Brighton & Hove City Council

Strategic Risk Report for Audit & Standards Committee Focus Item on 27 September 2016:

SR13 Keeping vulnerable adults safe from harm and abuse;

SR20 Better Care Fund: Ability of health and social care to integrate services at a local level to deliver timely and appropriate interventions;

SR10 Information Governance Management; and

SR18 Transition to modern, digital IT.

Initial Rating

IMPACT (I)

LIKELIHOOD (L)	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	0	0	0	1	0
Likely (4)	0	0	0	3	0
Possible (3)	0	0	0	0	0
Unlikely (2)	0	0	0	0	0
Almost Impossible (1)	0	0	0	0	0

Revised Rating

IMPACT (I)

LIKELIHOOD (L)	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	0	0	0	0	0
Likely (4)	0	0	0	1	0
Possible (3)	0	0	0	3	0
Unlikely (2)	0	0	0	0	0
Almost Impossible (1)	0	0	0	0	0

1 - 3	4 - 7	8 - 14	15 - 25
Low	Moderate	Significant	High
Monitor periodically	Monitor if the risk levels increase	Review and ensure effective controls	Immediate action required & need to escalate to the management level above

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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR13	**Keeping vulnerable adults safe from harm and abuse**	Executive Director Health & Adult Social Care Head of Adult Safeguarding	BHCC Strategic Risk,Legislative	20/04/16	Threat	Treat	Red L4 x I4 10/06/14	Amber L3 x I4 10/06/14		Revised: Adequate

Causes

Keeping vulnerable adults safe from harm and abuse is a responsibility of the council. Brighton & Hove City Council has a statutory duty to co-ordinate safeguarding work across the city and the Safeguarding Adults Board. This work links partnerships across the Police and Health and Social Care providers. Over 1400 concerns were raised in 2015/16 about vulnerable people with over 1,000 going into investigation, and it continues at this level.

Due to a national legal judgement in early 2014 on Deprivation of Liberty Safeguards (DoLS) the council has seen a significant increase in requests for Best Interest Assessments (BIAs); numbers have increased significantly testing the council's capacity to deliver.

Potential Consequence(s)

* Generally cases are more complex and demands can vary
* Failure to meet statutory duties could result in legal challenge
* Failure to respond to a more personalised approach could result in challenge
* Inadequate budget provision to meet statutory requirements

Existing Controls

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First Line of Defence: Management Controls
* 1)Care Act implemented and procedures updated, guidance continues to come out in relation to the Care Act and Safeguarding;
  2) Awareness through messages and training;
  3) Good multi-agency work: multi agency safeguarding procedures promote joint working;
  4) Multi-agency audits of Safeguarding enquiries in place;
  5) DOLs Governance Group;
  6) Maintain the role and numbers of professional social workers through service redesign to ensure capacity;
  7) Multi-agency training in place for better awareness, safeguarding enquiry management;
  8) Highly motivated social workers;
  9)Assessment of need using agreed threshold policies and procedures;
  10)Staff provided with learning opportunities and undertake continuous professional development;
  11) Working with Care Providers to ensure requests for Best Interest Assessments are appropriate and provides best and least restrictive practice.

Second Line of Defence: Corporate Oversight
* 1)Safeguarding Board workplan arising from review of Board. Independent Chair appointed;
2) Learning from Safeguarding Adult Reviews, coroners concerns and case review from national work;
3) Working with ADASS (association of directors of adult social services) on the impact of ongoing legal judgement and advice on DoLs ;
4) HASC Modernisation Board in place;
5) Executive Director HASC meets with Chief Executive;
6) Reports on budget pressures to ELT.
Third Line of Defence: Independent Assurance
None

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
SR 13 Risk Action: Continue to raise awareness through messages and training	Head of Adult Safeguarding	50	31/03/17	01/04/15	31/03/17

Comments: Joint Participation and Engagement Group has been set up (April 16), linking the Safeguarding Adults and Children's Boards to engage with the community and promote awareness
Regular and ongoing programme of Practice Development Groups within adults assessment service to ensure practice standards are met for safeguarding and mental capacity work.

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
SR13 Risk Action: Continue to learn from serious case reviews, coroners inquests and case reviews	Head of Adult Safeguarding	25	31/03/17	01/04/15	31/03/17
Comments: Revised Pan Sussex Safeguarding Adults Review protocol in place April 2015, to replace Serious Case Review process following implementation of Care Act. Revised protocol reflects new duties regarding Safeguarding Adults Reviews. Safeguarding Procedures updated April 2016. A Safeguarding Adults Review agreed to be undertaken following referral to the Safeguarding Adults Board. In process of being completed, for final report November 2016. Review of recent deaths of homeless people being undertaken, to report to the Safeguarding Adults Board June 16 then to Members Steering Group.					

