plan 16/17 in place and clear action plans with NHSE quarterly assurance meetings. Main risk due to the contractual movement of deficit between organisation agreed locally but still waiting for NHS Improvement signoff as an agreed change to control total therefore not affecting Sustainability and Transformation Fund (STF). This issue has now been escalated by NHSE and is expected to be resolved as part of the close of Month 10 reporting.	Mar 17 (qtrly reviews)	Angela Hibbard	Hugh Groves
1.2	NEW Devon CCG	There is a risk that the CCG will breach delivery of the 2020 Sustainability and Transformation Plan (STP) if agreement cannot be reached on the budget allocations which will impact on the CCG's financial plan and assurance status. Risk Category: FINANCIAL	Objective: Be financially sustainable Develop and deliver its approved financial plan for 2016/17 (CCG lives within its approved control total); Through the Devon Sustainability and Transformation Plan (STP) develop more detailed proposals to deliver safe, financially sustainable and integrated services provided to the population of NEW Devon between 16/17 and 20/21	Final signed off plan for 2016/17 and STP plan. STP governance structure being developed (interim SR structure being utilised) clear delivery change from individual QIPP/CIP to joined up reporting and monitoring on system wide plan	4	4	16	1) Plan being developed and maintained through STP framework utilising existing success regime interim governance structure. 2) Agreed ways of working signed up to by 5 main organisations within the sub-system as part of 16/17 planning. 3) Case for change published through success regime identifying opportunities, although further work needed to validate and develop.	Devon wide STP submitted through governing body to NHS England - 21st October over 5 year planning period demonstrating CCG return to breakeven over period.	Mar 17 (qtrly reviews)	Angela Hibbard	Hugh Groves
2	PCC Op and SRR	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: CHANGE	Corporate Plan Performance Framework Outcome - Pioneering - Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus. One Budget - Adapt a single system financial control total and apply our shared resources in the most effective and efficient way	Progress reported within monthly finance reporting to cabinet members and scrutiny board. Improve Member engagement in Budget process and earlier in MTFP setting process by having regular member briefings. Budget presented to senior officers and members in a different 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 Transformation Portfolio Review Group. Budget sessions at DMTs	4	4	16	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 the following key programmes:- Growth, Assets & Municipal Enterprise (GAME2) One System, One Aim / Integrated Health & Wellbeing Transforming the Corporate Centre	Increase in successful bids Better return on the investment portfolio to increase income. Reduced contract costs Improved efficiency and reduced costs	Ongoing Qtrly MTFs updates Qtrly reviews Ongoing	Paul Looby / Helen Cocks	Andrew Hardingham / Dawn Aunger

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3	OSOA (DAP Report)	Failure to identify/implement efficiency gains due to fragmented decision making process resulting from the overall complexity between the One System One Aim Programme and the Integrated Fund Risk Category: CHANGE	Corporate Plan Performance Framework Outcome - Pioneering - Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus One Budget - Adapt a single system financial control total and apply our shared resources in the most effective and efficient way	One System One Aim Temporary post Director of Integrated Commissioning	4	5	20	Embedding of roles listed in controls Development of systems delivery programme group Commission Action Plans	Audit feedback Improved information flow and decision making Audit attendance at SDPG and FARG Audit liaise with Commissioning function to understand changes and progress	Quarterly review	Nicola Jones (CCG) / Anna Coles (PCC) /	Craig McArdle
3.1	NEW Devon CCG	As the CCG increase its level of collaborative working within the success regimes and as part of the wider Devon sustainability & transformation plan governance arrangements, there is a risk that it may fail to adhere appropriately to one or more of its statutory duties or internal governance requirements, thus potentially failing in one or more of its legal duties. Risk Category: CHANGE	Objective 2: Match resources explicitly to local need - 'Strategic Systems Leadership'	The CCG will contribute to the discussion and design of system wide governance arrangements and appropriately represent its interests and statutory requirements. The CCG, led by the director of governance, will review the impact of the evolving changes to system governance ahead of their