

OFFICIAL Plymouth City Council / New Devon CCG Integrated Risk Register

REF	DESCRIPTION OF RISK (Risk description should include cause/risk event/consequence)	LINK TO CORPORATE / SHARED OBJECTIVES	CONTROLS	Jun-17			Aug-17			ACTION PLAN / FUTURE MITIGATION / OPPORTUNITIES TO BE EXPLORED	HOW WILL PROGRESS BE MEASURED / ASSURANCE GIVEN	TARGET DATE (or review date if target)	RESPONSIBLE OFFICER / RISK OWNER	DIRECTOR / ASSISTANT DIRECTOR / EXECUTIVE
				PROBABILITY	IMPACT	RISK SCORE	PROBABILITY	IMPACT	RISK SCORE					
I	PCC SRR Updated Aug 17 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. Finance & Assurance Review Group; Integrated Health & Wellbeing Board; Joint Integrated Commissioning Risk Register; Internal Audit Reviews by DAP and Audit SW.	4	5	20	4	5	20	Quarter one update has been completed and presented to CMT. In July a full review was undertaken with a draft MTFS presented to CMT in August and Scrutiny in September 2017. This will roll forward the MTFS for 2016-19 to 2021-22. The position for 100% business rates retention is on hold until the government confirm their plans. Modelling has taken into account the impact of Business Rates revaluation and the impact of new business rates appeals rules. Council Tax base assumptions have been updated. Work with Arlingclose (our treasury management advisors) to fully understand the treasury management impact of Britain's exit from the European Union and other treasury management opportunities.	Development MTFS is a key priority for CMT. Raised awareness and ownership by SMT.  Savings plans are being reviewed and alternative plans being developed and considered.  Protect PCC's funding entitlements and maximise the position under existing and any further proposals for business rates retention.  Develop countermeasures and alternative investments.	Ongoing  Ongoing  Ongoing	Paul Looby	Andrew Hardingham
1.1	NEW Devon CCG 371 Updated Aug 17 Overall corporate risk of achieving control total - CCG share of System control total at £78.5m is £61.1m higher than the control total set by NHSE at £17.4m.  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	(1) Detailed 17/18 CCG internal planning process to ensure robust assessment of expenditure requirements (2) joined up system ways of working with a system wide savings plan (3) intention to agree block contracts with the main acute and mental health providers to bring certainty to in year expenditure	4	4	16	4	4	16	(1) Detailed 17/18 CCG internal planning process to ensure robust assessment of expenditure requirements (2) joined up system ways of working with a system wide savings plan (3) intention to agree block contracts with the main acute and mental health providers to bring certainty to in year expenditure	System leaders sighted on issue and are collectively responding to challenge that avoids any surprises.	Mar 18 (qtrly reviews)	Kevin Wheller	Hugh Groves
1.2	NEW Devon CCG 317 Updated Aug 17 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	The CCG continues to engage with the STP and lead the system wide financial planning process to ensure that adequate plans are in place to deliver the level of system change required to achieve financial sustainability by 2020. Progress will continue to be monitored against plan so the improvement trajectory is clearly understood and actions taken as necessary to ensure delivery	4	4	16	3	4	12	STP Plan in place and due for refresh during 2017/18. System signed MOU in place confirming commitment to system ways of working and STP. Consolidated and aligned system wide operational plans in place for 2017/18 and continued negotiations on going with regulators regarding approval.		Quarterly reviews	Hugh Groves	Hugh Groves
2	PCC Op and SRR Updated Aug 17 Being unable to deliver Council services within the envelope of the resources provided in 2017/18 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. Improved Member engagement in Budget process and earlier in MTFP setting process by having regular Member briefings. Budget presented to senior officers and members in scoreboard format, delivering greater transparency and challenge. 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	Quarter one budget monitor has identified a challenging in year position. CMT reviewing in detail all budgets with action plans required in August to address in year pressures	Better return on the investment portfolio. Identification of departmental action plans. Improved efficiency and reduced costs.  Increase in successful grant bids.  Reduced contract costs from procurement review.  Improved efficiency and reduced costs.	Ongoing  Qtrly MTFS updates  Qtrly reviews  Qtrly reviews  Ongoing	Paul Looby / Helen Cocks	Andrew Hardingham / Dawn Aunger

