

**Subject:** Risk Management Monitoring Report

**Committee:** Audit Committee

**Date:** 27<sup>th</sup> March 2006

**Cabinet Member:** Leader – Cllr T.Evans

**CMT Member:** Director of Corporate Resources

**Author:** Mike Hocking, Risk and Insurance Manager

**Contact:** [mike.hocking@plymouth.gov.uk](mailto:mike.hocking@plymouth.gov.uk)  
Tel : 01752 - 304967

**Ref:** RIM/MJH

**Part:** I

---

**Executive Summary:**

This report provides an update on progress with the implementation of the Council's risk management strategy and, in particular, provides information on the results of the latest formal monitoring of Strategic and Operational Risk Registers.

An update is also provided on the work being carried out to embed risk management processes into the Council's performance management and service planning processes.

Information is also provided on the results of a recent risk management benchmarking survey of unitary authorities.

---

**Corporate Plan 2006-2009:**

The Strategic Risk Register includes a box entitled "Links to Corporate Plan" which ensures that appropriate links are identified with individual risks where control action contributes to the delivery of a key corporate objective.

---

**Implications for Medium Term Financial Plan and Resource Implications:  
Including finance, human, IT and land:**

None arising specifically from this report but control measures identified in risk registers could have financial or resource implications.

---

**Other Implications: e.g. Section 17 Community Safety, Health and Safety, Risk Management etc.**

None arising specifically from this report but community safety and health and safety risks are taken into account in the preparation of risk registers.

---

**Recommendations & Reasons for recommended action:**

The Audit Committee is recommended to :

- Note the results of monitoring of Strategic and Operational Risk Registers and the progress made with the development of the risk management programme.
  - Note the revised Strategic Risk Register
  - Note the requirement to produce a Statement on Internal Control as part of the 2005/06 Annual Accounts
- 

**Alternative options considered and reasons for recommended action:**

Effective risk management processes are an essential element of internal control and as such are an important element of good corporate governance. For this reason alternative options are not applicable.

---

**Background papers:**

Plymouth City Council Risk Management Strategy and Policy Statement  
Operational Risk Registers and associated working papers  
Previous reports on risk management to Audit Committee  
South West Unitaries Risk Management Group benchmarking survey

---

**Sign off:**

Head of Fin		Head of Leg		Head of HR		Head of AM		Head of IT		Head of Strat Proc	
Originating CMF Member											

**Report of Director of Corporate Resources to Audit Committee  
27<sup>th</sup> March 2006**

**Progress Report on Monitoring of Strategic and Operational Risk  
Registers**

**1. Introduction**

- 1.1 At the Audit Committee meeting of 4<sup>th</sup> April 2005 I reported on the progress with development of the Council's risk management strategy and Members were presented with the results of the second formal monitoring exercise carried out on the Strategic Risk Register.
- 1.2 I also reported on the first monitoring exercise of departmental operational risk registers.
- 1.3 This report now provides a further update, details the results of the latest monitoring exercise for both the Strategic Risk Register and departmental Operational Risk Registers.
- 1.4 An update is also provided on the work being carried out to embed risk management processes into the Council's performance management and service planning processes.
- 1.5 Information is also provided on a recent risk management benchmarking survey of unitary authorities.

**2. Strategic Risk Register**

- 2.1 The Council's first Strategic Risk Register was produced in November 2002 and went through nine revisions during 2003/4 culminating in the first monitoring report being presented to Portfolio holders in December 2003 and to Audit Committee in March 2004.
- 2.2 At a CMT away-day in June 2004 Directors identified their top departmental strategic risks and these were discussed further at CMT on 27<sup>th</sup> July when it was agreed to incorporate 14 new strategic risks into the Register.
- 2.3 CMT then carried out the second formal monitoring exercise in September/October 2004, the results of which were discussed with Portfolio holders on 25<sup>th</sup> January 2005 and reported to this Committee on 4<sup>th</sup> April 2005.

- 2.4** In accordance with the strategy requirement for six-monthly monitoring, the latest monitoring exercise was completed in September and October 2005 with the results discussed and agreed by CMT on 21<sup>st</sup> February 2006 and Cabinet Planning on 7<sup>th</sup> March 2006.
- 2.5** Attached to this report at Appendix A is a “traffic-light” summary showing the current status of each risk and any movement in risk scores over previous monitoring periods together with explanatory commentary.
- 2.6** Also attached for information at Appendix B is a copy of the complete Register, amended to take account of the latest changes agreed.
- 2.7** It should be noted that the current score for each risk shown on the traffic light summary equates to the “Residual Risk Rating”, shown on the right hand side of the relevant entry in the full Register, which is the “nett” score after taking into account the effect of control action.
- 2.8** Of the 33 key risks, seven are now recommended for removal from the Register as a result of successful control action leaving 26 “live” strategic risks.
- 2.9** Of these 26 risks, the number of “red” risks has reduced from eight to six, “amber” risks are down from fourteen to eleven and the remaining “green” risks total nine.
- 2.10** Two risks have deteriorated – Risk 38, Local Development Framework, has been increased from 8 to 16 (under-scored originally) and Risk 31, Replacement HR/Payroll System, has been increased from 12 to 15 because of slippage in the live date.
- 2.11** Improvements in controls indicate (by a downward arrow in the summary) that nine risks are reducing with five actually dropping into the green, low priority, zone to reflect that they have been managed down to acceptable levels.
- 2.12** The six red, high priority, risks remain a concern but, because of the nature of these risks, control action is necessarily in the longer term which is reflected by the unchanged risk scores.

### **3. Operational Risk Management**

- 3.1** Monitoring of a total of eleven Operational Registers covering all Services has been co-ordinated through the Operational Risk

Management Group and carried out by departmental risk champions.

- 3.2** Feedback from risk champions continues to be very positive in terms of the commitment from managers to engage in the development of the risk management processes now in place.
- 3.4** As part of refining their approach, and as managers have become more familiar with the process, all departments have taken the opportunity to revise their registers in order to eliminate areas of overlap and re-prioritise areas of concern and this has resulted in a reduction in the total number of risks from 274 in April 2005 to 210 currently.
- 3.5** This figure excludes Housing and Human Resources – because of significant changes in these services due to re-structuring their risk registers are currently undergoing complete revision and will therefore be included in the next monitoring report.
- 3.6** Attached at Appendix C is a traffic-light summary showing the latest position for all operational risks across all services and the movement in risk scores since the Registers were first produced in June 2004.
- 3.7** The number of red, high priority, risks has reduced from 39 to 10. Similarly, amber, medium priority, risks are down from 81 to 67 and green, low priority, risks are down from 154 to 133.
- 3.8** Of the total of 210 risks, 76 (36%) show a positive direction of travel, 90 (36%) are unchanged, 3 (1.5%) have deteriorated and the remaining 41 (19.5%) represent new risks identified which have yet to be formally monitored.
- 3.9** In order to promote consideration of risk as a part of routine day to day management departments are encouraged to include risk management as a monthly item on the agenda of senior management team meetings.
- 3.10** In addition risk champions are responsible for cascading the risk identification and monitoring processes down through management lines in order to increase awareness levels amongst staff.
- 3.11** The positive outcome of this latest monitoring exercise reflects the efforts made in departments to implement control measures and is tangible evidence of an improving risk profile for the Council.

#### **4. Performance Management and Risk Management**

- 4.1 The risk management module of the Council's corporate performance management system (QPR) has been "live" since August 2005 and departmental risk champions have now received training to enable them to record, monitor and update risk registers on line.
- 4.2 Further development work continues to build links with the Corporate Plan, Service Plans (see also 5 below) and statutory and local performance indicators.
- 4.3 When complete this will facilitate a truly embedded risk management process which will make it possible for managers to view any risk on-line, its current status and lead officer, and, via a series of flags, identify where it may impact on key corporate or service objectives.
- 4.4 Similarly, problems will be able to be flagged where a risk threatens the achievement of a key performance indicator.

#### **5. Service Planning and Risk Management**

- 5.1 The Risk and Insurance Manager is a member of the project team responsible for the development of new service planning processes for the Council and is tasked with ensuring that risk management considerations are embedded in the process.
- 5.2 In drawing up their Service Plans all departments need to ensure that they have risk identification processes in place which enable them to manage those risks which threaten the delivery of their key service objectives.
- 5.3 Risk assessment, monitoring and management guidance has already been included in the initial managers briefings for Phase 1 and 2 of the new service planning process and a specific risk-based assessment tool has been designed to aid consideration of the stand-still budget savings options.
- 5.4 These processes will be refined and further developed to produce a consistent approach across departments, linked closely with the ongoing development work on the corporate performance management system.

