




ROW NO	RISK REF	DESCRIPTION OF RISK (Risk description should include cause / risk event / consequence and risk category)	LINK TO CORPORATE PLAN PERFORMANCE FRAMEWORK OR BUSINESS PLAN (must be vital to the Council's success / benefit the Council as a whole / Be synonymous with a high-level goal / link directly to the corporate strategy)	CURRENT EXISTING MANAGEMENT CONTROLS AND INTERNAL CONTROL MEASURES (Business improvement actions, controls and reporting on progress)	ASSURANCES ON CONTROLS / MITIGATION (Where we can gain evidence that our controls on which we are placing reliance are effective)	PREVIOUS RESIDUAL RISK RATING			CURRENT RESIDUAL RISK RATING			RAG RATING /CHANGE IN RISK RATING	ACTION PLAN / FUTURE MITIGATION / ASSURANCE PLAN	HOW WILL PROGRESS BE MEASURED (LIST MEASURABLE BENEFITS AND NON-QUANTIFIABLE BENEFITS)	TARGET DATES (or review date if target unknown)	RESPONSIBLE OFFICER(S)	DIRECTOR / ASSISTANT DIRECTOR	RISK CHAMPION
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						P	I		P	I								
5	SF4	Failing to adhere to the Data Protection Act Regulations from May 2018. Failure to adhere to these Regulations may lead to a fine from the ICO and damage to reputation. There will also be a resource cost to the council in implementing actions to manage the new regulations. Risk Category: FINANCIAL	<i>Corporate Plan Performance Framework Outcome - Pioneering</i>	Devon Information Security Partnership (DISP) / ICO action plan. ILOG to raise awareness within departments	Senior Information Risk Owner in place; CMT have been briefed	4	4	16	4	4	16	<div><div></div><div>A</div></div>	Information Governance Manager to raise awareness at CMT and DMTs and arrange staff workshops. Staff workshops underway. Delt are conducting assessment of ICT systems for compliance. Information Audit underway in all departments.	Monitor action plan through MISF/ILOG	May-18	John Finch	Andrew Hardingham	Aaron Perrin
6	SCE02	Potential failure to deliver effective electoral services functions due to inadequate resourcing and processes and lack of appropriately qualified staff. Consequences could include a negative impact upon maximising registration and a risk of disenfranchising voters. Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	<i>Corporate Plan Performance Framework Outcome - Confident</i> 'All eligible people are able to participate in the electoral process, should they wish to do so with resident and stakeholder confidence through: -Capability and resilience developed -Integrity of systems -Rigour in process and planning	Head of Financial Planning co-ordinating the capture of all relevant financial information; Welfare Services promoted for staff; Elections Programme commenced with dedicated Programme Manager and Operational Management resource; Increased establishment all new posts appointed including Head of Electoral Services.	Independent investigation commissioned due to report to Full Council on 25 September 2017 and follow-up report due to Cabinet in February. Elections Programme Board (EPB). The Chief Executive is the Senior Risk Owner, Asst Chief Executive is the Project Executive. Strategic Election Board, CRG and Local Partnership Gateway review give Council reassurance on delivery of the elections recovery/development programme.	4	4	16	4	4	16	<div><div></div><div>A</div></div>	Co-produced document with Electoral Commissioner which will report recommendations for implementation; New Electoral Registration System (Express) being implemented; Continue to monitor business continuity; Continue to review data quality in support of the external investigation. Transition to new Head of Service, start 22 Jan; AEA handover; Interim operational manager continue in post until end of May. Workforce development programme commenced. Resource planning and recruitment with HROD and Comms with CMT support.	Implementation of report recommendations	Ongoing review	Tracey Lee / Giles Perritt	Tracey Lee	Maddie Halifax
7	SODPH1 On ORR HSW	The organisation's ability to meet performance and delivery expectations in relation to statutory duties and deadlines are reduced. This is due to operational service pressures arising from a combination of: 1. Growing volume and complexity of demand across services; 2. Reduced staff and staffing resilience in a time of significant and rapid change to the design and delivery of services. Examples of where such pressures potentially create this risk include product safety, food borne illness and contaminated land. Public Protection Service is an upstream service, that is highly preventative in protecting health, safety and wellbeing Risk Category: COMPLIANCE & REGULATION & SAFEGUARDING	<i>Corporate Plan Performance Framework Outcome - Caring</i>	All areas of work have been assessed and prioritised to attempt to focus attention on those areas of highest need. All areas have been risk assessed and we follow a triage system to focus resources on areas of greatest risk. However, residual risk remains. We continue to make efficiencies and continue to make progress however we have suffered from staffing issues and corporate support from IT and Transformation programs.	