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3	PCC Op Updated June 17	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	4	4	16	Annual PSAB Action Plan to be updated	Performance Reporting (Quarterly) at PSAB	Quarterly	Craig McArdle / Gary Walbridge	Carole Burgoyne
3.1	New Devon CCG 46 Updated Aug 17	The CCG is at risk in respect to either the overpayment or inappropriate funding of Continuing Health Care patients. Both those who should have been assessed as no longer requiring support and in respect to the potential unmet financial needs of those whose condition has worsened and therefore require an increased financial package to support them appropriately. This funding risk will also include legacy and retrospective payment issues.  Risk Category: LEGAL, COMPLIANCE & SAFEGUARDING	I- Be financially sustainable	KPI's agreed with providers. Trajectories and development plans to achieve full compliance will be delivered by Oct 2017. Care track database will be used to monitor and track performance in line with national standards of CHC. Data cleansing is being completed as a priority to ensure data accuracy. However there are on-going decisions with the organisation to agree alternative plans to the backlog Monitored through the CHC CC and data book. Training workshop being held to review and target training to reduce no of checklists especially timing of completion. Linking to urgent care agenda to understand process and delays and timings of assessments.	4	4	16	4	4	16		Third phase of outsourcing in May 17 has been actioned. It is intended that the backlog of assessments and reviews will be cleared in by Oct 2017. Delivery of the Quality Premium is seen as a priority for 2017/18-but unlikely to deliver because of the challenges outlined above. To aim to 200 assessments per month	Ongoing	Lorna Collingwood-Burke	Lorna Collingwood-Burke
4	PCC Op Updated June 17	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	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	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
5	PCC Strategic Updated Aug 17	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 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	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 / Rob Nelder	Ruth Harrell

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6	PCC Op Updated June 17	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	Service redesign implemented including invest to save case for increase in number of Social Workers. This should result in embedding Plymouth best practice standards to see sustained reduction in numbers of children in care and subject to a Child Protection Plan	4	4	16	4	4	16	Improvement Plan and priorities are informed by self assessment	Delivery Performance		Alison Botham	Carole Burgoyne
7	PCC Strategic and NEW Devon CCG (operational risk) Updated Aug 17	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	4	4	16	The review of the implementation of the CYPFs transformation has now begun and will report in October 2017.  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	Tracey Green / Siobhan Wallace	Alison Botham / Judith Harwood
8	PCC SRR Updated Aug 17	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	4	4	16	4	4	16	Officers working group across depts to measure impact, consider response and coordinate actions. Review and re-commission advice services. Regular review of local Council Tax Support Scheme. 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. Customer satisfaction rates. Economic Performance Monitoring arrangements. Monitoring progress of the child Poverty Action Plan Outcomes	Ongoing Oct 17 Ongoing Annually Annually	Darin Halifax Rachel Silcock Emma Rose David Draffan Judith Harwood	Giles Perritt
9	PCC Op Updated June 17	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	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
10	PCC Op Updated June 17	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	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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11	PCC Op Updated June 17	Failure to maintain appropriate Children's Social Care caseloads Risk Category: LEGAL, COMPLIANCE & SAFEGUARDING	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 Standard - Deliver safe, effective, caring, responsive and well led services across the whole of the system	Overall we have seen a reduction in caseloads that we expect to be maintained. However, in one service area - PRAS we have now identified a number of issues in relation to the approach and detail of how changes were implemented that has resulted in an increase in caseloads. Detailed review work has been undertaken and a plan is now in place to ensure reduction in caseload in PRAS.	3	4	12	4	4	16	Overall invest to save case and post transformation implementation continues to see impact. A specific action plan has been agreed for PRAS with evaluation at the end of Q1 to inform any further necessary action	Delivery performance	Ongoing	Alison Botham	Carole Burgoyne
12	NEW Devon CCG Risk 328 Updated Aug 17	There is a risk that the CCG will fail to meet its requirements to have its assurance status restored due to non-delivery of one or more of the NHS England components, which will impact on the CCG's reputation and public confidence. Components include: Domain 1 - Better Health Domain 2 - Better Care Domain 3 - Sustainability Domain 4 - Leadership Risk Category: LEGAL, COMPLIANCE & SAFEGUARDING	5 - Deliver measurable results - CCG Assurance Status Restored	Action plans are monitored, maintained and updated quarterly (as a minimum) and performance against assurance requirements are presented to Governing Body no less than quarterly.	New			3	4	12	We have regular quarterly meetings in place with NHS England.	Assurances are provided to Governing Body through regular reports following NHS England updates. Recent report states that the CCG is improving - directions aim to be lifted by June 2018 as anticipation that CCG will achieve compliance before this date.	30/06/2018	Clare Doble	Annette Benny
13	PCC SRR and NEW Devon CCG Updated Aug 17	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	4	3	12	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. Standardised breach management processes distributed to key staff.	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

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	