#### **6. Risk Management and the CPA**

- 6.1 The evaluation of the effectiveness of risk management arrangements has changed and is now assessed as part of the

Internal Control elements of the “Key Lines of Enquiry for Use of Resources” and judged on the basis of how well the Council’s internal control environment enables it to manage its significant business risks.

- 6.2 The auditors assessment has scored performance at Level Two (out of four).
- 6.3 To improve performance to Level 4 further work is required to demonstrate that risk management processes are fully embedded in the areas of strategic planning, financial planning and policy making.

## **7. Benchmarking Risk Management**

- 7.1 The Council is a member of the South West Unitaries Risk Management Group which comprises the unitary authorities of Plymouth, Bristol, South Gloucestershire, North Somerset, Poole, Torbay, Bath and North East Somerset and the Isle of Wight.
- 7.2 This group recently conducted a risk management survey of all members in conjunction with the Core Cities Group of Sheffield, Leeds, Birmingham and Nottingham.
- 7.3 The questionnaire was modelled on the CIPFA good practice lists and the CPA Key Lines of Enquiry and was designed to evaluate and compare the extent to which good practice recommended by the Audit Commission and CIPFA has been adopted by each authority.
- 7.4 The results of the survey indicate that Plymouth has the highest score of the twelve participating authorities.
- 7.5 Although there is inevitably a measure of subjectivity in a survey of this nature the high score achieved by the Council does reflect the excellent progress made to date.

## **8. Statement on Internal Control and Risk Management**

- 8.1 Members will be aware that the Council is now required to publish a Statement on Internal Control as part of its annual Statement of Accounts.
- 8.2 This Statement includes :
  - A description of the key elements of the current control environment (including risk management arrangements)

- A review of the effectiveness of the control environment and identification of action plans to address key risks
- A summary of any significant internal control issues

**8.3** In the first two years that this Statement has been required the Audit Commission has granted a degree of flexibility on the timing for its completion.

**8.4** This year, however, the Council must ensure that the Statement is produced in the same time-frame as the draft Annual Accounts for 2005/06 which will be discussed by this Committee on 26<sup>th</sup> June 2006.

**8.5** In order to meet this time frame the Statement will therefore need to be completed by 31<sup>st</sup> May 2006 at the latest.

## **9. Next Steps**

**9.1** The next formal monitoring exercise of both the Strategic and Operational Risk Registers is scheduled to take place in April 2006 following which a further progress report will be presented to this Committee as an Annual Report for 2005/6.

**9.2** Preparation for the production of the 2005/06 Statement on Internal Control is under way and input will be required from all Directors and Heads of Service in order to produce the Statement within the time-frame required for production of the Annual Accounts.

## **10. Conclusions**

**10.1** The positive action taken across the Council in identifying and managing risk at both strategic and operational levels is encouraging and the pro-active engagement of Members, Directors, Heads of Service and other key staff is good evidence of the Council embracing risk management as part of its overall governance arrangements.

**10.2** The Council now has well-developed and proven risk management processes in place which are being integrated into both service planning and performance management leading to improved and better informed decision making.

**10.3** This excellent progress is reflected in the results of the South West Unitaries Group benchmarking survey which scores Plymouth top out of twelve participating unitary authorities.



## **11. Recommendations**

The Audit Committee is invited to :

- 11.1** Note the results of monitoring of Strategic and Operational Risk Registers and the progress made with the development of risk management processes.
- 11.2** Note the revised Strategic Risk Register.
- 11.3** Note the requirement to produce the Statement on Internal Control as part of the 2005/06 Annual Accounts.

**Adam Broome**

**Director of Corporate Resources**



## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE - Summary by Risk Rating

RISK REF	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			CHANGE IN RISK SCORE	COMMENTS	LEAD OFFICER
		Nov 03			March 05			October 05					
		*P	*I		*P	*I		*P	*I				
21	MTFP issues.	New			4	5	20	4	5	20	—	Budget stability still a major concern. New capital prioritisation process in place and risk-based evaluation of stand-still budget options incorporated in 06/07 service planning process.	Adam Broome
08	Business continuity planning.	4	5	20	4	5	20	4	5	20	—	Prince Rock Depot Plan in place and successfully tested. CMT have approved work to commence on Civic Centre Plan with a template to be created for other locations - score expected to reduce as work progresses.	Nigel Pitt
19	Waste treatment & disposal.	New			4	5	20	4	5	20	—	High level project board established, interim solution contract being evaluated following tender. Planning applications submitted for waste transfer station & major site review carried out to identify potential waste management sites. Tenders invited for waste contract. Risk must remain "red" however until more certainty over final outcome.	Nigel Pitt
23	Pay & Reward Strategy (Job evaluation, equal pay, workforce capacity, recruitment & retention).	New			5	4	20	5	4	20	—	No change in score due to continuing size and complexity of risk, eg job evaluation and single status implications.	Gill Martin
26	Service to children at risk as assessed by Social Services inspectorate.	5	5	25	4	5	20	4	5	20	—	Still developing controls and plans associated with Child Concern Model, Climbie Action Plan, Local Safeguarding Children's Board and Area Child Protection Committee which will be revisited in the light of publication of the S.S.I. Children & Families inspection report.	Bronwen Lacey
07	Financial & liability implications of Partnerships & Outside Bodies.	4	5	20	4	5	20	4	5	20	—	Scrutiny Commission has commenced work on an audit, starting with a review of charities - corporate partnership guidelines and member/officer training to follow. Partnership risks being included in operational risk registers. LSP developing its own risk register. New statutory powers to indemnify officers and members and insurance cover in place.	Adam Broome / David Shepperd
36	Management of Employee Stress	New			3	5	15	3	5	15	—	New EHR system will improve ability of managers to identify work-related stress but days lost still unacceptably high however.	Gill Martin
24	Violence to staff/lone working.	New			4	5	20	3	5	15	↘	Review of Violence & Aggression Policy completed and project proposals for introduction of corporate PVP system due to be considered by CMT	Gill Martin
13	Asbestos management arrangements.	New			3	5	15	3	5	15	—	New management framework agreed but still to be implemented and training and awareness sessions to be rolled out to CMF & Team Plymouth - risk score expected to reduce by next review.	Adam Broome / Nalin Seneviratne
28	Looked after children service.	New			3	5	15	3	5	15	—	Placement Panel established with Working Group set up to develop and implement placement strategy but still developing controls which will be revisited in the light of publication of the S.S.I. Children & Families inspection report.	Bronwen Lacey
34	Schools PFI.	New			3	5	15	3	5	15	—	Score unchanged - number of variables potentially impacting.	Bronwen Lacey
35	Housing stock transfer options.	New			3	5	15	3	5	15	—	Stock options steering group meet monthly. Stock options appraisal signed off by GOSW in Aug 2005. Phase 2 in progress. Maintain score 15 for now.	Clive Turner
31	Replacement of HR / Payroll System.	New			3	4	12	3	5	15	↗	Score deteriorated - live date slipped from November 2005 to April 2006.	Adam Broome / Gill Martin
30	Overall IT strategy/resources/current systems.	New			3	5	15	3	5	15	↘	Technology Project Board approved. Introduction of Business Case.	Neville Cannon
15	Information management.	4	4	16	4	4	16	3	4	12	↘	Corporate Information Manager appointed. CMT have approved Corporate Information Strategy. Security Officer to be appointed.	Neville Cannon
32	Benefits / Council Tax System.	New			3	4	12	3	4	12	↘	External Project Manager appointed. Project Board meets monthly. Software supplier selected. Project Risk Register in place. On schedule for June 06 implementation. Score unchanged to reflect need for close monitoring but positive direction of travel to acknowledge good progress to date.	Adam Broome
33	Schools re-organisation.	New			3	4	12	3	4	12	—	Needs to remain as a potential risk but speed of change not as great as anticipated, eg PCC inclusion in "Building Schools for the Future" not anticipated before 2015 and commencement date of "Ideas for Change" now extended to 2008.	Bronwen Lacey
14	Fraud	2	5	10	2	5	10	2	5	10	—	Good internal controls in place but remains a potential risk.	Adam Broome
25	Management of independent sector residential market.	4	4	16	4	4	16	3	3	9	↘	Fee levels increased significantly in Sept 04 and no current evidence that the market is likely to collapse.	Clive Turner
10	Civil Emergencies.	3	3	9	3	3	9	3	3	9	—	Emergency procedures in place and regularly tested. Corporate Emergency Response Plan now re-drafted and approved by CMT and Cabinet.	Nigel Pitt
22	Absence management.	4	3	12	3	3	9	3	3	9	—	Days lost to sickness still reducing and below target	Gill Martin

