



# Brighton & Hove City Council Strategic Risk Register 2012/2013 - reviewed by SLT October 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 <i>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)</i>	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>  <i>Director of Finance</i>	ALL	<p><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 which will transfer some risk to the council.</p> <p><b>Risk Scenario:</b> The council will need to continue robust financial planning in a highly complex environment.</p>	Economic/ Financial	5	4	20   <b>RED</b>	<ul style="list-style-type: none"> <li>Periodic and ongoing review of the adequacy of risk provisions and reserves to support the budget strategy and to ensure financial resilience;</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>Broader consultation and engagement plan for budget setting including with business sector and Community &amp; Voluntary Sector;</li> <li>Close working with health for transfer of public health functions and Health &amp; Well Being Board established.</li> </ul>	4	4	16   <b>RED</b>  ↕

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11	<b>Welfare Reform</b>  <i>Chief Executive</i>	ALL	<p><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.</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 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.</p>	Economic/ Financial	4	4	16  ●  RED	<ul style="list-style-type: none"> <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 consultation &amp; engagement of Local Council Tax Support Scheme Robust Equalities Impact Assessment undertaken on the Council Tax support scheme including consideration of cumulative impact of wider Welfare Reform;</li> <li>▪ Corporate Critical Budget for homelessness.</li> </ul>	4	4	16  ●  RED  ↕

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
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10	Information Governance Management  <i>Senior Information Risk Officer</i>  <i>And</i>  <i>Director of Finance</i>	ALL	<p><b>Background:</b> The council must operate to a high standard of information governance within the overall context of openness and transparency.</p> <p><b>Risk Scenario:</b> 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	20    <b>RED</b>	<ul style="list-style-type: none"> <li>▪ An action plan which will deliver the improvements identified by the Information Commissioner's Office is in place and ongoing. The plan includes:                             <ol style="list-style-type: none"> <li>1) Redevelopment of staff training and awareness programme;</li> <li>2) Complete overhaul and consolidation of all policy and guidance in relation to Information Management and Information security;</li> <li>3) Security review. An action plan is being produced and project developed to deliver the recommendations;</li> <li>4) Records management – Undertake a council wide information audit, develop information asset register and implement retention schedule and document standards.</li> </ol> </li> <li>▪ Open Government Licence implemented to support open government agenda;</li> <li>▪ Freedom of Information requests – streamlined process introduced.</li> </ul>	4	4	16    <b>RED</b>  

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6	<p><b>Safeguarding vulnerable members of our community</b></p> <p><i>Director of Adult Social Services</i></p> <p><i>and</i></p> <p><i>Director of Children's Services</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: * There are 1800 children in the city for whom the council has a clear legal responsibility and numbers of referrals continue to increase and are 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 * Services are seeing more complex cases in council care, especially in relation to mental health and older people with complex need.</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 but despite changes, provision of services to support safeguarding of adults and children remain in place.</p>	Customer/ citizen	4	5	<p><b>20</b></p> <p></p> <p><b>RED</b></p>	<p>* Services to support the most vulnerable remain in place including work on our most complex families including through the Stronger Families, Stronger Communities initiative; * Programmes to reduce risk, eg alcohol, drugs and alcohol; * 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 and overseen by the 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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					5	4			5	3	
3	<b>Pace and Volume of public sector change</b>  <i>Chief Executive</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>Strong and developing understanding of need in the city:                             <ul style="list-style-type: none"> <li>- Joint Strategic Need Assessment;</li> <li>- State of the City report;</li> <li>- City Intelligence Network managed by the Public Service Board (PSB);</li> <li>- City Needs Assessment process agreed;</li> <li>- Brighton &amp; Hove Local Information Service.</li> </ul> </li> <li>The 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>- Joint Commissioning Pilots;</li> <li>- Better joint resourcing.</li> </ul> </li> <li>City Commissioning Plan approved with a programme of targeted prioritised projects to enable and oversee partnership work, recognising challenges including financial constraints</li> </ul>	5	3	<p><b>15</b></p> <p></p> <p><b>RED</b></p> <p></p>

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
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1	<p><b>Readiness for opportunities and impacts of localism</b></p> <p><i>Interim Lead for Chief Executive Services</i></p>	Engaging People Who Live & Work in the City	<p><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 should prepare:</p> <ul style="list-style-type: none"> <li>• For expressions of interest by local groups under the Community Right to Challenge and the Community Right to Bid;</li> <li>• For influencing the development of Neighbourhood Planning;</li> <li>• To build upon the experience of the two Neighbourhood Pilot areas;</li> <li>• For indirect costs arising, e.g. administration and compensation costs.</li> </ul> <p><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.</p>	Professional/ Managerial/ Partnerships	4	4	<p><b>16</b></p> <p></p> <p><b>RED</b></p>	<ul style="list-style-type: none"> <li>• Community Engagement Strategy in place and managed by the City Engagement Partnership;</li> <li>• Council processes being developed to prepare to respond effectively;</li> <li>• Neighbourhood Governance working group oversees development of new opportunities and changes;</li> <li>• Lead Officers communicate relevant potential impacts on services across the council as a result of Localism implementation;</li> <li>• Localism Agenda is registered as a key priority for the council, with active Member involvement including by the Council Leader;</li> <li>• Public Services Board informed of potential city impacts of the Localism Act.</li> </ul>	3	4	<p><b>12</b></p> <p></p> <p><b>AMBER</b></p> <p></p>



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4	<b>Economic Resilience and Sustainable Economic Growth</b>  <i>Strategic Director, Place</i>	Creating a more Sustainable City	<b>Background:</b> The council has a significant role to champion the city economy to attract inward investment. It can use its own land and property portfolio to contribute to this alongside a range of policy levers, e.g. housing, planning, economic development, leisure, tourism and public investment powers.  <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. If this happens, business and community aspirations would not be met and the reputation of the city and city council would suffer if local businesses are not sustained and new investments if not attracted to the city.	Economic/ Financial	4	4	<b>16</b>   <b>RED</b>	<ul style="list-style-type: none"> <li>Continue to develop the investment options in relation to the council's Asset Management Strategy and work on Major Projects;</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 including housing led regeneration with the Housing &amp; Communities Agency;</li> <li>The City Plan will take account of new legislation affecting planning, including S106 requirements, and impacts on citizens, developers and businesses;</li> <li>Launch of an investment prospectus for the city.</li> </ul>	3	4	<b>12</b>   <b>AMBER</b>  

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5	City wide employability  <i>Strategic Director, Place</i>	Creating a more Sustainable City	<p><b>Background:</b> The Council has a 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	16   <b>RED</b>	<ul style="list-style-type: none"> <li>Continual work via PSB and LSP and the Learning &amp; Education Partnership with education, training &amp; employment agencies:                             <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 opportunities;</li> <li>Co-ordinate public sector policy &amp; interventions which optimise opportunities particularly for dis-advantaged people;</li> </ul> </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>Council has supported bids for employment initiatives, e.g. apprenticeships, green jobs and training.</li> </ul>	3	4	12   <b>AMBER</b>  ↕



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08	<b>Becoming a more sustainable city</b>  <i>Strategic Director, Place</i>	Creating a more Sustainable City	<p><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.</p> <p><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.</p>	Environmental/ Sustainability	3	4	12   <b>AMBER</b>	<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>The Economic Strategy will explore the opportunity to reduce carbon emissions through future investment and 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   <b>AMBER</b>  ↕

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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.