Food Standards Audit has taken place. An action plan has been agreed and we are working towards completion. An action plan for workplace stress has been produced and we have plans to improve staff wellbeing.	3	5	15	3	5	15	<div><div></div><div>A</div></div>	Continual reassessment of prioritisation system to ensure our targeting of resources is correct. Constant review of intelligence and information to identify trends and emerging risks and to identify efficiencies in ways of working	Customer satisfaction, balanced budgets including income targets, monitoring demand. Staff wellbeing and stress surveys. Benchmarking with other local authorities or providers. Generation of performance score card has been implemented.	Oct-18	Alex Fry, Rachael Hind, Nicola Home, Katherine O'Connor	Ruth Harrell	Scott Senior
8	SF5 On IRR	The Council not meeting its obligations to keep citizen data secure, or provide and display information in line with statutory requirements. The consequence can be a financial penalty and/or reputational damage resulting in loss of trust in the Council which will affect the ability of the Council to work efficiently and effectively with the public, contractors or partner organisations (formerly Information Governance) Information is the raw material used by the Council to plan for and deliver all its services and reducing the risk that describes the availability and quality of information for staff, decision makers and citizen use, as well as the protection of sensitive information is a continuing process. Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	<i>Corporate Plan Performance Framework Outcome - Pioneering</i>	Staff awareness training has been rolled out to staff Incident reporting and management in place Escalation of breaches to MISF and SIRO	Management of Information Security (MISF) Group; Senior Information Risk Owner (SIRO) in place; Annual Information Governance report to Audit Committee	5	3	15	5	3	15	<div><div></div><div>A</div></div>	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. 2017 saw a decrease in breaches, however 2017/18 has seen an increase in escalations to the ICO.	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 Ongoing Ongoing Ongoing	John Finch	Andrew Hardingham	Aaron Perrin
9	SSS1	Risk of non delivery of a plan for waste that delivers increased recycling levels in Plymouth and ensures it meets the PFI targets agreed in the SW Devon Waste Partnership The city's recycling targets are achieved and the service is modernised and fit for purpose so that the increase in demand on the service in accordance with the Plymouth Plan Housing Growth can be met Risk Category: DEVELOPMENT & REGENERATION	<i>Corporate Plan Performance Framework Outcome - Confident</i>	Modernisation Plan in place across Street Scene and Waste Department focusing on back office systems and processes which are designed to improve the delivery of frontline services for customers. Measures either delivered or in progress include communications campaigns; utilising other team sin the Council who are engaging with residents to also encourage recycling; improving service request resolution times; optimising crew routes; and new technology to transform task allocations and data recording	The South West Devon Waste Partnership hold quarterly meetings. Internal bi-weekly Street Services Working Group to monitor progress against Modernisation Plan, supported by a weekly Performance Meeting to assess customer experience trends. Monthly Balanced Scorecard of KPIs which include recycling rates	3	5	15	3	4	12	<div><div></div><div>A</div></div>	Delivery of the Modernisation Plan. Continued delivery of alternate weekly collections against adopted business case - monthly monitoring with SWDWP partners with regard to disposal tonnages. Utilisation of commissioned participation survey to target areas that have lower rates of recycling. Investment in recycling campaigns across the city. Introduction of recycling on the go pods.	Delivery against Modernisation Plan, service standards and KPIs. Monitoring of tonnages against forecasted disposal amounts	Ongoing	Lou Hayward	Lou Hayward	Gill Peele