RISK REF	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			CHANGE IN RISK SCORE	COMMENTS	LEAD OFFICER
		Nov 03			March 05			October 05					
		*P	*I		*P	*I		*P	*I				
01	Internal communication.	4	3	12	4	3	12	4	2	8	↓	Service Plans & Communications Strategy contain actions that are monitored & CMT have made communications a "Workstreams" item which has enabled a reduction in score .	Richard Longford
06	Procurement practice.	3	5	15	3	4	12	2	4	8	↓	Major improvements to corporate procurement practice now in place which have significantly improved this risk.	John Cremins
37	Compliance with the ODPM's targets set for E-Government implementation by December 2005	New			4	5	20	2	3	6	↓	On track for full compliance.	Neville Cannon
16	Decision making process.	2	3	6	2	3	6	2	3	6	→	New Fin Regs, Standing Orders and Scheme of Delegation operational.	David Shepperd
38	Local Development Framework	New			2	4	8	1	4	4	↓	Planning & Regeneration restructure has released additional staff resource to support delivery.	Nigel Pitt / Jonathan Bell

\* P = Probability Rating (1 = Low, 5 = High)  
 \* I = Impact Rating (1 = Low, 5 = High)  
 Maximum Score 5 x 5 = 25

**Red** = Must be managed down urgently (Score 20 – 25)  
**Amber** = Seek to influence medium term/monitor (Score 12 – 16)  
**Green** = Tolerate and monitor (Score under 12)

NB. Risks scored 12 or above will be the subject of priority monitoring

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
01	Internal Communication	Lack of understanding of objectives, targets and priorities	5	4	20	Corporate Communications Manager, Richard Longford	Internal Comms. Task & Finish Group Staff Newsletter. Team Briefings. Team Plymouth Management Conferences. Corporate Management Forum. Staff Room page on Intranet Chief Exec & Leader bulletins	4	2	8	
Links to Corporate Plan:  Vision 6: Transforming the Council into a modern organisation fit for the new challenges ahead							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
06	Procurement Practice	<p>Failure of Partner/Contractor</p> <ul style="list-style-type: none"> <li>• Financial</li> <li>• Performance</li> <li>• Compliance</li> </ul> <p>Schemes not delivered on time or over budget. Damage to reputation. Failure of PFI contracts.</p>	3	5	15	Head of Strategic Procurement – John Cremins	<p>Best Value Review – procurement. Revised Procurement Strategy. Financial Regulations / Standing Orders. Appointment of Head of Strategic Procurement.</p>	2	4	8	
<p>Links to Corporate Plan:</p> <p>Objective 6b : Ensure the most cost effective procurement of goods and services Objective 6c : Deliver the highest standards of financial management</p>							<p>Link to Service Plan Objectives:</p>				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	

**PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE**

<b>Risk Ref</b>	<b>Risk Title/Description</b>	<b>Consequence</b>	<b>Probability (5=high, 1=low)</b>	<b>Severity (5=high, 1=low)</b>	<b>Raw Risk Rating</b>	<b>Lead Member and Officer</b>	<b>Existing Control Procedures</b>	<b>Probability (5=high, 1=low)</b>	<b>Severity (5=high, 1=low)</b>	<b>Residual Risk Rating</b>
<b>07</b>	<b>Financial &amp; liability implications of Partnerships &amp; Outside Bodies</b>	<p><b>Failure to meet corporate, service &amp; manifesto objectives.</b></p> <p><b>Inadequate SLA's and potentially poor performance, service failure &amp; reputational damage.</b></p> <p><b>Inadequate contract conditions/ dispute resolution procedures.</b></p> <p><b>Increased potential for litigation &amp; ultra vires action.</b></p> <p><b>Failure of partnership arrangement.</b></p> <p><b>Conflict with existing in-house services, service provision &amp; existing partnerships.</b></p> <p><b>Financial over-commitment by the Council (as Accountable Body or major funder) and potential for clawback of Government funding.</b></p> <p><b>Failure of Council strategy &amp; political manifesto.</b></p> <p><b>Damage to reputation</b></p>	<b>5</b>	<b>5</b>	<b>25</b>	<p><b>Chief Executive, Barry Keel, Director of Corporate Resources, Adam Broome &amp; Head of Legal Services, David Shepperd</b></p>	<p><b>Risk assessments.</b></p> <p><b>Member training.</b></p> <p><b>Advice from private sector advisors/consultants.</b></p> <p><b>Performance monitoring.</b></p> <p><b>Standing Orders.</b></p> <p><b>Financial Regulations.</b></p> <p><b>Internal/External Audit.</b></p> <p><b>External Agencies controls.</b></p> <p><b>Members &amp; Officers Contingent Liability Insurance.</b></p> <p><b>LSP Risk Register.</b></p>	<b>4</b>	<b>5</b>	<b>20</b>

Links to Corporate Plan:  <b>Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead</b>		Link to Service Plan Objectives:			
Risk Ref	Options for additional/replacement control procedures	Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	<b>Adoption of Corporate Partnership Guidelines Complete audit of Outside Bodies &amp; Partnerships (via Overview &amp; Scrutiny Panel) Repeat Member Training on roles &amp; responsibilities after May 06 elections. Guidelines for Members &amp; Officers (Cost within existing resources).</b>	<b>Costs are yet to be identified &amp; a register would require a resource to set up &amp; maintain.</b>	<b>3</b>	<b>5</b>	<b>15</b>



**PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE**

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
08	<b>Business continuity planning.</b>	<b>In event of denial of access to key premises, major disruption to service. Financial impact – increased cost of working. Damage to reputation.</b>	5	5	25	<b>Director of Development, Nigel Pitt &amp; Civil Protection Manager, David Fletcher</b>	<b>Mainframe software &amp; data backed up &amp; stored off-site. Civic Centre Disaster Recovery Plan in draft. Prince Rock Disaster Recovery Plan in place.</b>	4	5	20	
<b>Links to Corporate Plan:</b>  <b>Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead</b> <b>Objective 6d : Make the best use of land and buildings to improve service delivery</b>							<b>Link to Service Plan Objectives:</b>				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	<b>Draft Civic Centre Plan to be updated, adopted by CMT and tested</b> <b>Template to be adopted at other locations (eg Windsor House)</b> <b>Prince Rock Plan to be tested.</b> <b>Business continuity plans to be stored off-site.</b> <b>Plans to be communicated to all managers.</b> <b>New statutory duties being imposed by Civil Contingencies Bill</b> <b>Business Continuity Planning Officer.</b>						<b>Implementing draft Civic Plan should be contained within existing resources but new statutory duties will require additional staffing (Business Continuity professional – dependent on possible increased Government funding for Emergency Planning.)</b>	3	3	9	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
10	Civil Emergencies.	Incidents such as flooding, storms, fire in nightclub, terrorist attack/nuclear fall-out.	3	5	15	Director of Development, Nigel Pitt & Civil Protection Manager, David Fletcher	Emergency Planning Unit. Suspicious packages advice. Staff awareness training.	3	3	9	
Links to Corporate Plan:							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	<b>Emergency Rest Centre Plan.</b> <b>REPPIR 2001 (Radiation Emergency Preparedness &amp; Public Information Requirements)</b> <b>PCC has now assumed responsibility for DevPubSafe Off-site plan and completed successful exercise (Short Sermon).</b> <b>Guidance from Civic Contingencies Unit.</b> <b>Civil Contingencies Act now in force. Extra funding being sought in 05/06 budget.</b>						<b>Not yet known.</b> <b>Recoverable through MOD</b>				

