

#	Owner	Strategic Priority	Title	Detail	Risk Description					After Treatment			Action / Update	
					(What is/are the) Uncertainties;	Likelihood	Impact	Current Risk Rating: 1-25 (multiply L vs I)	Risk Approach (Mitigate, Tolerate, Transfer, Terminate)	Mitigating Action/Internal Control	Likelihood	Impact		Target Risk Score: 1-25 (multiply L vs I)
1	SH	Provision of quality services	Service Performance	Any service failure or degradation of service impacts on the customer, which then impacts on all areas of the council and members	Lack of appropriate resources due to current interim vacancies; ongoing transformation programme specifically IT and process implementation is not yet complete. These two combined have affected our ability to deliver appropriately on occasion.	5	5	25	Mitigate	Getting it right the first time, getting back to people appropriately and more timely. Better channel recognition to clear responses. Keep better records. Appropriate resources in the right places.	3	5	15	Mobile solution is in test, whitespace (in cab) technology will shortly be integrated into W2 workflow processes, but is already bringing benefits. Concerto software for assets is underway.
2	SJ	Encouraging communities to thrive	Delivery of local plan (inc. 5 Year Land Supply in South Hams)	Risk of speculative development without a 5 year land supply in South Hams, following Riverside ruling. Risk of designation in relation to Development Management & local plan across both councils.	Lack of detail / contingency around 5 year land supply until the joint local plan is completed.	5	4	20	Mitigate	Work underway to agree joint strategic working plan between Plymouth, South Hams and West Devon to ensure land supply across the three areas is sufficient. Collaboration agreement signed.	2	2	4	Consultation process ended Aug 2016. Analysis underway. In WDBC, Butcher Park planning decision highlights risk.
3	SH	Provision of quality services	Business Continuity	Officers fail to develop robust processes to ensure business continuity in the event of a significant event occurring, e.g. Failure to ensure the continuous availability of critical IT systems	Following the event, how quickly will certain systems and processes be able to be back on-line	4	4	16	Mitigate	Having two HQ locations is main mitigating factor. Agile working further reduces reliance on two office buildings. Locality workers can be despatched more easily to ensure customer engagement can be maintained during any incident. Business Continuity plans have been updated - priority areas - ICT Networking	2	2	4	Annual work programme to address critical areas. A Business Continuity Plan & overall strategy refresh for ICT, including investigation of cloud based services which improves business continuity/resilience. On-going review of the Business
4	SH	Provision of quality services	SH Waste Round Review	Risk of reputational issue to the Council if the project fails to run to project timeframe and deliverables. Risk to identified efficiency savings if project not run on time. Failure to manage customer enquiry and feedback in a timely manner could also affect reputation.	Amount of customer contact. External factors.	4	4	16	Mitigate	Project group are meeting weekly and the operational plan is supported by a communications plan. Additional staff are included in the customer contact/case management plan.	2	2	4	Part one of round review completed and no adverse issues.
5	SH	Financial Sustainability	T18 Benefits Not Delivered	Failure to deliver sustained benefits from the T18 Programme; Risk of new systems not being fit for purpose during transfer and then for BAU; Capacity risk once additional resources exhausted?	Poorly executed delivery could affect quality of customer service; timescales to complete routine tasks and an increase in complaints. Staff moral and reputation can be affected.	4	4	16	Mitigate	Regular SLT and member scrutiny over T18 roll-out; T18 programme being managed closely; currently within budget. Quarterly monitoring reports to Members.	2	3	6	Continued management focus on programme delivery. Considerable engagement with Civica, some compensatory payments for back filing and resourcing from Civica. SLT looking at alternatives, should they be required. Budget has been monitored very closely. Transition resources being recruited to ease pressure, staff re-allocated to look at
6	SH	Provision of quality services	WD Waste Procurement	Managed service solution agreement may not be in place in time.	Future cost of service may increase in both capital and revenue terms in view of aging assets during extension period. Service received during transition / notice period may deteriorate.	4	4	16	Mitigate	Detailed procurement process including specification writing which is well advanced. Wide review team of officers/members in place. Budget will be set and highlighted as part of the service review process	2	3	6	Discussions concerning relevant service requirement & implementation underway in consultation with legal team.
7	SJ	Provision of quality services	Data Protection	Failure to control the appropriate use of data and unauthorised Access.	To manage the risk of non compliance with Cabinet Office PSN CoCo, PCI DSS, Data Protection Act, RIPA, Human Rights Act.	3	5	15	Mitigate	Information Security Policy; All employees responsible for adequacy of data security arrangements within their control. Access to electronic data is only available via council managed devices. Look out for advice from the	2	3	6	eLearning tool being rolled out as part of new performance management system during 16/17. Virtual COP being instigated to ensure adherence to regulations