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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR20	**Better Care Fund: Ability of health and social care to integrate services at a local level to deliver timely and appropriate interventions**	Executive Director Health & Adult Social Care	BHCC Strategic Risk, Economic / Financial	20/04/16	Threat	Treat	Red L4 x I4 10/06/14	Amber L3 x I4 10/06/14		Revised: Adequate

Causes

The ability of the health and social care system to progress with integrated teams and to commission appropriate services to support early intervention and ongoing care.

Potential Consequence(s)

If parties do not work together as agreed, or organisation's priorities change, it will affect delivery of performance targets in relation to the Better Care Fund. Any failure of delivery will impact on the Acute Trusts' costs and our ability to release efficiency savings to create new services.

Existing Controls

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First Line of Defence: Management Controls
1) Continued roll out of cluster working started in 3 of the 6 clusters. Social Care work aligned with clusters June 2016.
2) Key stakeholders event taken place and strategic intentions and plans currently being updated- end of June 2016.
3) Better Care Board established (high level and cross sector representation) and chaired by Executive Director Health & Adult Social Care, with oversight by Health & Wellbeing Board;
4) Better Care Finance and Performance Group monitors spend and performance.

Second Line of Defence: Corporate Oversight
1) Health & Wellbeing Board reviewed and governance arrangements in place to help deliver an integrated approach, including oversight of the Better Care Fund;
2) Better Care Plans in place. Section 75 signed off;
3) Partnership work agreed and submitted a Better Care Plan by the deadline in March 2014. Revised Better Care plan for 2016/17 submitted.

Third Line of Defence - Independent Assurance
1) NHS England sign off Better Care Plan, submitted in May

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Robust Section 75 agreement to be revised annually each June.	Executive Director Health & Adult Social Care	75	30/06/16	23/03/16	30/06/16
Comments: Current discussions to revise both section 75 agreements relate to 1) Better Care which is led by the CCG and likely to require minor update; and 2) with the Sussex Partnership Foundation Trust (SPFT) now agreed in May 2016 with a slight change to risk share and budget.					
SR 20 Risk Action: Deliver Phase 1 Better Care implementation plan from September 2014. Cluster working under development. Cluster one, went live in September 2015. This model is based around GP's and multi - disciplinary teams	Executive Director Health & Adult Social Care	75	31/03/17	01/09/15	31/03/17
Comments: 3 clusters currently operating with multi-disciplinary team working. From June 2016 development programme to change working practices and monitor performance and outcomes.					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR10	**Information Governance Management**	Strategic Risk Owners ICT Business Engagement Manager Chief Technology Officer ICT	BHCC Strategic Risk, Legislative	20/04/16	Threat	Treat	Red L4 x I4 29/04/15	Amber L3 x I4 24/08/16		Revised: Adequate

Causes

The council must operate to a high standard of information governance within the overall context of openness and transparency. The council must ensure that it not only protects the organisation's information and technical assets but that it does so within a complex array of legislative (including Data Protection, and Freedom of Information) requirements and compliance regimes. As examples, the Public Services Network ("PSN") and the Health & Social Care Information Centre ("HSCIC") both place significant emphasis on Information Governance Controls as does the Information Commissioner's Office.

Potential Consequence(s)

• Individuals could suffer reputational, financial or physical harm,
• The council could suffer reputational and\or financial loss along with an inability to function effectively,
• The PSN & HSCIC could impose operational sanctions which would be catastrophic for many services,
• The Information Commissioner's Office could impose financial sanctions,
• It could result in a loss of trust in the council by citizens and partners.

Existing Controls

First Line of Defence: Management Action

1) A suite of Information Governance Policies has been approved;

2) An Information Governance training package has been rolled out across the entire organisation;

3) An Information Audit has been completed, including business impact assessments for the loss or compromise of Confidentiality, Integrity and Availability;

4) Physical access controls have been improved a result of the move to a new datacentre;

5) Cyber security controls introduced to minimize security risks and adoption of ITHC principles for internal security scanning.

Second Line of Defence: Corporate Oversight

1) The Senior Information Risk Owner ("SIRO") oversees the organisation's approach to Information Risk Management, setting the culture along with risk appetite and tolerances;

2) The Information Governance Board ("IGB") oversees and provides leadership on Information Risk Management and obligations arising from legislation such as the DPA 1998 & FOI 1998;

3) The Caldicott Guardians (CFS and ASC) have corporate responsibility for protecting the confidentiality of Health and Social Care service-user information and enabling appropriate information sharing;

4) The Information Governance Team operates as an independent function to provide to provide advice, guidance and oversight in key areas.