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
13	<b>Asbestos Incident.</b>	<b>Prosecution under asbestos legislation – HSE. Direct action via public or other organisations. Failure in duty of care to employees. Damage to reputation.</b>	<b>5</b>	<b>5</b>	<b>25</b>	<b>Director of Corporate Resources, Adam Broome &amp; Head of Asset Management, Nalin Seneviratne</b>	<b>Officer expertise. New Policy written &amp; presented to Corporate Health &amp; Safety Committee/CMT – and now being implemented. Commencement of Type 2 asbestos survey programme.</b>	<b>3</b>	<b>5</b>	<b>15</b>
<b>Links to Corporate Plan:</b>  <b>Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead</b> <b>Objective 6d : Make the best use of land and buildings to improve service delivery</b>							<b>Link to Service Plan Objectives:</b> <b>Statement for Asset Management in place.</b>			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	<b>Duty Holders to be identified as a matter of priority. Training to be implemented and awareness sessions rolled out to CMF Team Plymouth. Schedule of existing survey information to be included &amp; published.</b>						<b>Reallocation of existing possible.</b>	<b>2</b>	<b>5</b>	<b>10</b>

**PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE**

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
14	<b>Fraud</b>	<b>Misappropriation of Council Resources. (not always financial).</b>	<b>5</b>	<b>5</b>	<b>25</b>	<b>Director for Corporate Resources – Adam Broome &amp; Chief Auditor – Sue Watts</b>	<b>Financial Regulations. Standing Orders. Prosecution deterrent. Internal Checks/controls. Scheme of delegation. Internal Audit. External Auditors. Whistle-blowing Code. Fraud/Corruption Response Plan. National Fraud Initiative. Bank reconciliation. IT Firewall. IT security/passwords.</b>	<b>2</b>	<b>5</b>	<b>10</b>	
<b>Links to Corporate Plan:</b>							<b>Link to Service Plan Objectives:</b>				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
15	Information Management	Non-compliance with legislation (e.g. Data Protection, Freedom of Information etc). Inability to provide core services. Loss of reputation. Impact on service delivery. Breakdown of communication. Delays/failure to update information records.	4	4	16	Head of ICT, Neville Cannon	Rights in Data Special Interest Group (RIDSIG). Corporate Information Management Strategy approved by CMT. Information Management Project initiated by Neville Cannon Information Strategy being drafted.	3	4	12	
Links to Corporate Plan:  Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	Information security strategy under development in line with BS7799 Dedicated departmental resource needs to be identified to undertake cataloguing and processing of requests (FOI) Information Management Strategy awareness and training for staff								4	12	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
16	<b>Decision making process</b>	<b>Financial cost. Judicial reviews/Legal challenges. Demands on legal and service department time. Loss of reputation.</b>	<b>4</b>	<b>3</b>	<b>12</b>	<b>Head of Legal Services – David Shepperd &amp; appropriate Head of Service</b>	<b>Complaints procedures. Ombudsman. Legal process. Mediation. Council policy of open and honest response to complaints. Constitutional Rules &amp; Procedures in relation to decision making.</b>	<b>2</b>	<b>3</b>	<b>6</b>
<b>Links to Corporate Plan:</b>							<b>Link to Service Plan Objectives:</b>			
<b>Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead</b>										
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	<b>New Financial Regulations &amp; Contract Standing Orders to be adopted. New Delegation Scheme adopted. Portfolio Holders delegated powers clarified. Review Officer delegated decision making procedures.</b>									

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
19	Waste Treatment & Disposal	Substantial increased financial costs of waste disposal. Potential fines.	5	5	25	Director of Development, Nigel Pitt	Consultancy on future treatment & disposal options. Planning applications submitted for waste transfer station.	4	5	20	
Links to Corporate Plan:  Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead Objective 2c – Contribute to sustainable development through the delivery of Council services.							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	Long term project plan to be adopted. Extend life of Chelson Meadow. Contingency arrangements re: Problems re-licensing Chelson Meadow with Environment Agency. Second contract for 7-year landfill (extendable) with waste transfer station. National expert consultants employed. Project Team being established with Project Manager. Major review and developments for recycling to reduce waste arisings and avoid Landfill Allowance Trading Scheme – fine for year one.										

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
21	MTFP	Failure of Budget Forecasting/targeting of budget to service priorities. Budget variance. Failure to deliver corporate objectives. Ineffective service planning.	4	5	20	Director of Corporate Resources, Adam Broome	Budget monitoring process. Medium Term Financial Plan Project. Capital Strategy. Asset Management Plan. Capital & Procurement Board to meet monthly.	4	5	20	
Links to Corporate Plan:  Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead Objective 6c : Deliver the highest standards of financial management							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	Implementation of MTFP (being presented to Cabinet 01.11.05) Link to Strategic & Operational Risk Registers. 18 Priority Workstreams to be monitored by CMT.						Contained within existing budget. Unknown at this stage.	3	3	9	



PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
22	Absence management	Lack of productivity. Poor morale. Impact on service delivery. Financial cost.	4	3	12	Head of Human Resources, Gill Martin	Managing absence procedures. New Managing Attendance Policy. Monthly monitoring of absence levels. Training Strategy. Muscular-skeletal Project Plan Implementation of new HR IT System Intro. Of "Manager Self-Service" (access to absence stats.) Counselling service in place.	3	3	9	
Links to Corporate Plan:							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
23	<b>Pay &amp; Reward Strategy (Job evaluation, equal pay, workforce capacity, recruitment &amp; retention).</b>	<b>Impact on service delivery. Impact on achievement of corporate objectives. Failure to modernise. Ineffective use of human resources. Inappropriate deployment of staff - Surplus capacity in one area and shortage in others. Impairment of service delivery. Financial cost. Lack of workforce briefings. Failure to comply with legislation. Impact on service delivery. Loss of reputation. Increased stress/absence. Impacts on staff morale &amp; retention.</b>	<b>5</b>	<b>5</b>	<b>25</b>	<b>Head of Human Resources – Gill Martin</b>	<b>People Strategy &amp; Action Plan. Introduction of Competency Framework for Social Workers. Use of agency staff in some areas. Outsourcing of work and recruitment overseas in some cases. South West Peninsula Working Party developing proposals for recruitment &amp; retention of Social Workers. CMT Objectives. Experienced Manager Programme. HR Restructure to provide capacity for New People Strategy. Introduction of Corporate Appraisal System. Job Evaluation Scheme Equal Pay</b>	<b>5</b>	<b>4</b>	<b>20</b>

<b>Links to Corporate Plan:</b>  <b>Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead</b> <b>Objective 6e – To invest in the training and development of staff.</b>		<b>Link to Service Plan Objectives:</b>			
Risk Ref	Options for additional/replacement control procedures	Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
24	Violence to staff / lone working.	EL Claims. Injuries to staff. Higher absence levels.	5	5	25	Head of Human Resources, Gill Martin	Violence & Aggression policy. Revised H & S Policy to be implemented. H & S Project Plans. Risk Assessments. Corporate Health, Safety & Welfare Committee. Quarterly information exchange days with trade unions.	3	5	15	
Links to Corporate Plan:  Objective 5h – Help reduce crime through the community safety partnership. Objective 6g – Develop a robust & positive Health & Safety culture.							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	Violence & Aggression/PVP Policy to be implemented.  Risk Assessments being developed.						£80K approved by Technology Board for IT development but CMT approval required for staff resources to develop procedures and policy.				

**PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE**

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
25	<b>Management of independent sector residential market.</b>	<b>Residents become homeless Social &amp; Housing Services will have responsibility to re-locate. Hospital discharge delays will result in increased costs re: reimbursement to NHS.</b>	<b>4</b>	<b>4</b>	<b>16</b>	<b>Director of Community Services, Clive Turner</b>	<b>Monitoring of closures via Care Standards Commission. Regular meetings with representatives of Trade Associations. Regular review of contractual arrangements &amp; payment levels which must be linked to medium term Financial plan. Expansion of domiciliary care market. "Managing the Market" Group re-instated.</b>	<b>3</b>	<b>3</b>	<b>9</b>	
<b>Links to Corporate Plan:</b>							<b>Link to Service Plan Objectives:</b>				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	<b>Scrutiny looking at options for in-house homes. Negotiations being re-opened on Fair Charging.</b>										

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
26	Service to children at risk as assessed by Social Services Inspectorate.	Risk of harm to vulnerable children	5	5	25	Director of Children's Services, Bronwen Lacey	Performance Management. Action Plan (Social Services Inspectorate). Action Plan following Self Assessment (Victoria Climbié Inquiry). Improvement Board.	4	5	20	
Links to Corporate Plan:  Objective 5b : Improve services to vulnerable children and families.							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	Child Concern Model - Improved information exchange between agencies via ICT Climbié Action Plan – Improved multi-agency working. Local Safeguarding Children's Board. Child Protection Training.						All within existing resources.				

**PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE**

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
28	Looked after children service.	Inability to control placements. Budgetary overspend. Loss of reputation. Poor outcome for children.	3	5	15	Director of Children's Services, Bronwen Lacey	Reconfiguration of Foster Care Service to ensure adequate in-house placements. Placement Panel established. Placement Working Group established to develop & implement placement strategy.	3	5	15	
Links to Corporate Plan:  Objective 5b : Improve services to vulnerable children and families.							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
30	<b>Overall IT strategy/resources/ Current systems.</b>	<b>Disruption to Business Continuity. Failure of Key Systems. Failure to implement appropriate responses ie. Egovernment. Damage to reputation.</b>	5	5	25	Head of ICT, Neville Cannon	<b>Neville Cannon reviewing ICT Strategy. Procurement Board. Introduction of new hardware procurement arrangements. Business resilience a requirement of all IT projects. Upgrade of LAN/WAN improving comms &amp; replacement of older switch equipment. Completion of data migration to SAN will reduce risk of failure of servers. Senior appointments into new structure applying to better monitoring of service. PC replacement project will reduce risk of desktop failure. Implementation of ITIL standards &amp; availability &amp; capacity management.</b>	3	5	15	
<b>Links to Corporate Plan:</b>  <b>Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead</b>							<b>Link to Service Plan Objectives:</b>				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	



	<b>Establishment of Technology Board (Members and Officers). Introduction of Business Case Process (for new IT acquisitions).</b>				
--	---------------------------------------------------------------------------------------------------------------------------------------	--	--	--	--

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
31	Replacement of HR / Payroll System.	Not paying staff. Extra resources required for paper-chasing. Ineffective budget monitoring. Poor Management information. Financial implication of failure to integrate with financial systems.	4	4	16	Director of Corporate Resources, Adam Broome, & Head of Human Resources, Gill Martin	External Project Manager and Project Team. Project Board Prince 2 Project Management	3	5	15
Links to Corporate Plan:  Vision 6 : Transforming the Council into a modern organisation fit for the new challenges ahead Objective 6e : Invest in the training and development of staff.							Link to Service Plan Objectives:			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	Business process re-engineering project to be undertaken.  New system should dramatically improve the risks							2	3	6

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
32	Benefits / Council Tax System.	Incorrect Billing Benefits not paid Reputational damage	4	4	16	Director of Corporate Resources, Adam Broome	External Project Manager and Project Team appointed. Project Board. Prince 2 Project Management. Data Cleansing complete.	3	4	12
Links to Corporate Plan:							Link to Service Plan Objectives:			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	Business process re-engineering project to be undertaken.  New System.							2	3	6

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
33	Schools Re-organisation.	Increase in surplus places Ineffective use of budget Loss of confidence in service	5	4	20	Director of Children's Services, Bronwen Lacey	10 Year Plan "Ideas for Change". Strategy launched July 04. Schools Liaison Meetings. PFI Project. "Building Schools for the Future" project. DFES monitoring. CPAG in place.	3	4	12
Links to Corporate Plan:  Objective 3d : Improve the quality of school buildings and remove surplus places, including the development of "extended schools".							Link to Service Plan Objectives:			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	Building Schools for the Future – Plymouth's inclusion not anticipated before 2015.						Unknown at this stage.	3	3	9

PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
34	Schools PFI.	Financial costs Effect on quality of educational standards Loss of reputation	5	5	25	Director of Children's Services, Bronwen Lacey	Appointment of consultants PFI Board appointed DFES monitoring	3	5	15
<p><b>Links to Corporate Plan:</b></p> <p><b>Objective 3d : Improve the quality of school buildings and remove surplus places, including the development of "extended schools".</b></p>							<p><b>Link to Service Plan Objectives:</b></p>			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
35	Housing stock transfer options.	Damage to Reputation. ODPM/Government Office South West intervention.	5	5	25	Clive Turner, Director of Community Services	Stock Options. Steering Group (monthly) Regular liaison with ODPM / Government SW. Advice & support from experienced Housing Consultants. Widening housing choice. Independent tenant advisor appointed.	3	5	15	
Links to Corporate Plan:  Objective 5a : Enrich the quality of life for people by improving their neighbourhoods. Objective 5f : Improve the choices people have about their housing.							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	Phase 2 (Delivery) Project Plan to both identify actions to deliver the Council's "Mixed Options" and meet Government Decent Homes targets developed. Initial actions directed at submitting one neighbourhood to the Governments Transfer programme bidding round for potential transfer.						2005/6, 6/7 Stock Options Budget (HRA) identifying core costs and costs associated with potential transfers currently being agreed. Potential for some of the costs associated with transfers to be shared with RSL partners.				

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating	
36	Management of Employee Stress	Poor morale. Cost of absence. Impact on service levels. Potential compensation claims.	3	5	15	Head of Human Resources, Gill Martin	Absence management procedures Counselling service Stress Policy	3	5	15	
Links to Corporate Plan:  Objective 6e – Invest in the training and development of staff							Link to Service Plan Objectives:				
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating	
	Implementation of Health and Safety Executive Management Standards Further development of Stress Policy Training programme for all managers  New E H R System.						To be determined.  £385 identified for accreditation costs. Contained in project budget.	2	5	10	

## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
37	Compliance with ODPM's targets set for E-Government Implementation by December 2005.	Repayment of E-Government funding to Central Government	5	5	25	Head of ICT, Neville Cannon, Cllr P Hutchings – E-Government Champion	IEG statements produced and signed off by senior management and portfolio holders. Business Managers involved in process.	2	3	6
Links to Corporate Plan:  Objective 6f – To improve the accessibility and quality of Council services.							Link to Service Plan Objectives:			
Risk Ref	Options for additional/replacement control procedures						Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	Corporate Plan identifies implementation and requirements to comply with required/good targets. "People First" programme to link into E-Government agenda. Capital bid for investment being sought – to procure robust IT infrastructure to enable implementation. Review E-Gov programme governance – E Gov Champion membership							1	2	2



## PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER THREE

Risk Ref	Risk Title/Description	Consequence	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Raw Risk Rating	Lead Member and Officer	Existing Control Procedures	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
38	<b>Local Development Framework to agreed timetable as set out in the Local Development Scheme.</b>	<b>1. Failure to meet BVPI 200 &amp; 205 &amp; have in place strategic planning framework for the city.</b> <b>2. Failure to achieve ODPM Target PSA 6 leading to possible intervention.</b> <b>3. Failure to deliver Mackay Vision.</b> <b>4. Failure to deliver capital receipts programme to support Capital Programme.</b> <b>5. Reduction &amp; removal of Planning Delivery Grant.</b> <b>6. Likely knock on consequences for planning application performance &amp; failure to meet BVPI 109.</b>	4	4	16	<b>Jean Nelder, Portfolio Holder for Planning &amp; Regeneration., Director of Development, Nigel Pitt &amp; Jonathan Bell, Strategy Manager</b>	<b>Team meetings. Weekly meetings with Unit Manager. Bi-weekly meetings with Portfolio Holder &amp; Head of Service being scheduled. Planning and Development restructure now created additional staff resources</b>	1	4	4

<b>Links to Corporate Plan:</b>		<b>Link to Service Plan Objectives:</b>			
<b>Vision 1</b>					
Risk Ref	Options for additional/replacement control procedures	Cost/Resources	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Potential Residual Risk Rating
	<b>Re-allocate regional &amp; sub-regional work currently lead by Planning Policy Team. This relies on bringing forward Planning &amp; Regeneration restructure – Dec 05.</b>	<b>Depended on agreement of resources &amp; efficiencies to be agreed for the restructure.</b>	<b>1</b>	<b>4</b>	<b>4</b>

**AMENDMENTS TO PLYMOUTH CITY COUNCIL STRATEGIC RISK REGISTER**

<b>Amendment Date</b>	<b>Reason</b>	<b>Version Number</b>
25.1.05	Changes approved by CMT on 5.10.04	3
21.3.05	Amendments agreed by CMT/Portfolio holders on 22.03.05	4
02.9.05	Re-assignment of responsible officers following senior management restructure	5
09.11.05	Amendments following Autumn 05 monitoring exercise	Register 3 Version 1
07.03.06	Amendments agreed by CMT/Cabinet Planning	Register 3, Version 2