implementation, testing these against CCG internal governance arrangements and statutory requirements. We will take appropriate informal and / or legal advice as appropriate before agreeing to any changes that impact on the CCG.	3	4	12	Embedding of roles. Development of systems delivery programme group Commission action plans. Audit feedback Improved information flow and decision making Audit attendance at SDPG and FARG Audit liaise with Commissioning function to understand changes and progress	System wide governance arrangements and proposed changes will be considered by the director of governance, debated by the CCG audit and/or executive committees, including assessing the specific impact on the CCG and developing an appropriate course of action to mitigate any material risk. Where such changes impact on or require changes to the CCGs internal governance, approval will be sought from the governing body ahead of any changes being agreed to.	Quarterly review	Paul O'Sullivan	Laura Nicholas
4	OSOA (DAP Report)	Failure to properly communicate with stakeholders related to One System One Aim causes confusion, resentment, delays and failure to achieve improvements to service delivery and savings Risk Category: CHANGE	Corporate Plan Performance Framework Outcome - Pioneering - Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus One Workforce - Maximise the utilisation and motivation of the people working within the health and wellbeing community	Public consultation in line with statute Joint senior leadership team meetings System design groups Regular Big Events	4	5	20	Use and promotion of logo and lead commissioner arrangements Internal updates to staff via Corp communication methods Improving committee governance	More use of logo More updates to staff and increased understanding	Quarterly review	Nicola Jones (CCG) / Anna Coles (PCC) /	Craig McArdle
5	OSOA (DAP Report)	Risk of not sharing valuable knowledge at all levels and between organisations in a formal manner causes detachment and lack of understanding within the business area Risk Category: OPERATIONS	Corporate Plan Performance Framework Outcome - Pioneering - Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus One Workforce - Maximise the utilisation and motivation of the people working within the health and wellbeing community	Review of CCG action and decision logs Across organisation communication at all levels	4	5	20	Visibility of governance structures and accountabilities Ensuring correct delegation applies and working within terms of reference	Better staff engagement Effective delivery of services Committee effectiveness review	Quarterly review	Nicola Jones (CCG) / Anna Coles (PCC) /	Craig McArdle
6	PCC Op	Failure to protect Vulnerable Adults or Children from risk of harm, resulting in a significant incident Risk Category: LEGAL, COMPLIANCE & SAFEGUARDING	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 Integrated Commissioning System Design Group - Children & Young People / Community One Standard - Deliver safe, effective, caring, responsive and well led services across the whole of the system	Quality Standards built into contracts. Learning from Serious Case Reviews. Plymouth Safeguarding Adults Board (PSAB) Action Plan, Safeguarding training	4	4	16	Annual PSAB Action Plan to be updated	Performance Reporting (Quarterly) at PSAB	Quarterly	Craig McArdle / Gary Walbridge	Carole Burgoyne
6.1	NEW Devon CCG	Lack of resources for vulnerable services. There is a risk that the CCG will not deliver the appropriate level of resources for vulnerable services for mental health and other related conditions, which will impact on the CCGs statutory obligations to meet the national targets. Risk Category: LEGAL, COMPLIANCE & SAFEGUARDING	Objective 4: Be focussed on quality of outcomes - namely care that is safe, that is clinically and cost effective and provides a positive experience for individuals accessing services - 'Improve Performance'.	Contract review and commissioning plans in place. National adverts for compliance for vacancy designated doctor position	3	3	9	Contract review and procurement of services	Performance reporting (bi-monthly) at quality committee	Bi-monthly review	Sue Baldwin	Lorna Collingwood-Burke

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7	PCC Op	Failure to support people made homeless as a direct result of the Local Housing Allowance and Welfare Reform changes leads to distress of those affected. Risk Category: LEGAL, COMPLIANCE & SAFEGUARDING	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 One Budget - Adapt a single system financial control total and apply our shared resources in the most effective and efficient way Integrated Commissioning System Design Group - Wellbeing	Continue to work with partners to supply services to customers in Housing Options. Temporary accommodation action plan. Use of Homelessness prevention fund to mitigate changes	4	4	16	Temporary Accommodation Plan. Housing Service Delivery Plan to provide further mitigation. Working with rough sleep strategy group to explore additional work to support rough sleepers off the streets	Delivery Performance Financial Results. Budget monitoring Scorecard	Ongoing	Matt Garrett	Carole Burgoyne