Third Line of Defence: Independent Assurance

1) Internal and external ICT audits provide an objective evaluation of the design and effectiveness of ICTs internal controls;

2) IT Health Check (ITHC) performed by a 'CHECK'/'CREST' approved external service provider – covering both applications and infrastructure assurance;

3) Continued assurance from compliance regimes, including PSN CoCo, HSCIC IG Toolkit and PCI DSS Annual;

4) Oversight of Audit and Standards Committee.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
SR 10 Risk Action: Business continuity arrangements are being reviewed and updated, then to be considered by decision makers and communicated to services	Civil Contingencies Manager	25	31/03/17	01/04/14	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Comments: Update July 2016 - All DMTs have held BCP review sessions, and this is scheduled in quarterly. The Corporate Business Group representatives have been advised of dates. Emergencies & Resilience Team co-ordinates service business continuity plans through Corporate Business Continuity Group representatives. Prioritisation of recovery of services and ICT requirements reported to ELT for approval in January 2016. Work to inform services and review business continuity plans will be undertaken on a quarterly basis via DMTs					
SR 10 Risk Action: Implement an organisation wide information risk management process and maintain a prioritised information risk register.	ICT Business Engagement Manager	70	31/12/16	01/09/15	31/12/16
Comments: Work to embed the risk management process within ICT is on-going. The ICT risk register is now reviewed monthly by ICTMT and strategies out in place to mitigate major risk. Owing to other demands on the team, the deployment of a fully comprehensive risk management process outside ICT has been delayed. The addition of a new security analyst and new functions through the ICT restructure will help progress the work.					
SR10 New education and awareness programme approved at Information Governance Board on 15/12/15. Objectives - 1. Increase awareness, and understanding of IG across organisation 2. Information Asset Owners practical training to target good IG in their areas with a focus reducing data incidents	ICT Business Engagement Manager	50	31/12/16	15/12/15	31/12/16
Comments: Two 'bite-size' training sessions have run with very positive feedback. Future sessions have been scheduled. Sessions for asset owners are being developed.					

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
SR10 Risk Action: Adoption of bi-annual IT Health Check (ITHC) for 2017 **Comments:** Project to start in September	ICT Business Engagement Manager	0	31/12/16	01/09/16	31/12/16
SR10 Risk Action: Introduction of protective monitoring technology to provide threat, vulnerability and incident alerts **Comments:** An implementation plan has been initiated.	ICT Business Engagement Manager	10	31/12/16	01/06/16	31/12/16
SR10 Risk Action: Review arrangements for dealing with Freedom of Information Requests **Comments:** A project is underway to procure and implement a shared complaints and FOI tool. A 'to-be' process review will be incorporated into the implementation phase of the project	ICT Business Engagement Manager	50	31/12/16	01/04/15	31/12/16
SR10 Risk Action: Review of ICT incident management process – to fully integrate data breach and cyber security incidents **Comments:** The review is underway and will report in the next quarter	ICT Business Engagement Manager	30	31/12/16	01/06/16	31/12/16

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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR18	**Transition to modern, digital IT**	Executive Director of Finance & Resources ICT Business Engagement Manager Chief Technology Officer	BHCC Strategic Risk, Technological	15/04/16	Threat	Treat	Red L5 x I4 24/10/14	Red L4 x I4 31/10/14		Revised: Uncertain

Causes

Service redesign and development of user centric, secure, resilient, flexible digital capabilities which meet safeguarding and other legislative duties relies on:

1) a sufficient number of ICT staff with appropriate skills and effective, efficient suppliers

2) an investment strategy for sustainable targeted improvements of ICT platforms and systems

3) services' and ICT capacity for joint work to co-design business change

4) staff skill levels and confidence to use and innovate with information and technology

5) sufficient understanding and leadership at all levels of the organisation to exploit the opportunities of modern, digital IT

5) appropriate access for those with safeguarding responsibilities, including in partnership, to ICT systems which enable the protection of the most vulnerable

6) improved information systems and services to enable delivery of council objectives as set out in the corporate plan

Potential Consequence(s)

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- Less confidence in digital technology to assist achievement of Corporate Plan objectives
- Unable to redesign key services to achieve efficiencies and better outcomes for residents, communities, businesses and visitors
- Communications offer, including with citizens and communities is less effective and engaging
- Safeguarding issues if staff do not have appropriate access to the information and support needed to carry out their roles
- Increased pressure on staff in delivering services
- Leaders unable to innovate services at necessary pace to meet demand and cope with financial pressures
- Impact on council and city reputation as a digital city
- Staff morale affected

Existing Controls

First Line of Defence: Management Action

1) ICT Infrastructure Programme is delivering core ICT infrastructure platforms to improve service flexibility, availability, business continuity and cybersecurity - this includes clear service levels, hybrid cloud platform, flexible connectivity options and robust cybersecurity;