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10	STS1 On IRR	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. Reducing inequalities, particularly in health and between communities is a long term priority for the City Council to support the delivery of the vision for Plymouth where an outstanding quality of life is enjoyed by everyone Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	<i>Corporate Plan Performance Framework Outcome - Caring</i> Thrive Plymouth Performance Framework. Updated annually.	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. The focus of Thrive Plymouth in year 2 was on schools and young children. The focus in year 3 was on localising national One You health improvement campaign. The current year 4 focus is on mental wellbeing.	The Health & Wellbeing Board; Thrive Plymouth integral to the Plymouth Plan which is monitored via CMT/Cabinet/Full Council; Finance and Assurance Review Group review Joint Integrated Commissioning Risk Register quarterly. The DPH annual report will focus on Thrive Plymouth.	4 4 16	3 4 12	 A	Persistent action across the Council required at many levels to tackle inequalities. Continue to work with employers and schools to influence healthier lifestyles and to embed the national One You campaign and 5 Ways to Wellbeing across the city. Thrive Plymouth has an annual focus determined by local and national priorities an annual action plan is developed and implemented.	At the highest level health inequalities can be measured in changes in life expectancy. ODPH produces a report each year to monitor this, along with a Thrive Plymouth Performance Framework providing more detail at a local level. At the 5 year and 10 year stage we will hope to repeat the Health and Wellbeing survey to give us additional monitoring progress.	Annual launch in October each year. PDH report in March each year. Next review date Oct 2018.	Sarah Lees / Rob Nelder	Ruth Harrell	Scott Senior
11	SF1 On IRR	Failing to develop a contractual arrangement with Torbay Council to deliver their children's services. Risk of not exploiting the opportunity to explore new and more cost effective service delivery models, based on greater economies of scale and the sharing of best practice, to benefit both councils. Plymouth Council would also lose the opportunity to align more closely with other commissioning and governance arrangements such as those emerging in the Health and Care Sustainability and Transformation Plans and the changing public sector landscape. Risk Category: FINANCIAL	<i>Corporate Plan Performance Framework Outcome - Pioneering</i> In March 2017, Plymouth City Council was invited to submit an expression of interest to create a strategic contract arrangement with Torbay Council to jointly deliver its Children's Services. The Commissioner appointed to oversee improvement has identified that a strategic contract with Plymouth City Council provides the best solution for Torbay Council to improve its Children's Services at pace and Torbay Members voted overwhelmingly to support this route in July 2017. The safety and wellbeing of children and young people within the administrative areas of Torbay Council and Plymouth City Council will be paramount at all times throughout the development and operation of the contract.	Due diligence' exercise being undertaken; Officer project teams set up within both councils to develop the detail required; Risk log; Project board chaired by Plymouth City Council's Chief Executive; Cross Party Working Group. Regular updates and workshops with both political groups.	The Department for Education (DfE) has appointed a Commissioner, John Coughlan, Chief Executive of Hampshire County Council, to oversee improvement. The cross-party working group meet every 2 weeks to review progress. Key stakeholders' engagement day has been held; work stream leads from both authorities now working together on assurance as part of on-going project. Wellbeing Overview and Scrutiny Committee has reviewed the assurance work undertaken and have not raised any concerns. Final decision will be required by Full Council before the contract can be formally established.	New	3 4 12	A	Chief Executive has discussed senior management capacity with Commissioner, Leader and Leader of the Opposition; consultation has now started with SMT. Explore opportunities for secondments and career development across the larger workforce of the two councils; due diligence/assurance now complete and Cabinet Paper prepared. Explore opportunities to harmonise working practices and IT systems across the joint workforce.	Should the strategic contract progress the DfE will issue a Statutory Direction setting out the terms of the contract, as defined in the agreement.	Apr-18	David Northey	Tracey Lee / Andrew Hardingham	Aaron Perrin
