

# Audit and Governance Committee



Date of meeting:	28 November 2023
Title of Report:	<b>Risk Management Monitoring Report – November 2023</b>
Lead Member:	Councillor Mark Lowry (Cabinet Member for Finance)
Lead Strategic Director:	Giles Perritt (Assistant Chief Executive)
Author:	Ross Jago, Head of Governance Performance and Risk
Contact Email:	Ross.jago@plymouth.gov.uk
Your Reference:	RS/RMNov23
Key Decision:	No
Confidentiality:	Part I - Official

## Purpose of Report

The attached report provides an update on the Strategic risk register for the organisation.

## Strategic Risk Register

During this review of the strategic risk register there has been significant movement across the risks registers due to change to processes. There are likely to be further such changes over the course of the next quarter.

The total strategic risks currently being managed is 19. Four of the risks are scored as severe, these are risks which may have a catastrophic impact and influences the organisation's overall risk status.

Changes have included –

- **Council's expenditure exceeds the resources available** - A reduction in risk probability score has been applied following the approval of a new Medium Term Financial Strategy reducing the overall score to 20.
- **Sustainable Urban Drainage Approval Body** – A reduction in risk probability score has been applied as required secondary legislation has not been laid before parliament reducing the overall score to 9 which will be monitored.
- **Homelessness** – There has been an overall increase in the risk score concerning Emergency Accommodation / Bed and Breakfast Budget Overspends. This risk is subject to detailed and regular review by Corporate Management Team and service area and is a key priority for the organisation. This risk is categorised as a financial risk, however the impact is much broader and the risk is being reviewed with this in mind.
- **Lack of Adult Social Care workforce** – This risk score has been reduced following mitigations implemented by the service.
- **Housing Delivery** – The risk score has been reduced following mitigation by the service.

- **Viability of Commercial Bus Operators** – The risk has been removed from the strategic register following endorsement of the Plymouth Bus Service Improvement Plan. The risk will continue to be monitored as part of departmental risk registers.

### **Risk @ Scrutiny**

Due to a mismatch in meeting cycles the scrutiny function is yet to review the updated risk register. This will be addressed by an amended committee schedule for the 2024 – 2025 municipal year. Despite this, the scrutiny function has reviewed risks and included items on the agenda as a result of the quarter one report. This has included –

- **Education and Childrens Social Care Overview and Scrutiny Committee** have reviewed the Local Area SEND inspection. This continues to be monitored at appropriate meetings of the committee.
- **Growth and Infrastructure Overview and Scrutiny Committee** reviewed and endorsed the Plymouth Bus Service Improvement Plan following consideration of a related risk earlier in the year.
- **Performance Finance and Customer Focus Overview and Scrutiny Committee** reviewed the risk “*Council having insufficient statutory senior leadership capacity and resilience to deliver the required to meet statutory obligations*” and received assurance from the Chief Executive and Interim Service Director for human resources and organisation development.

### **Recommendations and Reasons**

The Audit and Governance Committee is recommended to note the current position with regard to the Strategic Risk Register.

Reason: As part of the Committee’s responsibility for monitoring the implementation and ongoing processes for identifying and managing key risks of the authority.

### **Alternative options considered and rejected**

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.

### **Relevance to the Corporate Plan and/or the Plymouth Plan**

The Strategic Risk and Opportunity Register includes links to the Corporate Plan priorities – monitoring of control action for strategic risks therefore contributes to the delivery of the council’s core objectives.

### **Implications for the Medium Term Financial Plan and Resource Implications:**

None arising specifically from this report but control measures identified in Directorate Operational Risk and Opportunity Registers could have financial or resource implications.

### **Financial Risks**

None arising specifically from this report but control measures identified in Directorate Operational Risk and Opportunity Registers could have financial or resource implications.

**Carbon Footprint (Environmental) Implications:**

Failure to deliver against actions in the Climate Emergency Action Plan and Corporate Carbon Reduction Plan are included on risk registers.

**Other Implications: e.g. Health and Safety, Risk Management, Child Poverty:**

\* When considering these proposals members have a responsibility to ensure they give due regard to the Council's duty to promote equality of opportunity, eliminate unlawful discrimination and promote good relations between people who share protected characteristics under the Equalities Act and those who do not.

The risk registers specifically supports the council's overall governance arrangements.

**Appendices**

\*Add rows as required to box below

Ref.	Title of Appendix	Exemption Paragraph Number (if applicable) <i>If some/all of the information is confidential, you must indicate why it is not for publication by virtue of Part 1 of Schedule 12A of the Local Government Act 1972 by ticking the relevant box.</i>						
		1	2	3	4	5	6	7
A	Risk Monitoring Report							
B	Strategic Risk Register							

**Background papers:**

\*Add rows as required to box below

Please list all unpublished, background papers relevant to the decision in the table below. Background papers are unpublished works, relied on to a material extent in preparing the report, which disclose facts or matters on which the report or an important part of the work is based.

Title of any background paper(s)	Exemption Paragraph Number (if applicable) <i>If some/all of the information is confidential, you must indicate why it is not for publication by virtue of Part 1 of Schedule 12A of the Local Government Act 1972 by ticking the relevant box.</i>						
	1	2	3	4	5	6	7

**Sign off:**

Fin	CH 20.1 1.23 1400	Leg	LS/2 675/J P/20 1123	Mon Off		HR		Assets		Strat Proc	
Originating Senior Leadership Team member: Giles Perritt											
Please confirm the Strategic Director(s) has agreed the report? Yes											
Date agreed: 07/11/2023											

Cabinet Member approval: Councillor Mark Lowry (Cabinet Member for Finance)

Date approved: 08/11/2023