




# Brighton & Hove City Council Strategic Risk Register 2012/2013 - reviewed by SLB May 2012

Risks are set out in order of Residual Risk Score (a combination of likelihood and impact)



See final page for information on risk scoring and terms used

Strategic Risk No.	Risk Title and Owner	Council Priority	Background and Risk Scenario and Potential Consequences A potential or actual risk or opportunity which needs to be managed in order to better achieve the Council's objectives (including contribution to the Sustainable Community Strategy)	Risk Category	Initial Likelihood (L) Score	Initial Impact (I) Score	Risk Score L x I (Dot indicates RAG rating)	Mitigating Controls and Actions currently include  (but are not limited to)	Residual Likelihood (L) Score	Residual Impact (I) Score	Residual Risk Score L x I
2	<b>Financial Outlook for the Council</b>  <b>Catherine Vaughan - Director of Finance</b>	ALL	<b>Background:</b> Reductions in public services funding will continue beyond the current Comprehensive Spending Review period. There are major planned changes to local government funding with transfer some risk to the council.  <b>Risk Scenario:</b> The council will need to continue robust financial planning in a highly complex environment	Economic/ Financial	5	4	<b>20</b>   <b>RED</b>	<ul style="list-style-type: none"> <li>▪ Technical analysis of funding changes</li> <li>▪ Design of two year budget process for 2013/14 and 2014/15</li> <li>▪ Update of Medium Term Financial Strategy alongside Corporate Plan refresh</li> <li>▪ Improved communication with all stakeholders to enhance understanding of financial position and risks</li> <li>▪ Broader consultation and engagement plan for budget setting including with business sector</li> <li>▪ Close working with health for transfer of public health functions and Health &amp; Well Being Board establishment</li> </ul>	4	4	<b>16</b>   <b>RED</b>  

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11	<b>Welfare Reform</b>  <b>Charlie Stewart – Strategic Director, Resources</b>	ALL	<b>Background:</b> The government is implementing widespread welfare reforms. Council tax support impacts directly on the council and the reforms will impact on the city as a whole. Introduction of the Universal Credit initiative and changes to housing benefits are expected to have a wide-ranging impact on the council and the city.  <b>Risk Scenario:</b> The proposed changes are complex to understand and plan for and have significant implications for the resources available to the council and how it organises itself to meet the impact of welfare reform on citizens eg: * vulnerable households, individuals and families * increased likelihood of people being unable to pay their housing costs (mortgage or rent) * increase in use of "spot purchase" Bed and Breakfast accommodation.	Economic/ Financial	4	4	<b>16</b>    <b>RED</b>	<ul style="list-style-type: none"> <li>Welfare Reform Board set up to co-ordinate understanding and efforts to mitigate risks</li> <li>Council Tax Support Project Board</li> <li>Wider Welfare Reform network group established comprising key partners across the city and reporting to the Public Service Board</li> <li>Programme management approach to Welfare Reforms</li> <li>Widespread engagement programme.</li> </ul>	4	4	<b>16</b>    <b>RED</b>  <b>New</b>

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6	<p><b>Safeguarding vulnerable members of our community</b></p> <p><i>Terry Parkin - Strategic Director, People and Director of Children's Services</i></p> <p><i>Denise D'Souza, Director of Adult Social Care</i></p>	Tackling Inequality	<p><b>Background:</b> Safeguarding of Adults and Children require different responses, however the council is the lead agency with lead responsibility for both. Key issues are: * Personalisation is under development for Adults and the latest proposals from Government will require that some of our most vulnerable children also have personal budgets controlled by family members who may select from a greater pool of care providers which are unregulated. * There are 1800 children in the city for whom the council has a clear legal responsibility and numbers of referrals continue to increase. As with Adults, the number of referrals is unpredictable. This is further complicated by the Government announcement about changes to children with Special Educational Needs. As welfare reforms "bite" there is a risk that more families will become vulnerable.</p> <p><b>Risk Scenario:</b> These changes will affect the council's ability to respond in a timely manner to safeguard the needs of the most vulnerable.</p> <p>Any change in the approach of risk management has the potential to impact on the council's resources and budget.</p>	Customer/ citizen	4	5	<p><b>20</b></p> <p></p> <p><b>RED</b></p>	<p>* Range of programmes in place to reduce risk, eg Alcohol Programme Board and Drug Intervention Programmes reducing the risk to both adults and children in families affected by drug and alcohol dependency * Identifying need early and providing early help through re-focusing of service priorities and ensuring this work is fully integrated with the council's new Troubled Families Initiative * Working with partners and others across children and adults services to improve understanding of threshold referrals so that risks can be better held in the community * Commissioners working with the Governance Board to ensure appropriate levels of training and support for staff delivering services with the council and council commissioned services * Looked After Children (LAC) a clear corporate priority to be overseen by the new Corporate Parenting sub-committee of Policy and Resources Committee.</p>	3	5	<p><b>15</b></p> <p></p> <p><b>RED</b></p> <p></p>