**PLYMOUTH CITY COUNCIL OPERATIONAL RISK REGISTER - COMPOSITE LIST**  
**Summary by Risk Rating**

RISK REF	SECTION	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			DIRECTION OF TRAVEL
			Jun 04			Nov 04			Nov 05			
			* P	* I		* P	* I		* P	* I		
02	Asset	Programme Maintenance (Corporate).	5	5	25	5	5	25	4	5	20	→
01	Asset	Asbestos management arrangements (Corporate).	4	5	20	4	5	20	4	5	20	→
07 CM3	Dev	Potential for failure to meet PI targets on recycling/composting.	5	5	25	5	4	20	5	4	20	—
27	Dev	What will happen to the City's Waste with the closure of Chelson Meadow?				New			4	5	20	→
65	Dev	Maintenance of Street Lighting.	5	5	25	4	5	20	4	5	20	—
ORG1	L/L	Non-reporting of racial incidents.	5	4	20	5	4	20	5	4	20	—
CLL1	L/L	Failure to identify a new building for the Record Office.	4	5	20	4	5	20	4	5	20	—
PASS1	L/L	Risk of linked files failure in storage area network, as a result of SAN transfer.				New			4	5	20	→
02	Rev	Systems failure, replacement, operation, development.	4	5	20	4	5	20	4	5	20	—
02	Rev	Budget Pressures				New			4	5	20	→
20	C/Exec	Failure of IT systems within Democratic Support.	5	5	25	4	5	20	4	4	16	→
12	C/Exec	Failure to develop office/environment - Registration Office.	5	4	20	5	4	20	4	4	16	→
15	C/Exec	Staff shortage.	4	4	16	4	4	16	4	4	16	—
17	C/Exec	Lack of manual handling training (carrying equipment & supplies to off-site meetings).	4	4	16	4	4	16	4	4	16	—
02 1	Dev	Capacity to deliver priorities, including local development framework, transport strategy & urban renaissance/design strategies.	5	5	25	5	5	25	4	4	16	→
30 CM8	Dev	Major pollution incident - Leachate/landfill gas - migration from site.	5	4	20	4	4	16	4	4	16	—
33 2	Dev	Meeting Pendleton criteria Target for planning applications. Failure to meet e-government	4	5	20	4	4	16	4	4	16	—
48 7	Dev	Partnership working with public agencies & developers.	4	4	16	4	4	16	4	4	16	—
3	Dev	Bonus payments scheme.				New			4	4	16	→
CLL2	L/L	Improving ICT throughout the service to minimise manual recording of data.				New			4	4	16	→
ORG2	L/L	Non-attendance at Health & Safety courses.				New			4	4	16	→

RISK REF	SECTION	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			DIRECTION OF TRAVEL
			Jun 04			Nov 04			Nov 05			
			* P	* I		* P	* I		* P	* I		
ORG3	L/L	Re-organisation / restructure (children's services).				New			4	4	16	
22	Legal	Scheme of delegation fragmented.	5	5	25	5	5	25	4	4	16	→
07	Legal	Technology deficit, too old, too few PCs, inappropriate allocation, poor ISD backup.	5	4	20	5	5	25	4	4	16	→
08	Legal	Lack of appropriate IT & management support resources.	4	3	12	4	4	16	4	4	16	—
05	Asset	Impact of potential project Management skills shortfall.	5	5	25	5	5	25	3	5	15	→
03 7	Dev	User friendliness of systems & procedures.	5	5	25	4	4	16	3	5	15	→
03 S/S	Dev	Tree inspections (damage to persons/property from tree roots (or dangerous condition of trees).	5	5	25	5	5	25	3	5	15	→
09 S/S	Dev	Lack of control over vehicle repair & maintenance. (For vehicles not procured by Fleet Services).	4	5	20	3	5	15	3	5	15	—
11 S/S	Dev	Management of Health & Safety (employee accidents, ineffective risk assessment).	5	5	25	3	5	15	3	5	15	—
02	Fin Ser	Impact of failure to provide comprehensive financial information.	4	3	12	3	3	9	5	3	15	→
LS1	L/L	Safeguarding children, placing pupils with known risks in school.	4	5	20	4	5	20	3	5	15	→
LS2	L/L	Effects on staff morale & stress from dealing with abusive members of the public.	4	5	20	4	5	20	3	5	15	→
ORG4	L/L	Child protection issues in schools.	4	5	20	4	5	20	3	5	15	→
ORG5	L/L	Management of Health & Safety legislation as applies to Council Building Stock.	4	5	20	4	5	20	3	5	15	→
ORG6	L/L	Potential under insurance of asset stock.	3	5	15	3	5	15	3	5	15	—
JB1	S/S	Implementation of Improvement Plan.	5	4	20	3	5	15	3	5	15	—
11	Asset	Lack of electronic ownership information.	5	4	20	5	4	20	3	4	12	→
19	C/Exec	Management of workload issues within Demcratic Support.	4	4	16	4	4	16	3	4	12	→
08	C/Exec	Induction & development of staff - need to improve process across Chief Executive's Department.	4	4	16	3	4	12	3	4	12	—
01 03	Dev	Managing potential for Contractual Breaches.	5	5	25	4	4	16	3	4	12	→
05 S/S	Dev	Condition of foreshore	5	5	25	4	5	20	4	3	12	→
06 S/S	Dev	Safety of highway network.	5	4	20	4	4	16	3	4	12	→
28 CM6	Dev	Plant/equipment failure.	5	4	20	3	4	12	3	4	12	—
13	Fin Ser	Management of transfer of functions & associated finance.	4	4	16	3	4	12	3	4	12	—
09	ISD	Potential for software licensing breaches.	4	4	16	4	4	16	3	4	12	→
04	ISD	Equipment failure.	3	2	6	3	2	6	4	3	12	→
18	ISD	Windows 95.	No score			3	4	12	3	4	12	—
14	ISD	Virus infection/malicious hacking.	3	5	15	3	4	12	3	4	12	—

RISK REF	SECTION	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			DIRECTION OF TRAVEL
			Jun 04			Nov 04			Nov 05			
			* P	* I		* P	* I		* P	* I		
13	ISD	Misuse of IT/Rogue equipment.	4	5	20	3	4	12	3	4	12	—
LS8	L/L	Inability to recruit key operational & management posts 60.	4	4	16	3	4	12	3	4	12	—
LS3	L/L	Adequacy of professional training for specialist advice givers.	4	4	16	4	4	16	4	3	12	→
LS7	L/L	Gaps in service delivery resulting from staff long term absence & vacancies.	4	4	16	3	4	12	3	4	12	—
	L/L	Effects on staff morale resulting from lack of capacity, workload & funding of key services.	4	3	12	4	3	12	4	3	12	—
ORG8	L/L	Procurement arrangements.	5	5	25	3	5	15	3	4	12	→
ORG7	L/L	Contract management issues.	4	5	20	4	5	20	3	4	12	→
CLL3	L/L	Compliance with national standards e.g. Libraries, Museums Registration, Transforming Youth Work.	4	4	16	4	4	16	3	4	12	→
LS4	L/L	Staff injuries in schools resulting from physical assault. Staff injuries in schools resulting from manual handling (lifting).	3	5	15	3	5	15	3	4	12	→
LS5	L/L	Budget pressures on budgets for vulnerable children groups.	3	5	15	3	5	15	3	4	12	→
ORG9	L/L	Impact of inadequate Service Planning.				New			3	4	12	—
ORG10	L/L	Impact on Lifelong Learning should partnership working arrangements breakdown.				New			3	4	12	—
21	Legal	Addressing impact of any potential gaps in knowledge of constitutional process.	5	5	25	5	5	25	3	4	12	→
10	Legal	Management of external Contractors to ensure best value.	4	4	16	4	4	16	3	4	12	→
03	Rev	Change Management.	4	4	16	3	4	12	3	4	12	—
ADCG1	S/S	Adverse Budget Out-turn.	4	4	16	3	4	12	3	4	12	—
ADCG2	S/S	Children's Strategic Partnership.	4	4	16	3	4	12	3	4	12	—
CMCC1	S/S	Embedding commissioning within Community Care Division.				New			4	3	12	—
CMCF1	S/S	Building Children & Families commissioning infrastructure.				New			4	3	12	—
GMP2	S/S	Social Services IT link with Health sites.				New			4	3	12	—
JJ1	S/S	Domiciliary Care Restructure (formerly PF1)	5	3	15	4	3	12	4	3	12	—
QPM2	S/S	Performance Information (formerly HM1 & JG11)	4	3	12	4	3	12	4	3	12	—
SK1	S/S	Business continuity planning across SSD in the event of loss of IT systems.				New			4	3	12	—
SMLC1	S/S	Risks to Care Leavers.				New			4	3	12	—
SMLC2	S/S	Lack of suitable accomodation for Care Leavers.				New			4	3	12	—

