

<b>Subject:</b>	<b>Strategic Risk Focus: SR13 Keeping Vulnerable Adults Safe; SR20 Better Care Fund; SR10 Information Governance Management; and SR18 Transition to modern, digital ICT.</b>		
<b>Date of Meeting:</b>	<b>27 September 2016</b>		
<b>Report of:</b>	<b>Executive Lead Officer Strategy, Governance &amp; Law</b>		
<b>Contact Officer:</b>	<b>Name:</b>	<b>Jackie Algar</b>	<b>Tel: 01273 291273</b>
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<b>Ward(s) affected:</b>	<b>All</b>		

**FOR GENERAL RELEASE****1. PURPOSE OF REPORT AND POLICY CONTEXT**

- 1.1 The Audit & Standards Committee has a role to monitor and form an opinion on the effectiveness of risk management and internal control. As part of discharging this role it reviews the Strategic Risk Register (SRR), recently updated by the Executive Leadership Team (ELT) on 20 April 2016.
- 1.2 The Audit & Standards Committee have agreed to focus on at least two Strategic Risks at each of their meetings.
- 1.3 The Strategic Risk Assessment Report (Appendix 1) provides further detail on the actions taken (existing controls) and future actions to manage each strategic risk.
- 1.4 Officers available to answer Members' questions on the Strategic Risks will be:

Brian Doughty, Assistant Director Adult Social Care, for SR13 Keeping vulnerable adults safe; and SR20 Better Care Fund;  
and

David Kuenssberg, Executive Director Finance & Resources, and Mark Watson, Chief Technology Officer, for SR10 Information Governance Management; and SR18 Transition to modern, digital ICT (please note this strategic risk title replaces 'Sustainable ICT and Digital Modernisation').

**2. RECOMMENDATIONS:**

- 2.1 That the Audit & Standards Committee notes the Strategic Risk Assessment Report at Appendix 1.
- 2.2 That, having considered Appendix 1 and any clarification comments from the Officers, the Committee makes any recommendations it considers appropriate to the relevant council body.

### **3. CONTEXT/ BACKGROUND INFORMATION**

- 3.1 The Strategic Risk Register details the current prioritised risks which may affect achievement of the council's Corporate Plan purpose, including in relation to its work with other organisations across the city. It is reviewed and agreed by ELT every six months (usually around May and November) and provides evidence of a risk aware and risk managed organisation.
- 3.2 Across the council there are a number of risk registers which prioritise risks consistently by assigning risk scores 1-5 that the risk will occur, and the potential impact (denoted by 'I') if it should occur. These L and I scores are multiplied; the higher the result of L x I, the greater the risk e.g.L4xI4 which denotes a Likelihood score of 4 (Likely) x Impact score of 4 (Major). A colour coded system, similar to the traffic light system, is used to distinguish risks that require intervention. Red risks are the highest, followed by Amber risks and then Yellow, and then Green. The Strategic Risk Register records Red and Amber risks.
- 3.2 Each strategic risk has a unique identifying number and is prefixed by 'SR' representing that it is a strategic risk. Each is recorded on the Integrated Risk Manager (IRM) software system, part of the Interplan package. Appendix 1 gives details of existing controls and future actions to manage each strategic risk.

### **4. FINANCIAL & OTHER IMPLICATIONS:**

- 4.1 For each Strategic Risk there is detail of the actions already in place ('Existing Controls') or work to be done as part of business or project plans ('Risk Actions') to address the strategic risk. Potentially these may have significant financial implications for the authority either directly or indirectly.  
The associated financial risks are considered during the Targeted Budget Management process and the development of the Medium Term Financial Strategy.

*Finance Officer Consulted: James Hengeveld*

*Date: 19/07/2016*

#### **Legal Implications:**

- 4.2 Members of the Committee are entitled to any information, data and other evidence which enable them to reach an informed view as to whether the council's strategic risks are being adequately managed; and to make recommendations based on their conclusions.

*Lawyer Consulted: Victoria Simpson*

*Date: 21/07 /2016*

### **SUPPORTING DOCUMENTATION**

#### **Appendices:**

1. Strategic Risk Assessment Report SR13; SR20; SR10; and SR18.

**Documents in Members' Rooms**

1. None.

**Background Documents**

1. Strategic Risk Register Review April 2016.