12	SED1	Failure to secure adequate market interest and funding in the South Yard Marine Industries Production Campus (MIPC) site, slows or prevents site occupation such that economic growth and funding projections are not achieved and/or the Council has to provide financial revenue support to run and maintain the site The city's Local Economic Strategy seeks to concentrate efforts on the things that will generate the greatest returns to our economy. It recognises the opportunity presented by Mayflower 2020 as a major milestone in the reinvention of Plymouth as Britain's Ocean City and as a catalyst for business growth in marine and related industries, the visitor economy, the culture of the city in its broadest sense, and raising the city's profile and reputation in global markets. Risk Category: DEVELOPMENT & REGENERATION	<i>Corporate Plan Performance Framework Outcome - Growing</i>	The Council has the flexibility in its legal agreement with the MOD to slow down the legal transfer of the final phases of South Yard and has done so for Area 5 to enable sufficient income to be generated to pay for running costs. The Council is continually exploring opportunities for grant funding and other income to develop the site. There is a proactive approach to marketing and launching at local, regional and government levels. Phase 1 is almost complete with lettings on target and due to open in the Spring 2018.	There is governance in place at the City Deal Programme Board and strategic oversight provided by the Growth Board	3 4 12	3 4 12	 A	Phase 1 construction is due to complete at the end of February 2018. There is strong market interest in the accommodation and three leases have been approved. A Funding Package for Phase 2 is well developed with the Council approving a £6.1m loan and an Expression of Interest for £2.6m ERDF has also been approved. A funding model has been devised for Oceansgate, which indicates that ongoing security costs are affordable but there is a further £11m public investment required to complete Phase 3. Options are currently being reviewed as to how this gap can be closed. At the same time, we require a single operator to take on Phase 3 and we continue to work with interested parties. A dialogue with government is now underway to look at options to accelerate Phase 2.	When external grant funding is secured to assist with development and income can cover all site running costs. Number of businesses landing in South Yard.	Ongoing	Patrick Hartop	David Draffan	Gill Peele
13	SSP1	Cladding issues on buildings in Plymouth above 18m that have the potential to contain, or have been identified as containing ACM cladding that has a risk of combustion Risk Category: COMPLIANCE, REGULATION & SAFEGUARDING	<i>Corporate Plan Performance Framework Outcome - Caring</i>	National guidance has been produced and actioned or communicated by PCC. A strategic overview on affected buildings has taken place and communication to all relevant building owners. 24 hour patrols and a full list of fire and safety measures have been fully implemented at 3 sites including compartmentalisation and all publically owned buildings are being reviewed	The responsibility lies with the individual building owners but PCC and Devon and Somerset Fire and Rescue Service have taken the lead on communicating relevant information to all affected properties. Strategic lead overview (Gold) at PCC with support from DSFRS and the relevant affected building 'responsible person'.	2 5 10	2 5 10	 G	Monitoring of remedial measures by PCC to ensure building owners are carrying out their responsibilities effectively. Re-cladding on some affected buildings may be necessary.	Internal business process monitoring. PCC taking a complete overview of monitoring and intervention where necessary. Possible enforcement action in the future via relevant legislation.	Ongoing	Paul Barnard	Anthony Payne	Gill Peele