RISK REF	SECTION	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			DIRECTION OF TRAVEL
			Jun 04			Nov 04			Nov 05			
			* P	* I		* P	* I		* P	* I		
SMLC3	S/S	Transition Issues.				New			4	3	12	
SMLC5	S/S	Risks to Leaving Care Staff.				New			4	3	12	
SMLC6	S/S	Leaving Care Service delivery risks.				New			4	3	12	
03	Asset	Competency of Contractors.	2	5	10	2	5	10	2	5	10	—
10	C/Exec	Management of Budget Monitoring and/or Forecasting.	4	4	16	2	5	10	2	5	10	—
02 S/S	Dev	Maintenance of playgrounds.	5	5	25	4	5	20	2	5	10	→
01	Fin Ser	Resistance to change/failure to make most efficient use of Financial System.	4	5	20	3	5	15	2	5	10	→
10	Fin Ser	Ensuring payments & invoices are made to clients & providers.	4	5	20	3	5	15	2	5	10	→
31	Fin Ser	Insurance provision management issues.	3	5	15	2	5	10	2	5	10	—
05	Fin Ser	Late/inaccurate submission of subsidy claims.	2	5	10	2	5	10	2	5	10	—
06	Fin Ser	Providing inaccurate budget information.	2	5	10	2	5	10	2	5	10	—
02	ISD	Information security.	4	5	20	4	5	20	2	5	10	→
LS9	L/L	Not meeting statutory duties for provision of education for statemented pupils or for pupils out of school, for attendance & monitoring of	4	5	20	2	5	10	2	5	10	—
PASS2	L/L	Failure to transfer all staff to new servers to stop problems caused by servers crashing.	New			5	5	25	2	5	10	→
CLL4	L/L	Project Management.	3	5	15	2	5	10	2	5	10	—
CLL5	L/L	Poor condition of buildings & facilities.	2	5	10	2	5	10	2	5	10	—
CLL6	L/L	Health & Safety - Staff & Customers.	2	5	10	2	5	10	2	5	10	—
CLL7	L/L	Sustainability of IT Services (Including People's Network).	2	5	10	2	5	10	2	5	10	—
CLL8	L/L	Cancellation of Events.	2	5	10	2	5	10	2	5	10	—
	L/L	Provision of incorrect employment advice.	2	5	10	2	5	10	2	5	10	—
16	Legal	Staff safety, (b) lone or late working.	5	2	10	5	2	10	5	2	10	—
JJ2	S/S	Carers service & strategy.	5	2	10	5	2	10	5	2	10	—
LB3	S/S	Managing OT Assessment activity at FAC levels 1,2 and 3.				New			5	2	10	—
MB1	S/S	Team 8 isolated from Service Manager.				New			5	2	10	—
RL3	S/S	Risk to operational staff, violence & aggression (out of hours).	5	2	10	5	2	10	5	2	10	—
11	C/Exec	Managing potential for misuse of Information Technology.	3	4	12	3	3	9	3	3	9	—
19	Dev	Risk of fraud and local authority exposure.				New			3	3	9	—

RISK REF	SECTION	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			DIRECTION OF TRAVEL
			Jun 04			Nov 04			Nov 05			
			* P	* I		* P	* I		* P	* I		
22	Fin Ser	Need to address clarity in delegated decisions process.	4	3	12	4	3	12	3	3	9	→
PASS3	L/L	EMS 'Common Basic Data Set' management currently failing.	5	3	15	4	3	12	3	3	9	→
PASS4	L/L	Areas of DfLL operating outside current ICT restrictions.	3	3	9	3	3	9	3	3	9	—
11	Legal	Failure to involve Legal Services early enough (=Poor Project Management)	4	5	20	4	5	20	3	3	9	→
01	Legal	Ineffective use of staff resources.	4	4	16	4	4	16	3	3	9	→
05	Rev	Adequacy of Internal/External communication.	3	3	9	3	3	9	3	3	9	—
06	Rev	Management of Health & Safety & Stress Management.	3	3	9	3	3	9	3	3	9	—
07	Rev	Internal/External Fraud.	3	3	9	3	3	9	3	3	9	—
GM1	S/S	Insufficient accommodation for staff.				New			3	3	9	—
GMP1	S/S	Different paperwork/processes between Community Care locality and Partnerships.				New			3	3	9	—
IJ4	S/S	Management of funding issues (NHS Mental Health Partnership)to achieve income towards gross contracts for Independent Service Users Contracts	3	3	9	3	3	9	3	3	9	—
IJ5	S/S	Providing services to "Failed Asylum Seekers" awaiting deportation but who are vulnerable under the terms of the National Assistance Act				New			3	3	9	—
PF1	S/S	Target Budget reductions for LD clients within Supporting People Grant.	5	3	15	3	4	12	3	3	9	→
PG1	S/S	Trade Disputes - strikes & work to rule.	3	3	9	3	3	9	3	3	9	—
QPM1	S/S	Planning, Partnership & Environmental Scanning	4	3	12	3	3	9	3	3	9	—
SMFP1	S/S	Fostering & Family Support	4	3	12	4	3	12	3	3	9	→
SMLC4	S/S	Untimely benefits payments & its impact on the Care Leaving budget.				New			3	3	9	—
VB3	S/S	Potential risk of providers for children with disabilities ceasing to operate.				New			3	3	9	—
VB4	S/S	Disabled facilities grant funding availability.				New			3	3	9	—
08	Fin Ser	Capital income generation risk.	2	4	8	2	4	8	2	4	8	—
ORG11	L/L	Impact of falling pupil numbers on sustainability of current education provision.	4	5	20	3	5	15	2	4	8	→
ORG12	L/L	Loss of ICT/Manual based records.	3	3	9	2	4	8	2	4	8	—
PASS7	L/L	PCC website - management & maintenance of content material for DfLL (& wider?).	3	5	15	2	5	10	2	4	8	→
PASS5	L/L	Failure to comply with Freedom of Information requests.	New			3	4	12	2	4	8	→
PASS6	L/L	Failure to meet outcomes of Integrated Electronic Government (IEG4).	New			3	4	12	2	4	8	→
11	Rev	Aggressive customers & Lone Working.	4	2	8	4	2	8	4	2	8	—
14	Rev	Lack of Magistrates Court capacity.	2	4	8	2	4	8	2	4	8	—
CR1	S/S	Management of Complaints - current & retrospective.	4	2	8	4	2	8	4	2	8	—