8	PCC SRR and NEW Devon CCG	The organisation 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 organisation which will affect the ability of the organisation to work efficiently and effectively with the public, contractors or partner organisations Risk Category: LEGAL, COMPLIANCE & SAFEGUARDING	Corporate Plan Performance Framework Outcome - Pioneering Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus One Standard - Deliver safe, effective, caring, responsive and well led	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	Roll out staff awareness training to all staff. Implement greater reporting consistency within directorates. Implement improved incident analysis within the Service Desk Ensure full corporate attendance for MISF Improved contract management with partners Implement greater reporting consistency within directorates Implement improved incident analysis within the Service Desk Ensure full corporate attendance for MISF. 2016 has seen an increase in breaches, however this improved significantly in the 2nd half of the year.	Reports from HR training detailing completion statistics Improved breach reports distributed to directorates Detailed breach reports for partners and escalation at contract management meetings Reporting of non-attendance to directors	Ongoing	John Finch	Andrew Hardingham
9	PCC Strategic	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: LEGAL, COMPLIANCE & SAFEGUARDING	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 Integrated Commissioning System Design Group - Wellbeing One Standard - Deliver safe, effective, caring, responsive and well led services across the whole of the system	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	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 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
10	PCC Op	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 Risk Category: LEGAL, COMPLIANCE & SAFEGUARDING	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 Integrated Commissioning System Design Group - Children & Young People One Standard - Deliver safe, effective, caring, responsive and well led services across the whole of the system	Implementation of service redesign should see improvement in quality assurance and practice	4	4	16	Improvement Plan and priorities are informed by self assessment	Delivery Performance		Alison Botham	Carole Burgoyne

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11	PCC Strategic and NEW Devon CCG (operational risk)	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: LEGAL, COMPLIANCE & SAFEGUARDING	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 Integrated Commissioning System Design Group - Children and Young People One Standard - Deliver safe, effective, caring, responsive and well led services across the whole of the 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	Children and Young People Action Plan Transformation including the Gateway and Targeted Support Workstreams, implementation plans being completed following the formal consultation Child Poverty Action Plan 2016-2019 aims to provide a renewed focus for where the city's attention and resources should be directed to ensure we have the most impact on our most vulnerable families, who are most likely to be experiencing child poverty	A reduction in offending, re-offending and anti-social behaviour; Improvement in children's school attendance and attainment; Children remaining safe from harm, including a reduction in risk from domestic abuse; Reduction in child poverty; Improved family health and wellbeing	Ongoing	Anne Osborne	Alison Botham / Judith Harwood
12	PCC SRR	Risk of increased poverty/hardship as a result of the impact of Welfare Reform and reduced funding for discretionary welfare funds Risk Category: FINANCIAL	Corporate Plan Performance Framework Outcome - Caring - Respecting people's wishes; Confident - Council decisions driven by citizen need One Budget - Adapt a single system financial control total and apply our shared resources in the most effective and efficient way Integrated Commissioning System Design Group - Wellbeing	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. 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	Officers working group across depts to measure impact, consider response and coordinate actions. Review advice services. Review local Council Tax Support Scheme. Review future of Emergency & Welfare Fund (EWF). Support for implementation of Universal Credit and those affected by the benefit cap. Create jobs and widening access to employment market. Reduce use of costly loans. Review and implementation of the Child Poverty action plan.	Welfare Response Group performance managing implementation of action plan. Contract monitoring of commissioned Advice Services. Revise Emergency Welfare Fund. Review advice services. Monitoring progress of the Child Poverty Action Plan Outcomes	April 17 (Annual review) Ongoing Sept 16 April 17 April 17	Darin Halifax Rachel Silcock Emma Rose Rachel Silcock Judith Harwood	Giles Perritt