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14	SHR1 On HSW	Maintaining Corporate/Senior Leadership Team capacity and resilience to deliver the Council Plan. Potential for adverse impact on the citizens of Plymouth and the Council's reputation if strategic workforce plans are not effectively implemented. Risk Category: SERVICE DELIVERY / REPUTATION	<i>Corporate Plan Performance Framework Outcome - Pioneering</i> We take responsibility for our actions, care about their impact on others and expect others will do the same. Critical success factors; attraction, recruitment, development and retention of senior leaders; organisational design which is fit for purpose to deliver our statutory duties and Council objectives; Senior Leaders reporting they feel safe, happy and thriving at work with appropriate arrangements in place to support resilience	Organisational Design proposals approved by Council in January for full implementation by Summer 2018. Organisational Restructure toolkit in place. CMT/SLT leadership development programme under evaluation; Team Plymouth quarterly events in place; Multi-agency coaching network in place; Occupational Health and Employee Assistance Programme in place; Succession Plans being developed for all critical roles.	People Strategy 2016-20 endorsed by Cabinet May 2017 (Talent, Leadership & Culture). Organisation Development proposals approved by Full Council Jan 18; Agile HR policies and procedures available on Staffroom, Workforce data; Sickness absence and staff turnover. Agency/interim spend controls	New			2	5	10	G	Organisational Development Phase 2 Action Plan for the Senior Leadership Team to be implemented to include: Strategic workforce plans for the Senior Leadership Team. New Senior Leadership Team structure to be appointed. Implementation of 'The Way We Work' transformation programme (technology, information management, accommodation) to enable the right conditions for success.	Sickness absence due to stress, anxiety or depression; performance against Council's objectives; delivery of People Strategy; staff survey; wellbeing and resilience survey; safety climate survey; senior leadership staff turnover; exit interviews	Implementation 01/04/2018 with 6 month review	Andrew Hardingham	Tracey Lee	Aaron Perrin
15	SSPI2	Risk of failing to deliver the range of housing to meet Plymouth's need via The Plan for Homes and not realise the ambition to deliver 5,000 new homes over the next 5 years <small>The Plan for Homes was launched in November 2013 to speed up housing supply by delivering a range and mix of well-designed greener homes to meet the city's needs</small> Risk Category: DEVELOPMENT & REGENERATION	<i>Corporate Plan Performance Framework Outcome - Growing</i>	Plan for Homes regularly reviewed. Plan for Homes refresh 2016-2021 completed through the Housing Needs Working Group and approved by Cabinet in February 2016. Review of partnerships and partners to manage delivery and ensure capability. We are working with Homes England to achieve a fair share of the national funding	Growth Board; GAME Programme Board;	3	3	9	3	3	9	G	Plan for Homes refresh 2016 to 2021 with 20 initiatives to further support housing delivery. This includes a more direct intervention approach to housing delivery for establishing a fund for acquiring sites; tackling stalled and lapsed sites; creating a new housing company directly to deliver new homes. Ensuring the modernisation of Government funding opportunities to support new homes e.g. Starter Homes and Care and Support funding. To develop further innovation to improve upon the proactive and fast track approach to planning. Starter Homes Land Fund Partnership Authority to work the HCA to bring forward a portfolio of stalled, lapsed and brownfield sites to unlock delivery and accelerate new homes in what is becoming a highly competitive environment for government funding	Regular reports to Housing Needs Working Group and Portfolio Holders. New homes delivery for first two years of monitoring Plan for Homes (14/15 - 15/16) are 2,215 homes; currently on target to meet 5,000 commitment.	Annual delivery monitoring year end and on going	Paul Barnard	Paul Barnard	Gill Peele
16	SSPI3	Risk of not delivering sustained and accelerated economic and population growth in line with the Council's Corporate Plan and vision for the City which could lead to higher unemployment and lack of the right labour skills to match the needs of businesses. <small>The city's Local Economic Strategy seeks to concentrate efforts on the things that will generate the greatest returns to our economy. It recognises the opportunity presented by Mayflower 2020 as a major milestone in the reinvention of Plymouth as Britain's Ocean City and as a catalyst for business growth in marine and related industries, the visitor economy, the culture of the city in its broadest sense, and raising the city's profile and reputation in global markets.