RISK REF	SECTION	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			DIRECTION OF TRAVEL
			Jun 04			Nov 04			Nov 05			
			* P	* I		* P	* I		* P	* I		
IJ2	S/S	Violence to workforce/public from mentally ill clients.	5	2	10	5	2	10	4	2	8	→
ITM1	S/S	Network failure.				New			4	2	8	→
ITM3	S/S	Care first server failure.				New			4	2	8	→
ITM5	S/S	Integrated children's system facility not implemented on time.				New			4	2	8	→
MG4	S/S	High risk offenders & staff & children at risk.	4	2	8	4	2	8	4	2	8	→
SM1C	S/S	Management of in house Residential Homes (Capacity).	4	3	12	4	2	8	4	2	8	→
16	C/Exec	Off-site meetings - lone working relating to Democratic Support.	4	5	20	4	4	16	2	3	6	→
18	C/Exec	Lone working issues Lord Mayor's Parlour.	5	5	25	4	5	20	2	3	6	→
15	Fin Ser	Implementation of new Radius system.	2	3	6	2	3	6	2	3	6	→
08	ISD	Failure of telephony.	2	5	10	2	3	6	2	3	6	→
03	ISD	Control of projects. (Planning, costs, scheduling).	3	3	9	4	4	16	2	3	6	→
15	ISD	Security of new acquisitions.	4	5	20	2	3	6	2	3	6	→
10	ISD	Loss of computer room(s).	3	5	15	1	1	1	2	3	6	→
PASS8	L/L	Key systems admin. Support.	2	3	6	2	3	6	2	3	6	→
04	Legal	Lack of management time (a) Manager (b) Staff.	5	4	20	5	4	20	2	3	6	→
15	Legal	Staff safety, (a) violence including verbal abuse.	5	3	15	4	3	12	2	3	6	→
06	Legal	Systems/documentation/information.	5	2	10	5	2	10	3	2	6	→
17	Rev	Risk of failing to pay benefits promptly.	2	3	6	2	3	6	2	3	6	→
18	Rev	Failure to apply legislation & implement changes in legislation.	2	3	6	2	3	6	2	3	6	→
ADCC1	S/S	Older People's Strategic Planning & Commissioning	4	3	12	3	3	9	3	2	6	→
BB1	S/S	Operating with severely reduced clerical capacity.				New			3	2	6	→
CMCC2	S/S	SAP mainstreaming across health and social care community not achieved.				New			3	2	6	→
GM2	S/S	Inappropriate new or extended property leases.				New			3	2	6	→
IJ3	S/S	Avoidable death or serious injury to Mental Health Client or caused by Mental Health Client - Staff death in course of duty (violence/stress).	2	3	6	2	3	6	2	3	6	→
JG12	S/S	Community Care Panel overspend				New			3	2	6	→
JG13	S/S	Lack of integrated approach/cycle for planning, performance & investment.				New			3	2	6	→
JG4	S/S	Not meeting key targets/performance indicators for older people.	3	3	9	3	3	9	3	2	6	→

RISK REF	SECTION	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			DIRECTION OF TRAVEL
			Jun 04			Nov 04			Nov 05			
			* P	* I		* P	* I		* P	* I		
LB2	S/S	Agenda for Change not being introduced in Partnerships with NHS - impact on recruitment & retention.	2	3	6	2	3	6	2	3	6	—
MG1	S/S	Completion of Statutory Reviews for Child Protection.	4	2	8	4	2	8	3	2	6	→
MG2	S/S	Maintaining quality of legal decision making (Child Protection).	4	2	8	4	2	8	3	2	6	→
NS1	S/S	Project breakdown (Child Concern Model & Assessment Framework IT System).	5	4	20	3	3	9	3	2	6	→
PF2	S/S	Learning Disabilities Partnership	4	3	12	3	3	9	3	2	6	→
RL1	S/S	Child Protection - Out of Hours response.	4	3	12	4	2	8	3	2	6	→
RL2	S/S	Adult Protection - Out of Hours response.	4	3	12	4	2	8	3	2	6	→
RY3	S/S	Clients: Permanency Planning - lack of suitable families for adoption.	3	3	9	3	3	9	3	2	6	→
VB2	S/S	Inter-agency arrangements to identify & meet the needs of children in need.	4	2	8	4	2	8	3	2	6	→
WdvH4	S/S	Identification of adoptive parents for children in need.	3	3	9	3	3	9	3	2	6	→
WvdH1	S/S	Addressing the risk of not meeting statutory responsibility in Adoption Service (Adoption & Children Act 2002).	4	2	8	4	2	8	3	2	6	→
WvdH2	S/S	Adequacy of files & prevention of corrupt data on potential adopters & children	4	2	8	4	2	8	3	2	6	→
WvdH3	S/S	Effectiveness of policies or procedures & Adoption Agency	3	3	9	3	3	9	3	2	6	→
WvdH5	S/S	Managing potential for breakdown of Adoption Placements.	2	3	6	2	3	6	2	3	6	—
04	Asset	Budget management.	3	5	15	1	5	5	1	5	5	—
21	C/Exec	IT equipment failure.	1	5	5	1	5	5	1	5	5	—
ORG13	L/L	Risk of inappropriate School Reorganisation Schemes.	1	5	5	1	5	5	1	5	5	—
ITM2	S/S	Disaster recovery.				New			5	1	5	—
ITM4	S/S	OLM ceasing to trade.				New			5	1	5	—
JG7	S/S	Management of fire risks in Council Home for Vulnerable Adults.	1	5	5	1	5	5	1	5	5	—
22	C/Exec	Failure to deliver elections.	2	5	10	2	5	10	1	4	4	→
01	C/Exec	Staff capacity to fulfill demands on unit.	2	2	4	2	2	4	2	2	4	—
04	C/Exec	Management of sickness absence.	2	2	4	2	2	4	2	2	4	—
46 10	Dev	Application of consistent employees terms & conditions ie. Clock cards, flexi time	4	4	16	3	4	12	2	2	4	→
01	ISD	Skill & knowledge shortage - retention of key staff.	4	3	12	3	2	6	2	2	4	→
CLL9	L/L	Vandalism to existing facilities/sites.	2	2	4	2	2	4	2	2	4	—
CLL10	L/L	Management information.	2	2	4	2	2	4	2	2	4	—

RISK REF	SECTION	POTENTIAL RISKS IDENTIFIED	RESIDUAL RISK RATING			RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			DIRECTION OF TRAVEL
			Jun 04			Nov 04			Nov 05			
			* P	* I		* P	* I		* P	* I		
ORG14	L/L	Impact of incorrect Capital Planning advice.	2	5	10	2	5	10	1	4	4	→
09	Legal	Managing quality control of external legal advice. (a) Listed Contractors - Counsel. (b) Surplus to capacity.	2	2	4	2	2	4	2	2	4	—
16	Rev	Fraud management	1	4	4	1	4	4	1	4	4	—
BB2	S/S	Operational buildings out of commission.				New			2	2	4	—
CN1	S/S	Contact Centre Performance & Incorrect information taken by call centre (Care Direct).	4	1	4	4	1	4	4	1	4	—
CN2	S/S	Outreach Service.	4	1	4	4	1	4	4	1	4	—
CN3	S/S	Lone workers (Dept. for Work & Pensions staff).	4	1	4	4	1	4	4	1	4	—
CN5	S/S	Management of potential for stress in the call centre.	4	1	4	4	1	4	4	1	4	—
JG11	S/S	Satisfactory assessment and protection of vulnerable people.				New			2	2	4	—
MG3	S/S	Managemernt of significant risk/harm to child.	3	2	6	3	2	6	2	2	4	→
PF3	S/S	Meeting needs & transition of Aspergers/Autism clients.	4	2	8	4	2	8	2	2	4	→
12	ISD	Physical access & security of computer rooms.	2	5	10	1	3	3	1	3	3	→
07	ISD	Policies/procedures.	4	2	8	1	3	3	1	3	3	→
11	ISD	Power failure.	3	5	15	1	3	3	1	3	3	→
15	Rev	Introduction of Performance Management.	1	3	3	1	3	3	1	3	3	→
BB3	S/S	Foster Carer payment system failure.				New			3	1	3	→
JG1	S/S	Recruitment & Retention of Social Care Staff & Specialists (Approved Social Worker (ASW) & Occupational Therapist (OT)).	4	3	12	2	3	6	1	3	3	→
JG3	S/S	Managing rise in reimbursement levels for delayed transfer from acute hospital.	5	1	5	5	1	5	3	1	3	→
JG6	S/S	Lack of management capacity (vacancies), temporary appointments greater than six months acting up.	2	3	6	2	3	6	1	3	3	→
RL4	S/S	Legal/litigation follow statutory intervention, eg. Mental Health Act - alleged failure to protect.	2	3	6	2	3	6	1	3	3	→
05	ISD	Supplier failure/failure of Strategic Projects.	2	3	6	2	3	6	1	2	2	→
17	ISD	Inadequate notification of leavers & joiners.	No score			3	1	3	2	1	2	→
CLL11	L/L	Managing fraud potential.	2	1	2	2	1	2	2	1	2	→
12	Legal	Difficulties in recruitment, (a) Children's Services.	3	1	3	2	1	2	2	1	2	→
12	Rev	Legal support to meet sanction targets.	1	2	2	1	2	2	1	2	2	→
CN6	S/S	Move to Ballard House	1	2	2	1	2	2	1	2	2	→
GM3	S/S	Displacement of staff from non PCC accommodation where there is no formal lease arrangement.				New			2	1	2	→