

Education and Children's Social Care Overview and Scrutiny Committee



Date of meeting:	10 July 2019
Title of Report:	Strategic Risk and Opportunity Register Report
Lead Member:	Councillor Mark Lowry (Cabinet Member for Finance)
Lead Strategic Director:	Giles Perritt (Assistant Chief Executive)
Author:	Julie Hosking
Contact Email:	Julie.hosking@plymouth.gov.uk
Your Reference:	SM/JH
Key Decision:	No
Confidentiality:	Part I - Official

Purpose of Report

To support the delivery of the City's vision and to enable the provision of high quality services to the citizens and communities of Plymouth it is imperative that effective risk management arrangements are in place. A fundamental element of Corporate Governance, a risk managed approach to decision making will enable the council to achieve its objectives and deliver services more efficiently and cost effectively.

The management of risk principles and processes equally apply at operational level, supporting improved performance, integration with corporate planning, projects, change programmes and partnerships.

The strategic risk and opportunity risk register is being presented to the Committee in order to help inform the review of the Committee's work programme.

Recommendations and Reasons

The Education and Children's Social Care Overview and Scrutiny Committee is recommended to:

- Note the current position with regard to the strategic risk and opportunity register.

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 risk and opportunity registers could have financial or resource implications.

Carbon Footprint (Environmental) Implications:

None arising specifically from this report.

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.*

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

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	Plymouth City Council's Strategic Risk and Opportunity Risk Register							
B	Equalities Impact Assessment (if applicable)							

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:

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Originating Senior Leadership Team member: Assistant Chief Executive											
Please confirm the Strategic Director(s) has agreed the report? Yes Date agreed: 26/06/2019											
Cabinet Member approval: <i>[electronic signature (or typed name and statement of 'approved by email/verbally')]</i> Approved by email Date approved: 27/06/2019											

1.0 Introduction

- 1.1** At the Education and Children's Social Care Overview and Scrutiny meeting on 13 June 2019, the Chair requested site of the Council's Strategic Risk and Opportunity Register in order to see if any items relating to the Committee's terms of reference were required to be added to the work programme.
- 1.2** Attached to this report at Appendix A is the latest Strategic Risk and Opportunity Register showing the status of each risk and any movement in risk score compared with the previous monitoring period.
- 1.3** Risks related to the Education and Children's Social Care Overview and Scrutiny Committee's responsibilities (shown below), as per the Council Constitution, are highlighted in yellow:-
- Early Years Services
 - Schools, colleges and other educational settings
 - Child Poverty
 - Special Education Needs, behaviour and attendance, narrowing the gap in outcomes
 - Safeguarding Children
 - Cared for children
 - Youth offending
 - Adoption and Fostering
 - Corporate Parenting

2.0 Background

- 2.1** The Council maintain two different types of risk and opportunity register, the strategic register records high level, medium to long term and cross-cutting risks that could affect the delivery of the Corporate Plan.
- 2.2** Identified risks are scored using a 5x5 matrix with 5 being high and 1 being low. Once scored the risks are RAG rated in order for them to be prioritised and appropriately mitigated and reviewed in line with the Council's risk appetite.

- 2.3** The strategic register is owned by Corporate Management Team and is published with the agenda of the Audit and Governance Committee, who maintain oversight and monitor the effectiveness of risk management processes as detailed in the Risk and Opportunity Management [Strategy](#).
- 2.4** Operational Registers record risks to the delivery of departmental business plan objectives and are owned by the Director for the service and maintained by department risk champions. Risk champions also form part of the Operational Risk Management Group who meet four times a year to help promote and co-ordinate risk management activity and develop risk management processes.
- 2.5** Risks from both these registers also read through to the Brexit, Health, Safety and Wellbeing and Integrated Commissioning risk registers.

3.0 Strategic Risk and Opportunity Register – Monitoring Summary

- 3.1** In accordance with the strategy requirement for twice-yearly monitoring, the latest strategic risk review and monitoring exercise was completed in February with the results discussed and further actions agreed, by Corporate Management Team on 19 February and final ratification at Audit and Governance [Committee](#) on 11 March 2019.
- 3.2** Risk references annotated with 'ORR' are also included in department operational risk registers which were monitored in June 2019.

4.0 Conclusion

- 4.1** The Council's success in dealing with the risks it faces can have a major impact on the achievement of key promises and objectives and ultimately, therefore, on the level of service to the community.
- 4.2** The Risk and Opportunity Management Strategy provides staff with a process for identifying threats or risks that includes becoming more outcome focussed.
- 4.3** The Operational Risk Management Group is continuing to work with departmental Risk Champions to further develop consistent application of risk management considerations across all operations of the Council.
- 4.4** The next formal review of the Strategic Risk and Opportunity Register will take place in August 2019.