</small> Risk Category: DEVELOPMENT & REGENERATION	<i>Corporate Plan Performance Framework Outcome - Growing</i>	We have put in place a series of economic development measures including for People - 1000 Club, Building Plymouth, Urban Enterprise Programme, Manufacturers Challenge. Place regeneration we have undertaken direct development (Hearder Court), started on-site at Oceansgate, signed a City Deal, embarked on Plymouth Science Park phase 5 now open. Inward investment - continued support, two new landings in the city - the Ship (Sittel) and at Turnchapel. Supporting Babcock to grow. Business Support we have set out a £2.5m social enterprise investment fund, supported the Gain Growth Fund, attended trade shows and reworked the inward investment guide/website. Secured £69.9m of external and grant funding. Other developments - Oceansgate phase 1 topping out ceremony, completion of Plymouth Science Park phase 5, Langage Phase 2, The Box, Roborough Eco Village, Drake Circus Leisure. Combined efforts are also having economic impact with a jobs pipeline of over 3000, over 3500 apprenticeships starts in 2017, GVA growth and continue low unemployment. Employers such as Thales, Sitel, Becton Dickinson, Dartmouth Foods, Burts Crisps, Babcock, Princess Yachts, Crowne Plaza and Premier have all made significant investments in Plymouth.	Growth Board; GAME Programme Board;	3	3	9	3	3	9	G	Future plans include: Business Support - development of the marine/blue tech sector, co-ordinating inward investment, leveraging off the LEP to improve connectivity and exploiting the Mayflower to reposition the city at the centre of celebrations. In 2018 we will be developing Nuclear and Marine national deals linked to the HotSW Productivity Plan further building on our strengths. Brexit element of this risk will be considered in line with corporate Brexit risk template. Series of business support projects (growth hubs, start up and advice) commissioned. Launched new STEM strategy. The future development pipeline is now standing at over £500m with more major milestones in 2018. Work is shortly to start in site for the following developments; The Range HQ Derriford, 1620, Colin Campbell Court/Bath Street, Plymouth Railway Station, Oceansgate Phase 2	Monitor:- Weekly wage rates, Gross Value Added per hour worked. Job Seeker Allowance claimants. Youth Job Seeker Allowance claimants, Business births, employee numbers, visitor numbers, growth in jobs	Ongoing	David Draffan	David Draffan	Gill Peele
17	SF6	Risk of data loss and/or compromise of connected national infrastructure due to vulnerable infrastructure or attacks via standard hacking methods, phishing emails or malware infection. <small>An information security incident occurs when there is a compromise, potential compromise or unauthorised use of Plymouth City Council data or physical assets. Poor education and training, misuse, and breach of security controls of information systems may result in data and information being put at risk, may be used to misrepresent the Council and result in the ineffective use of Council resources</small> Risk Category: OPERATIONAL/SERVICE DELIVERY	<i>Corporate Plan Performance Framework Outcome - Pioneering</i>	Annual IT Health Check Regular vulnerability scans carried out IT Infrastructure patching policy in place Pro-active protective monitoring by Babcock	External Compliance assessment; Management of Information Security (MISF) monitor incidents; Senior Information Risk Owner (SIRO)	2	4	8	2	4	8	G	Implement compliance requirements into Delt business as usual - This is a work stream of the information management project Ensure vulnerability scans are conducted and reported to PCC The 2017 IT Health Check has been completed and all vulnerabilities will be addressed by February 2018 in order to meet compliance requirements.	Transformation programme monitoring Build into service level reporting	Ongoing Ongoing	John Finch	Andrew Hardingham	Aaron Perrin
18	STP1	Risk of not exploiting the opportunity to explore more cost effective shared service delivery models / Supply back office services to potential future partners and customers / Develop our digital capability in order to support customer service improvement. Risk Category: OPERATIONAL/SERVICE DELIVERY	Corporate Plan Performance Framework Outcome - Pioneering	Delt Shared Services delivery model being developed; Other Shared Service delivery models are also being considered; Risks being tracked through project management process to ensure all known concerns about any proposed transfers are addressed with suitable mitigations;	Review mitigation at pre-decision Scrutiny Panel and Cross Party Working Group Regular project accounting reports to the Transformation Portfolio Review Group.	New			2	4	8	G	Ensure continuous engagement with Trade Unions, Cabinet and Shadow Cabinet to stay on top of issues that might prevent decision making	Review risks of transfer prior to submission of proposals to democratic processes and following Cabinet decisions on proposals	23/02/2018	Peter Honeywell	Andrew Hardingham	Aaron Perrin