#	Owner	Risk Description										After Treatment			Action / Update
		Strategic Priority	Title	Detail	(What is/are the) Uncertainties;	Likelihood	Impact	Current Risk Rating: 1 - 25 (multiply L vs I)	Risk Approach (Mitigate, Tolerate, Transfer, Terminate)	Mitigating Action/Internal Control	Likelihood	Impact	Target Risk Score: 1 - 25 (multiply L vs I)		
8	SH	Provision of quality services	Emergency Response, e.g. Coastal Erosion / Storm Damage / Flooding	There is high public expectation in relation to supporting communities during coastal erosion/storm damage/flooding events, as well as engagement in longer term recovery, in particular assumptions about capital investment to restore assets. The risk relates to how best to support dispersed communities, e.g. with filling, transporting and laying sandbags as well as providing workforce on-site, given limited	Following the event, the expectation that coastal defences and asset repairs will be urgently undertaken despite competing claims on capital resources	5	3	15	Mitigate	Continued management and officer focus on this area to ensure risk is minimised as much as possible; continued close engagement work with DCC and Environment Agency to ensure all parties are aware of each others responsibilities and capacity	3	3	9	Processes have stood up to recent storm damage; communication continues with relevant parties	
9	SJ	Provision of quality services	Contractor Failure	Failure to manage a major failure of a significant council contractor including, any significant related industrial relations issues.	Contingency plans if contractor were to fail; affect on service delivery	3	4	12	Tolerate	Good contract and people management, effective Contract Team, use of shared procurement expertise, more frequent credit checks (including parent companies), requirement for bonds where appropriate.	2	2	4	Unproven contractor won leisure procurement - this is to be mitigated via contract process & PQQ process. Contract monitoring is acknowledged as an area which needs strengthening across the Council.	
10	SJ	Financial Sustainability	External Fraud	Fraud, financial impropriety or improper business practises anywhere against the organisation	Fraud could occur anywhere against the organisation; but the likely impact is limited due to existing management controls	4	3	12	Mitigate	Audit has highlighted generally ok. Management to remain vigilant; random spot checks where appropriate (e.g. expense claim forms)	3	2	6		
11	SH	Financial Sustainability	Implementation of LACC	Capacity impact on staff and BAU delivery; timescale of delivery may slip; Due diligence before LACC set-up may not be complete; Business case may not evidence a discernible market for the proposed company	See separate LACC Risk Register	3	4	12	Mitigate	See separate LACC Risk Register	2	3	6	Joint Steering Group set up to resolve issues & concerns raised by Members and outstanding points from business case work produced by PwC.	
12	SJ	Financial Sustainability	Internal Fraud	Fraud, financial impropriety or improper business practises anywhere in organisation	Fraud could occur anywhere throughout the organisation; but the likely impact is limited due to existing management controls	4	3	12	Mitigate	Audit has highlighted generally ok. Management to remain vigilant; random spot checks where appropriate (e.g. expense claim forms)	3	2	6		
13	SJ	Provision of quality services	Adherence to Council policies & processes and Government guidelines	Failure to manage/enforce s106 conditions. Ombudsman complaints could lead to finding of maladministration due to management of issues, e.g. poor record keeping; time to resolve issues or meet imposed timelines; reputational damage. Failure to meet current and changing needs	T18 programme rollout has seen service levels reduce and customer perception affected for certain services	3	4	12	Mitigate	Plan to commence measuring customer satisfaction during 16/17. Increased customer engagement; new complaints policy in place.	2	3	6	Embed new process within organisation; additional resources approved to ensure less impact on front line services. Internal audit programme for next year will help provide assurance.	
14	SH	Financial Sustainability	Inadequate asset maintenance	Failure to maintain all Council owned assets and buildings (including fleet).	To manage the health and safety risks of customers and staff and to ensure budgets are managed effectively to maintain assets to a satisfactory standard, To consider and manage the risk of redundant properties / assets.	2	5	10	Mitigate	Effective budget monitoring, sound management of assets/ buildings including a planned maintenance approach along with planned capital expenditure programme. Risk assessments and regular health and safety inspections.	1	5	5	Work underway (as part of governance) to review and write a long-term maintenance plan. This will assist with the risk in respect of the maintenance of all Council assets.	
15	SH	Provision of quality services	Potential for late filing of accounts	There is a requirement that closedown or 16/17 accounts be brought forward 4 weeks to end of May 2017. The risk is that resourcing within the finance COP and delayed process improvement prevents closedown by the government deadline. Impact would be that the council's accounts would be "qualified"	Whether the new timetable is achievable for the existing team.	3	3	9	Mitigate	Additional resourcing will be made available when required, structure changes already implemented. 2015/16 year end worked to restricted timetable as a trial run.	2	3	6	Team worked to reduced timetable for 2015/16 closure and additional resource (deputy s151 officer recruited)	

#	Owner	Risk Description										After Treatment			Action / Update
		Strategic Priority	Title	Detail	(What is/are the) Uncertainties;	Likelihood	Impact	Current Risk Rating: 1-25 (multiply L vs I)	Risk Approach (Mitigate, Tolerate, Transfer, Terminate)	Mitigating Action/Internal Control	Likelihood	Impact	Target Risk Score: 1-25 (multiply L vs I)		
16	SJ	Provision of quality services	Corporate Governance	Failure to maintain effective Corporate Governance arrangements.	To maintain effective Member standards and develop new Council Constitution. To continue to raise awareness of the risk of fraud and the implications of the Bribery Act	2	4	8	Mitigate	Promotion of necessary policies via staff intranet. Reviewed and implemented new Council constitution. To provide necessary Annual governance self assessment review by both FLT and SLT. Audit	1	3	3	n/a	
17	SJ	Provision of quality services	Health & Safety	Failure to manage the health, safety and welfare of the public, visitors and staff. Key consideration in relation to number of external frontline staff, including lone workers.	High impact on service delivery resulting in resources / services being unavailable for long periods	2	4	8	Mitigate	Safe working environment, policies and procedures, e.g. fire safety policy, travel at work policy. IIP, PDRs. Revised sickness absence policy, health and other wellbeing initiatives. Awareness of appropriate legislation e.g. Corporate Manslaughter Act, Equalities Act. Up-to-date corporate Health & Safety Policy/procedures	1	3	3	Virtual COP being set up to ensure visibility and focus on this topic; regular reporting to SLT and proposed changes to member performance data to include H&S measures. Work underway to consider ISO accreditation & impact on services	