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					Score	Score			Score	Score	Score
3	<b>Pace and Volume of public sector change</b>  <i>Charlie Stewart - Strategic Director, Resources</i>	ALL	<p><b>Background:</b> All public services are affected by national reductions in spending and the wider reform agenda.</p> <p><b>Risk scenario:</b> Financial constraints and significant reform affecting partner organisations, e.g. NHS and those engaged in Public Health and Wellbeing, may lead organisations to reframe their budgets and ways of working and therefore affect their ability to deliver plans as envisaged.</p> <p>Enhanced communication and joined up planning will be needed to ensure that the impacts on the city are well managed and there is clear agreement on the role of each organisation and its responsibilities.</p>	Customer/citizen	5	4	<p><b>20</b></p> <p></p> <p><b>RED</b></p>	<ul style="list-style-type: none"> <li>Effective prioritisation through the Sustainable Communities Strategy and the Corporate Plan recently agreed by Council</li> <li>The Public Service Board (PSB) continues its work on joint commissioning: <ul style="list-style-type: none"> <li>- Needs analysis which includes review of government reforms and their impacts;</li> <li>- Community Engagement</li> <li>- Intelligent Commissioning Pilots</li> <li>- Better joint resourcing</li> </ul> </li> <li>Ongoing work on "Total Place"</li> <li>PSB meet every 6 weeks to oversee the programme of work to tackle city issues, close working ensures that issues are known including those relating to financial constraints.</li> </ul>	5	3	<p><b>15</b></p> <p></p> <p><b>RED</b></p> <p>↕</p>

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10	<b>Information Governance Management</b>  <b>Charlie Stewart - Strategic Director, Resources</b>	ALL	<p><b>Background:</b> To ensure the council delivers openness and transparency for its citizens and stakeholders, it must operate to a high standard of information governance. With a view to continual improvement and to provide assurance, the council invited the Information Commissioners Office (ICO) to assess the council's arrangements.</p> <p><b>Risk Scenario:</b> The council has an immature and developing information governance framework in place, but the challenge of consistent implementation remains. The council recognises that if it fails to manage data effectively then:                      * individuals may suffer loss or damage;                      * the council may suffer loss of reputation, financial penalties and/or other enforcement penalties;                      * it may result in a loss of trust in the council by citizens and partners and sub-optimal decision making.</p>	Customer/ Citizen	5	4	<b>20</b>   <b>RED</b>	<ul style="list-style-type: none"> <li>An action plan has been developed to focus on improvements identified by the ICO including: staff training and awareness; improved policy and guidance; a security review; and records management</li> <li>Information Governance Steering Group oversee the management of the delivery of the work plan and action plan and report progress to the Information Management Board</li> <li>The council's ICT Business Unit contains a Security and Standards Team led by an Information Security Standards expert.</li> <li>The ICO will re-examine arrangements in late 2012.</li> </ul>	3	4	<b>12</b>   <b>AMBER</b>  <b>New</b>