13	PCC Op	Increased and sustained pressure on Adult Social Care budget due to increased numbers of people or increased complexity of need. As this is a statutory service and largest single budget it could have a significant impact on the Authorities overall financial position Risk Category: FINANCIAL	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 Integrated Commissioning System Design Group - Community / Enhanced & Specialised Care One Budget - Adopt a single system financial control total and apply our shared resources in the most effective and efficient way	2016/17 Measures in place with actions built into PCH contract. Budget containment Action Plan	4	4	16	Risk to be continued to be monitored and additional measures to be brought forward in year if risk materialises	Financial reporting (Monthly)	Monthly	Craig McArdle / Gary Walbridge	Carole Burgoyne
14	PCC Op	Failure to deliver public health commissioned services within the reduced public health grant allocation requiring a £1,293 millions savings plan in year for 2016/17 Risk Category: FINANCIAL	Corporate Plan Performance Framework Outcome - Pioneering - Enable quality services that are recognised as innovative; achieve value for money and exhibit an embedded customer focus One Budget - Adapt a single system financial control total and apply our shared resources in the most effective and efficient way	Close contract and budget monitoring	4	4	16	Negotiating reduced contract values with current service providers and working collaboratively to co-design services to move forward to deliver prioritised outcomes. Majority of budget savings have been contractualised. Outstanding risk of £142,000 due to non-delivery of savings originally allocated against substance misuse/complex needs. Meet in current year from reserve and look to contractualise in 17/18. Not pursued in year due to increased drug related deaths and vulnerability of primary care services	Reduced contract costs. Maintained improvement in health of population. Monthly reviews.	Ongoing	Sarah Lees	Ruth Harrell

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15	PCC Op	No clear sustainable funding some of Targeted Family Support. Targeted Family Support has core funding but relies upon troubled family government funding for 7 FTE posts. The FIP team also has an income target of £83,500 Risk Category: FINANCIAL	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 Integrated Commissioning System Design Group - Children & Young People / Community One Budget - Adopt a single system financial control total and apply our shared resources in the most effective and efficient way	The Transformation Service Design. Commissioning linking commissioned services to plan around meeting outcomes for troubled families. A business case has been put forward to build a system that will assist our Targeted Family (TF) targets as it will be able to link our partners work (integrated working), however the system design is for wider than TF - it is a transformation of how we will work up to and including 2020.	4	4	16	This would depend on outcome of transformation service design moving forward and how well we are able to evidence outcomes of PBR up to 2020	Financial Results Delivery Performance	Nov-20	Tracey Green	Carole Burgoyne

Residual Risk Level	Low	Low/Med	Medium	High	Very High
Plymouth City Council Residual Risk Score	1-10	12	15-16	20	25
NEW Devon CCG Residual Risk Score	1-3	4-6	8-12	15-20	25
Risk Category					
Strategic	Green	Yellow	Orange	Red	Red
Change	Green	Green	Yellow	Orange	Red
Legal, Compliance & Safeguarding	Green	Yellow	Orange	Red	Red
Financial	Green	Yellow	Orange	Red	Red
Operations	Green	Green	Yellow	Orange	Red
Information & Technology	Green	Green	Yellow	Orange	Red
People	Green	Green	Yellow	Orange	Red
Reputational	Green	Yellow	Orange	Red	Red

	Lower Risk/Higher Appetite	Higher Risk/Lower Appetite		
Risk Appetite Scale	Acceptable but continue to monitor (manage at departmental/operational level)	Seek to influence medium term/monitor (manage at departmental/operational level – consider escalation to Integrated Risk Register if cannot be managed at Dept. level)	Escalate to Integrated Risk Register – FARG to review quarterly to consider whether further assurance is required	Escalate to Integrated Risk Register – FARG to ensure a detailed review is undertaken at Executive level