2) Feedback and engagement from customers and partners is driving the development of services, including focus inside and outside of CFDA on mobile, digital and information sharing;

3) Alignment and prioritisation of project resources to modernisation requirements;

4) Established working relationships and governance (Informatics Oversight Committee) for cross social care and health system developments and resourcing, linked to Better Care and Digital Roadmap development;

5) Customer First in a Digital Age (CFDA) programme is now up and running and delivering new digital and data capabilities to support business strategies across the Council including digital channels, mobile capabilities and staff capabilities required to make us fit for the future;

6) Work with City and City region partners including Wired Sussex, Digital Catapult, Brighton University and Sussex University to establish cross sector relationships which support the ambitions of the City and channel opportunities to further establish Brighton & Hove as the Connected City. Includes joint development of research and investment bids in support of shared agendas and supporting devolution agenda;

7) Early work with Orbis partners to carry out joint procurement and align supply chain where possible. For example joint procurement of Microsoft Licensing Solutions Partner;

8) The close linking in of the partnership Digital Resilience project into the CFDA programme, Libraries, Services to Schools and Customer Service Centres work is ensuring that solutions to the risks of digital exclusion are well managed and sustainably implemented;

9) Establishment of Head of Digital Transformation role driving culture change in harnessing the opportunities of digital.

Second Line of Defence: Corporate Oversight

1) Customer First in a Digital Age programme approved at P&R/Council -, incorporating current investments in Digital improving Customer Experience and Information Management Programme, target work to support the new corporate plan and ambitions identified by the board & strategic priorities engagement;

2)Corporate Modernisation Delivery Board overseeing alignment of programmes and projects to Corporate Plan aims and reviewing any gaps. Includes oversight of ICT Infrastructure, Workstyles and Customer First in a Digital Age programmes.

Third Line of Defence: Independent Assurance

1) Internal and External Audit assurance of programme management and Capital Investment strategies.

Effectiveness of Controls – Comment for 'Uncertain' grading: The controls are considered to be uncertain ahead of a full decision around Orbis. This is because the sustainability of support for digital modernisation requires a resilient ICT Service. This cannot be assured ahead of this decision.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Ensure development of cross-sector digital partnerships across city and city region.	Chief Technology Officer	20	31/03/17	01/04/16	31/03/17
Comments: Agreed areas of joint focus with Brighton University with new Digital Transformation lead including potential joint bid; engagement with Brighton Digital Festival including planned event and promotion. Initial work within CFDA on the approach to supplier engagement has been started. The Greater Brighton Digital working group has developed an initial draft of a Greater Brighton digital strategy, which has been submitted to the Greater Brighton Economic Board, alongside indicative plans for Digital Infrastructure and support for public service reform plans.					
Ensure outcomes of ICT Infrastructure Programme are sustainable, embedded and enabling of change within the organisation.	Chief Technology Officer	35	31/03/17	01/04/16	31/03/17
Comments: New security infrastructure now implemented for BHCC and Schools, First secure cloud services migrated, continued migration of priority services, new citrix farm built and tested, network interconnect with NHS established, corporate wifi now deployed to HTH and Barts House, shared services wifi ready for deployment, new laptop services rolling out to first tranche of users					
Help develop network of business change capacity across the breadth of the organisation who can work together to redesign and embed change.	Chief Technology Officer	25	31/03/17	01/04/16	31/03/17
Comments: CFDA Programme Board now includes representative business change managers from across the organisation. Established connections to corporate change network.					

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Information Management strand of CFDA developing and delivering core information practices including customer index, enterprise content management and robust data and record management practices.	Chief Technology Officer	25	31/03/17	01/04/16	31/03/17
Comments: Initial matched customer index completed, core ECM platform selected, records management support for teams moving under Workstyles completed.					
The ICT Service Redesign is realigning available capacity within budget constraints to most effectively support the organisations needs.	Chief Technology Officer	75	31/07/16	01/04/16	31/07/16
Comments: Consultation completed, implementation underway, Tier 4 complete, Tier 5 completing September, Tier 6 through September and October.					
Work with Orbis, Greater Brighton and Supplier partners to ensure resilient capacity, a sustainable set of core platforms, services and practices are in place to support and enable modernisation, devolution and safeguarding. Includes taking the learning early from others and using collective economies of scale.	Chief Technology Officer	10	31/03/17	01/04/16	31/03/17
Comments: The engagement with Orbis partners is progressing well, BHCC is represented and well established within the Architectural Design Authority for Orbis, agreeing the core platforms and practices for the Orbis partnership. The Greater Brighton digital digital working group is up and running with an initial focus on digital infrastructure and public service reform.					

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