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					Score	Score					
1	<b>Readiness for opportunities and impacts of localism</b>  <i>David Murray - Strategic Director, Communities</i>	Engaging People Who Live & Work in the City	<b>Background:</b> The broad remit of the localism agenda provides opportunities for all councils to deliver public services in new ways with greater involvement of communities in local issues. The council's approach to the implementation of neighbourhood governance has been designed to take advantage of this and manage its risks and impacts.  <b>Risk scenario:</b> The localism agenda is a fluid and complex issue and the council will need to continue consultation and develop the approach to best fit the needs of the city and specific neighbourhoods.	Professional/ Managerial/ Partnerships	4	4	16   RED  	<ul style="list-style-type: none"> <li>Neighbourhood Council Working Group oversees development of new opportunities and legislative changes</li> <li>Strategic Directors that look in and out</li> <li>Council is investigating models of best practice (nationally and internationally) for community engagement; participatory budgeting; community involvement; use of social media</li> <li>Community Engagement Strategy in place and implemented</li> <li>Clear link between community development commissioning and neighbourhood governance established</li> </ul>	3	4	12   AMBER  

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4	<b>Economic Resilience and Sustainable Economic Growth</b>  <b>Geoff Raw - Strategic Director, Place</b>	Creating a more Sustainable City	<b>Background:</b> The council has a significant role to champion the city economy to attract inward investment for the city. It can use its own land and property portfolio to contribute to this and a range of policy levers, e.g. housing, planning, economic development, leisure and tourism. Business Rate Retention changes the council's financial incentives to grow the economic base.  <b>Risk scenario:</b> If the council does not do this effectively there is a risk the city's economy falters in the wake of difficulties in the national and international economy. This would affect the reputation of the city and city council in failing to sustain local businesses and attract new investment in the city.	Economic/ Financial	4	4	16   RED	<ul style="list-style-type: none"> <li>Continue to develop the investment policy options in relation to the council's Asset Management Strategy</li> <li>The Council continues to work closely with the Local Enterprise Partnership has successfully bid for £3M of Growing Places Fund for the i360</li> <li>Council is exploring a variety of policy and financial levers to unlock sustainable growth (e.g. i360)</li> <li>Core Strategy will take account of new legislation affecting planning, including S106 requirements, and impacts on citizens, developers and businesses</li> <li>Launch an investment prospectus for the city in June 2012 at an Environmental Technology Show at the Amex Stadium</li> </ul>	3	4	12   AMBER  

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5	<p><b>City wide employability</b></p> <p><b>Geoff Raw - Strategic Director, Place</b></p>	Creating a more Sustainable City	<p><b>Background:</b> The Council has an important role in supporting education and training providers in strengthening the labour force offer to employers &amp; in addressing the legitimate employment aspirations of local communities.</p> <p><b>Risk Scenario:</b> Failure to do this effectively could impact on the performance of the city's economy and employment resilience. There would be social and economic costs for individuals and overall costs to the public purse.</p>	Physical	4	4	<p><b>16</b></p> <p></p> <p><b>RED</b></p>	<ul style="list-style-type: none"> <li>Engagement in Education Commission and commitment from head teachers to raise education performance</li> <li>Council support for City College in setting up a skills shop in Queens Road for an Apprenticeship Training Association (opened in April 2012)</li> <li>Council funds the Youth Employability Service (YES) to specifically support young people 16-18 who are Not in Education, Employment or Training</li> <li>Continual work, via the Public Service Board (PSB) and Local Strategic Partnership (LSP), with education, training &amp; employment agencies to:                             <ul style="list-style-type: none"> <li>- Promote the City as a business location;</li> <li>- Support the analysis of employer skills needs information;</li> <li>- Inform the business planning of education, training &amp; employment agencies;</li> <li>- Co-ordinate public sector policy &amp; interventions which optimise opportunities particularly for dis-advantaged people.</li> </ul> </li> </ul>	3	4	<p><b>12</b></p> <p></p> <p><b>AMBER</b></p> <p>↕</p>



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					Score	Score			Score	Score	Score
08	<b>Becoming a more sustainable city</b>  <b>Geoff Raw - Strategic Director, Place</b>	Creating a more Sustainable City	<b>Background:</b> The council has an important civic leadership role in working with others to prepare the city for the current changing pattern of severe weather events and other longer-term impacts of climate change locally. This includes: * managing costs of operating buildings and facilities (e.g. fuel/energy/waste disposal) * reducing the environmental impact of its activities * planning for the impact of increasingly scarce resources such as water and land  <b>Risk Scenario:</b> If the council fails to take effective action, it may affect: * ability to attract inward investment and environmental industries to the city * residents and businesses, if partners fail to plan for severe weather events, e.g. maintain essential routes and services to support vulnerable people * the city's longer term future climate change adaptation and increased resilience to increased costs of food, energy, materials * performance against stated targets and compliance with environmental legislation * ability to demonstrate the city's sustainability credentials in comparison with other similar cities	Environmental/ Sustainability	3	4	12   AMBER	<ul style="list-style-type: none"> <li>Landfill reductions as a result of Energy Recovery Facility at Newhaven</li> <li>Action plan to set out progress on all targets the council has to meet and quantify impact</li> <li>Low Carbon City (aka Zero Carbon) has informed the economic strategy and is factored into Strategic Commissions 2012/13 and 2013/14</li> <li>Council support for the City Food Strategy and commitment to take on board findings in relation to the City Council's operations</li> <li>Carbon Management Programme Board in place to oversee internal carbon reduction</li> <li>Climate Change Strategy led by Climate Champions</li> </ul>	3	3	9   AMBER  



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## RISK REMOVED

The Strategic Leadership Board agreed on 9 May 2012 to remove Strategic Risk 9 Changes to Local Government Finance (see below) and incorporate Business Rate Retention changes into the revised Strategic Risk 4 Economic Resilience and Sustainable Growth, and to create a new Strategic Risk 11 Welfare Reforms to include council tax changes and the government's introduction of Universal Credit.

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9	<p><b>Changes to Local Government Finance</b></p> <p><i>Catherine Vaughan - Director of Finance</i></p> <p><b>NOW REMOVED (see above)</b></p>	ALL	<p><b>Background:</b> The government is proposing major changes to the way local government is funded, reforms to the welfare benefits system and support for council tax.</p> <p><b>Risk Scenario:</b> The proposed changes are complex to understand and plan for and have significant implications for the resources available to the council and how it organises itself in the medium term.</p>	Economic/ Financial	4	4	<p><b>16</b></p> <p></p> <p><b>RED</b></p> <p><b>NOW</b></p> <p><b>REMOVED</b></p>	<ul style="list-style-type: none"> <li>▪ Detailed responses on all major consultation documents produced</li> <li>▪ Joint response on council tax benefits agreed across all Sussex authorities</li> <li>▪ Ongoing lobbying on the critical issues for the city</li> <li>▪ Further analysis of potential impacts and options for managing the risks</li> </ul>	4	4	<p><b>16</b></p> <p></p> <p><b>RED</b></p> <p><b>NOW</b></p> <p><b>REMOVED</b></p>

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## Risk Scoring

The City Council uses this risk matrix to “score”, i.e. assess the likelihood and impact of the risk scenario occurring and its potential consequences if it did, and how it would affect achievement of the council’s objectives.

	MOST LIKELY IMPACT				
LIKELIHOOD	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	5	10	15	20	25
Likely (4)	4	8	12	16	20
Possible (3)	3	6	9	12	15
Unlikely (2)	2	4	6	8	10
Almost Impossible (1)	1	2	3	4	5

## Terms Used

- Strategic Risk Register – a document which details the current prioritised issues which affect the achievement of the Council’s objectives, including in relation to its work with others across the city to address city priorities
- Strategic Risk No. – a unique number allocated to each strategic risk. As these risks are managed, these unique risks may be removed from the Strategic Risk Register and in that case, a gap in sequential numbering will arise
- Risk Scenario – a potential or actual risk or opportunity which needs to be managed in order to better achieve the council’s objectives
- Potential Consequences – those which may arise if the risk scenario occurs
- Initial Likelihood/Impact Scores – the initial score for the risk scenario before the current Mitigating Controls and Actions are considered
- RAG rating – a way to colour code risks to prioritise them. “RAG” derives from the initials of Red, Amber, Green although for risk management it is common to have the extra colour of Yellow
- Mitigating Controls and Actions – these are already in place and operating to reduce/mitigate the likelihood and/or impact of the risk scenario and potential consequences
- Residual Likelihood/Impact Scores – assessed after taking into account the Mitigating Controls & Actions to provide a more “realistic” prioritisation of risks compared against each other
- Risk Category – there is a standard list of risk categories which are designed to ensure a “rounded” consideration of risks from a number of different perspectives. By recording the Risk Category, it enables analysis across the risks contained in a risk register

